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SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, D.C. 20549
Form 19b-4

File No. SR - 2009 - 10

Amendment No.

Proposed Rule Change by The Depository Trust Company

Pursuant to Rule 19b-4 under the Securities Exchange Act of 1934

Initial ☑ Amendment ☐ Withdrawal ☐

Section 19(b)(2) ☐ Section 19(b)(3)(A) ☑ Section 19(b)(3)(B) ☐

Rule

☐ 19b-4(f)(1) ☑ 19b-4(f)(4)
☐ 19b-4(f)(2) ☐ 19b-4(f)(5)
☐ 19b-4(f)(3) ☐ 19b-4(f)(6)

Pilot ☐ Extension of Time Period for Commission Action ☐ Date Expires

Exhibit 2 Sent As Paper Document ☐ Exhibit 3 Sent As Paper Document ☐

Description

Provide a brief description of the proposed rule change (limit 250 characters).

The Depository Trust Companys proposed rule change establishes the Web Inquiry Notification System

Contact Information

Provide the name, telephone number and e-mail address of the person on the staff of the self-regulatory organization prepared to respond to questions and comments on the proposed rule change.

First Name: Candice Last Name: Fordin
Title: Associate Counsel
E-mail: cfordin@dtcc.com
Telephone: (212) 855-7632 Fax: (212) 855-3215

Signature

Pursuant to the requirements of the Securities Exchange Act of 1934,

has duly caused this filing to be signed on its behalf by the undersigned thereunto duly authorized officer.

Date: 05/22/2009

By: Larry E. Thompson (Name) General Counsel (Title)

NOTE: Clicking the button at right will digitally sign and lock this form. A digital signature is as legally binding as a physical signature, and once signed, this form cannot be changed.

Digitally Sign and Lock Form

SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, D.C. 20549

For complete Form 19b-4 instructions please refer to the EFFS website.

Form 19b-4 Information Add Remove View	The self-regulatory organization must provide all required information, presented in a clear and comprehensible manner, to enable the public to provide meaningful comment on the proposal and for the Commission to determine whether the proposal is consistent with the Act and applicable rules and regulations under the Act.
Exhibit 1 - Notice of Proposed Rule Change Add Remove View	The Notice section of this Form 19b-4 must comply with the guidelines for publication in the Federal Register as well as any requirements for electronic filing as published by the Commission (if applicable). The Office of the Federal Register (OFR) offers guidance on Federal Register publication requirements in the Federal Register Document Drafting Handbook, October 1998 Revision. For example, all references to the federal securities laws must include the corresponding cite to the United States Code in a footnote. All references to SEC rules must include the corresponding cite to the Code of Federal Regulations in a footnote. All references to Securities Exchange Act Releases must include the release number, release date, Federal Register cite, Federal Register date, and corresponding file number (e.g., SR-[SRO]-xx-xx). A material failure to comply with these guidelines will result in the proposed rule change being deemed not properly filed. See also Rule 0-3 under the Act (17 CFR 240.0-3)
Exhibit 2 - Notices, Written Comments, Transcripts, Other Communications Add Remove View Exhibit Sent As Paper Document ☐	Copies of notices, written comments, transcripts, other communications. If such documents cannot be filed electronically in accordance with Instruction F, they shall be filed in accordance with Instruction G.
Exhibit 3 - Form, Report, or Questionnaire Add Remove View Exhibit Sent As Paper Document ☐	Copies of any form, report, or questionnaire that the self-regulatory organization proposes to use to help implement or operate the proposed rule change, or that is referred to by the proposed rule change.
Exhibit 4 - Marked Copies Add Remove View	The full text shall be marked, in any convenient manner, to indicate additions to and deletions from the immediately preceding filing. The purpose of Exhibit 4 is to permit the staff to identify immediately the changes made from the text of the rule with which it has been working.
Exhibit 5 - Proposed Rule Text Add Remove View	The self-regulatory organization may choose to attach as Exhibit 5 proposed changes to rule text in place of providing it in Item I and which may otherwise be more easily readable if provided separately from Form 19b-4. Exhibit 5 shall be considered part of the proposed rule change.
Partial Amendment Add Remove View	If the self-regulatory organization is amending only part of the text of a lengthy proposed rule change, it may, with the Commission's permission, file only those portions of the text of the proposed rule change in which changes are being made if the filing (i.e. partial amendment) is clearly understandable on its face. Such partial amendment shall be clearly identified and marked to show deletions and additions.

1. Text of the Proposed Rule Change.

(a) The Depository Trust Company's ("DTC") proposed rule change establishes the Web Inquiry Notification System ("WINS"). WINS will allow Participants to submit and monitor inquiries regarding their records. As more fully described below, upon implementation of the proposed change, the current inquiry option in the Participant Inquiry Notification System ("PINS")[1] will be replaced with WINS.

2. Procedures of the Self-Regulatory Organization.

(a) DTC's Board of Directors has not taken, and is not required to take, action on the proposed rule change.

3. Self-Regulatory Organization's Statement of the Purpose of, and Statutory Basis for, the Proposed Rule Change.

(a) The proposed rule change establishes WINS which is a new browser-based inquiry management system. WINS will replace PINS as the function which provides Participants with the ability to submit inquiries regarding their records. WINS will offer many significant improvements over PINS, including streamlining the process by which Participants submit and monitor inquiries and requests, providing easier navigation and date entry,[2] and quicker response time. Additionally, WINS will provide real-time status updates via email. Participants will receive emails stating that their inquiry was received, updated or closed.

Participants will have the ability to access WINS through the Participant Browser System ("PBS"). If a Participant does not have access to PBS, then it will access WINS through DTC's public website. Existing PINS users will be given access to WINS automatically and can use their current password. All Participant inquiries made before the release of WINS will continue to be processed through PINS. Participants will be able to view those inquiries through the PINS function but will be required to submit all new inquiries through WINS.

(b) The proposed rule change is consistent with the requirements of the Securities Exchange Act of 1934, as amended (the "Act"), and the rules and regulations thereunder, as well as the CPSS/IOSCO Recommendations for Securities Settlement Systems applicable to DTC. The proposed rule change enhances an existing function to provide Participants with greater transparency and quicker responses to their inquiries. As such it is a change to an existing function, which will not adversely affect the safeguarding of securities and funds in DTC's control or custody.

4. Self-Regulatory Organization's Statement on Burden on Competition.

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[1] PINS will continue to provide Participants with the ability to perform month-end confirmations.
[2] There will be a guided drop-down menu for each inquiry type, eliminating the need for Participants to determine department and activity codes.

DTC does not believe that the proposed rule change will have any impact, or impose any burden, on competition.

5. Self-Regulatory Organization's Statement on Comments on the Proposed Rule Change Received from Members, Participants, or Others.

Written comments relating to the proposed rule change have not been solicited or received.

6. Extension of Time Period for Commission Action.

DTC does not consent to an extension of the time period specified in Section 19(b)(2) of the Act for Commission action.

7. Basis for Summary Effectiveness Pursuant to Section 19(b)(3) or for Accelerated Effectiveness Pursuant to Section 19(b)(2) or Section 19(b)(7)(D).

(a) The proposed rule change is to take effect pursuant to paragraph A of Section 19(b)(3).

(b) The proposed rule change effects a change in an existing service of DTC that (i) does not adversely affect the safeguarding of securities or funds in the custody or control of DTC or for which it is responsible; and (ii) does not significantly affect the respective rights or obligations of DTC or persons using this service, as it provides for the implementation of a new browser-based inquiry management system which will offer improvements over the current inquiry system.

(c) Not applicable.

(d) Not applicable.

8. Proposed Rule Change Based on Rules of Another Self-Regulatory Organization or of the Commission.

The proposed rule change is not based on the rules of another self-regulatory organization or the Commission.

9. Exhibits

Exhibit 1 - Notice of proposed rule change for publication in the Federal Register.
Exhibit 2 - n/a
Exhibit 3 - n/a
Exhibit 4 - n/a
Exhibit 5 – Text of the Proposed Rule Change.

EXHIBIT 1

SECURITIES AND EXCHANGE COMMISSION

(Release No. 34-________________; File No. SR-DTC-2009-10)

SELF-REGULATORY ORGANIZATIONS

Proposed Rule Change by The Depository Trust Company ("DTC") to establish the Web Inquiry Notification System ("WINS").

Pursuant to Section 19(b)(1) of the Securities Exchange Act of 1934 (the "Act"), 15 U.S.C. 78s(b)(1), notice is hereby given that on ______________, DTC filed with the Securities and Exchange Commission ("Commission") the proposed rule change as described in Items I, II, and III below, which Items have been prepared by DTC. The Commission is publishing this notice to solicit comments on the proposed rule change from interested persons.

I. Self-Regulatory Organization's Statement of the Terms of Substance of the Proposed Rule Change

The text of the proposed rule change is attached hereto as Exhibit 5.

II. Self-Regulatory Organization's Statement of the Purpose of, and Statutory Basis for, the Proposed Rule Change

In its filing with the Commission, DTC included statements concerning the purpose of and basis for the proposed rule change and discussed any comments it received on the proposed rule change. The text of these statements may be examined at the places specified in Item IV below. DTC has prepared summaries, set forth in sections (A), (B) and (C) below, of the most significant aspects of such statements.

A. Self-Regulatory Organization's Statement of the Purpose of, and Statutory Basis for, the Proposed Rule Change.

(i) The proposed rule change establishes WINS which is a new browser-based inquiry management system. WINS will replace PINS as the function which provides Participants with the ability to submit inquiries regarding their records. WINS will offer many significant improvements over PINS, including streamlining the process by which Participants submit and monitor inquiries and requests, providing easier navigation and date entry,[1] and quicker response time. Additionally, WINS will provide real-time status updates via email. Participants will receive emails stating that their inquiry was received, updated or closed.

Participants will have the ability to access WINS through the Participant Browser System ("PBS"). If a Participant does not have access to PBS, then it will access WINS through DTC's public website. Existing PINS users will be given access to WINS automatically and can use their current password. All Participant inquiries made before the release of WINS will continue to be processed through PINS. Participants will be able to view those inquiries through the PINS function but will be required to submit all new inquiries through WINS.

(ii) The proposed rule change is consistent with the requirements of the Securities Exchange Act of 1934, as amended (the "Act") and the rule and regulations thereunder, as well as the CPSS/IOSCA Recommendations for Securities Settlement Systems applicable to DTC. The proposed rule change enhances an existing function to provide Participants with greater transparency and quicker responses to their inquiries. As such it is a change to an existing function, which will not adversely affect the safeguarding of securities and funds in DTC's control or custody.

B. Self-Regulatory Organization's Statement on Burden on Competition.

DTC does not believe that the proposed rule change will have any impact, or impose any burden, on competition.

C. Self-Regulatory Organization's Statement on Comments on the Proposed Rule Change Received from Members, Participants, or Others.

Written comments relating to the proposed rule change have not yet been solicited or received. DTC will notify the Commission of any written comments received by DTC.

III. Date of Effectiveness of the Proposed Rule Change and Timing for Commission Action

The forgoing rule change has become effective pursuant to Section 19(b)(3)(A) of the Act and paragraph (f) of Rule 19b-4 thereunder. At any time within 60 days of the filing of the proposed rule change, the Commission may summarily abrogate such rule change if it appears to the Commission that such action is necessary or appropriate in the public interest, for the protection of investors, or otherwise in furtherance of the purposes of the Act.

[1] There will be a guided drop-down menu for each inquiry type, eliminating the need for Participants to determine department and activity codes.

IV. Solicitation of Comments

Interested persons are invited to submit written data, views, and arguments concerning the foregoing, including whether the proposed rule change is consistent with the Act. Comments may be submitted by any of the following methods:

- Electronic comments may be submitted by using the Commission's Internet comment form (http://www.sec.gov/rules/sro.shtml), or by sending an e-mail to rule-comment@sec.gov. Please include File No. SR-DTC-2009-10 on the subject line.

- Paper comments should be sent in triplicate to Florence E. Harmon, Deputy Secretary, Securities and Exchange Commission, 100 F Street, NE, Washington D.C. 20549-1090.

All submissions should refer to File Number SR-DTC-2009-10. This file number should be included on the subject line if e-mail is used. To help the Commission process and review your comments more efficiently, please use only one method. The Commission will post all comments on the Commission's Internet Web site (http://www.sec.gov/rules/sro.shtml). Copies of the submission, all subsequent amendments, all written statements with respect to the proposed rule change that are filed with the Commission, and all written communications relating to the proposed rule change between the Commission and any person, other than those that may be withheld from the public in accordance with the provisions of 5 U.S.C §552, will be available for inspection and copying in the Commission's Public Reference Room, 100 F Street, NE, Washington D.C. 20549-9303. Copies of such filing also will be available for inspection and copying at DTC's principal office and on DTC's Web site at www.dtc.org All comments received will be posted without change; the Commission does not edit personal identifying information from submissions. You should submit only information that you wish to make available publicly. All submissions should refer to the file number above and should be submitted within ______ days after the date of publication.

For the Commission, by the Division of Trading and Markets, pursuant to delegated authority.

Florence E. Harmon
Deputy Secretary

EXHIBIT 5

DTC-2009-10

Underlined, boldface Text indicates additional language

~~**Struck-through, boldface text**~~ indicates deleted language

PTS/PBS Functions Guides

…

PINS:

~~**Introduction**~~

~~**Overview**~~

~~**The Participant Inquiry Notification System (PINS) allows you to notify DTC of differences between your records and ours regarding a specific activity. In turn, PINS allows DTC to send replies back to you. Notifications are currently handled for:**~~

- ~~**Reconciliations**~~
- ~~**Dividends and Dividend Announcements**~~
- ~~**Reorganization/Redemptions**~~
- ~~**Garden City Redemptions and Bearer/BEO.**~~

When to Use

Use PINS when you want to:

- ~~**Add notifications to the system, reporting activity differences to DTC. See Adding a Notification**~~
- ~~**Inquire about the status of an existing notification. See Inquiring About a Notification.**~~
- ~~**Browse lists of open, closed, and interim notifications. See Browsing Notifications.**~~
- ~~**View notifications for a specific security. See Browsing Notifications by CUSIP.**~~
- ~~**Browse statistical information on Participant and DTC timeliness and types of errors through the PRIME (Participant Reported Inquiries Monthly Evaluation) function. See Viewing Participant and DTC Monthly Evaluations (PRIME) and Viewing Overall Participant and DTC Monthly Evaluations (PRIME).**~~
- Inquire about the confirm dates for a thirteen-month period prior to the current day. See Inquiring About End of Month Confirmations.
- ~~**Reopen closed notifications. See Reopening a Closed Notification.**~~
- ~~**Cancel previously entered notifications. See Cancelling a Notification.**~~
- Confirm security positions for a specified month. See Processing an End of Month Confirmation.
- Access the Bulletin Board. See Accessing the Bulletin Board.

PINS is available on business days from 6:00 a.m. to 8:00 p.m. eastern time.

~~About Add Tickets and Close Tickets~~

~~When you add a notification, an Add Ticket prints at DTC (routed to the applicable department) and is sent to you. Each ticket has a unique control number in *jjjjjnnnnn* format, where *jjjjj* is the Julian date and *nnnnn* is the sequence number.~~

~~After DTC resolves and closes a notification, a Close Ticket is printed and sent to you, displaying all research information and referencing the Add Ticket's control number.~~

About End of Month Confirmation Procedures

DTC procedures require you to reconcile and confirm with DTC your month-end positions listed on the DTC Monthly Position Statement. No later than the 10th business day after the last Friday of the month, you must confirm the accuracy of the position statement electronically via PINS. DTC will send a reminder notice of the confirmation due date via an electronic message posted on the PINS Bulletin Board.

If you have multiple accounts, you must confirm the end-of-month position statement for each account. Also, a partner or officer of the participant firm must perform the end-of-month confirmation at least once in a 12-month period.

Note- You may need a new password or password reset, which can be obtained by contacting your relationship manager. This must be accomplished within the 10-day confirmation period.

You must ensure adequate backup to fulfill this ongoing requirement.

Failure to confirm within the prescribed schedule will subject you to fines, pursuant to DTC's Rule 21. (DTC's rules are available at https://login.dtcc.com/dtcorg.) You will receive a warning letter for the first occurrence of a failure to provide timely confirmation. For a second occurrence, a fine of$150 will be charged. Each subsequent occurrence will be subject to a$300 fine. Occurrences are determined on a moving 12-month period.

If you need help with obtaining passwords or have questions about this procedure, please contact your relationship manager. For help with using the PTS function PINS or the Web version (available at https://login.dtcc.com/dtcorg) , please call 1-(888) 382-2721 and select option 6.

To view the procedures and screens for processing end of month confirmations, click here.

Associated Products

PINS is used in association with all of DTC's services and products.

List of Procedures:

Accessing the Bulletin Board

Use the following procedure to access the Bulletin Board where you can view global notices as well as your own notices.

1 Type PINS on the Enter Function screen and press ENTER.

Result- The PINS Menu appears.

2 Press PF3/15.

Result- The Bulletin Board Notice List appears.

3 Press PF6/18 or type X to the left of a selected notice and press ENTER to view details for a notice.

Result- The Bulletin Board Inquiry screen appears.

Note- If you pressed PF6/18 you will be able to go through all the notices on the list using the scrolling keys.

~~**Adding a Notification**~~

~~**Use the following procedure to notify DTC of a difference between your records and ours regarding a specific activity.**~~

~~**1 Type PINS on the Enter Function screen and press ENTER.**~~

~~***Result*- The PINS Menu appears.**~~

~~**2 Type 1 in the Enter Option field and press ENTER.**~~

~~***Result*- The Department List screen appears.**~~

~~**3 Type the option number for the desired DTC department in the Select Department field and press ENTER.**~~

~~***Result*- The Activity Code List screen appears, displaying the applicable codes for the selected department.**~~

~~***Note*- If you already know the activity code you want to use, you can type it in the Enter Activity Code field on the PINS Menu and skip Step 4.**~~

~~**4 In the Enter Activity Code field on the Activity Code List screen, type the desired code and press ENTER.**~~

~~***Result*- The Notification Add screen appears.**~~

~~***Note*- To change the activity code after you have displayed the Notification Add screen, press PF7/19 to return to the Activity Code List screen.**~~

~~**5 Refer to the Field Descriptions for the Notification Add screen and enter the applicable information into each field.**~~

~~**6 Press ENTER to verify your input. If any errors occur, the applicable error message is**~~

~~**displayed.**~~

7 ~~**Press PF1/13 to add the notification.**~~

~~***Result*- An Add Ticket is printed. See About Add Tickets and Close Tickets.**~~

~~Browsing Notifications~~

~~**Use the following procedure to browse through a list of existing notifications.**~~

1 ~~**Type PINS on the Enter Function screen and press ENTER.**~~

~~***Result*- The PINS Menu appears.**~~

2 ~~**Type 3 in the Enter Option field and press ENTER.**~~

~~***Result*- The Notification Browse screen appears.**~~

3 ~~**Type the desired date in the Starting Date field in *mm/dd* format and press ENTER.**~~

~~***Result*- The Notification Browse screen displays information for the specified month. You can use the scrolling keys to browse forward or backward through the month's notifications.**~~

~~***Note*- The month is *required*, the day is optional and will default to the first day of the specified month.**~~

4 ~~***Optional.* To view detailed information about the month's notifications, press PF6/18.**~~

~~***Result*- The Notification Inquiry screen appears. You can use the scrolling keys to display the information for all notifications for the specified month.**~~

~~***Note*- You can also display the Notification Inquiry screen for a specific item on the Notification Browse screen by typing any character to the left of the item and pressing ENTER.**~~

~~Browsing Notifications by CUSIP~~

~~**Use the following procedure to browse notifications about a specific security.**~~

1 ~~**Type PINS on the Enter Function screen and press ENTER.**~~

~~***Result*- The PINS Menu appears.**~~

2 ~~**Type 4 in the Enter Option field and press ENTER.**~~

~~***Result*- The Notification Browse by CUSIP screen appears.**~~

3 ~~**Type the nine-digit CUSIP number of the desired security in the CUSIP Number field.**~~

4 ~~**Type the desired date in the Starting Date field in *mm/dd* format and press ENTER.**~~

~~***Result*- The Notification Browse by CUSIP screen displays information for the selected security and date.**~~

~~***Note*- The month is *required*, the day is *optional* and will default to the first day of the specified month.**~~

~~**5 *Optional*. To view detailed information about the notifications, press PF6/18.**~~

~~***Result*- The Notification Inquiry screen appears. You can use the scrolling keys to display the information for all notifications for the specified security and date.**~~

~~***Note*- You can also display the Notification Inquiry screen for a specific item on the Notification Browse by CUSIP screen by typing any character to the left of the item and pressing ENTER.**~~

~~**Cancelling a Notification**~~

~~**Use the following procedure to cancel a previously entered but still open notification (you cannot cancel a closed notification).**~~

~~**1 Type PINS on the Enter Function screen and press ENTER.**~~

~~***Result*- The PINS Menu appears.**~~

~~**2 Type 8 in the Enter Option field and press ENTER.**~~

~~***Result*- The Notification Cancel screen appears.**~~

~~**3 Type the number of the notification you want to cancel in the Control# field and press ENTER.**~~

~~***Result*- The details of the specified notification appear.**~~

4 ~~**Type Y in the Cancel This Notification field and press PF1/13.**~~

~~***Result*- A Notification Cancel ticket is generated. These are routed to DTC and to your designated PTS printer in the same manner as Add Tickets.**~~

~~**Inquiring About a Notification**~~

~~**Use the following procedure to inquire about a notification you added previously and view the notification's details.**~~

~~**1 Type PINS on the Enter Function screen and press ENTER.**~~

~~***Result*- The PINS Menu appears.**~~

~~**2 Type 2 in the Enter Option field and press ENTER.**~~

~~***Result*- The Notification Inquiry screen appears.**~~

3 ~~**Type the control number of the notification you want to see in the** Control# **field and press**~~

~~**ENTER.**~~

~~***Result*- The information for the specified notification is displayed. You can use the scrolling keys to view the applicable screens for the notification.**~~

~~***Note*- You can also access the Notification Inquiry screen by pressing PF6/18 on the Notification Browse or the Notification Browse by CUSIP screens. See Browsing Notifications and Browsing Notifications by CUSIP.**~~

4 ~~***Optional*. To view DTC responses, if any, press PF4/16.**~~

~~***Result*- The replies to the notification appear on the bottom half of the screen.**~~

Inquiring About End of Month Confirmations

Use the following procedure to view information about your End of Month confirmations.

1 Type PINS on the Enter Function screen and press ENTER.

Result- The PINS Menu appears.

2 Type 6 in the **Enter** Option field and press ENTER.

Result- The End of Month Confirmation Inquiry screen appears, displaying your notification confirmations for the past thirteen months and the status of each.

Processing an End of Month Confirmation

Use the following procedure to confirm outstanding end of month confirmations or add new notifications.

1 Type PINS on the Enter Function screen and press ENTER.

Result- The PINS Menu appears.

2 Type 11 in the **Enter** Option field and press ENTER.

Result- The End of Month Confirmation Initialization screen appears.

Note- If a partner or officer of your company has not executed the confirmation process within the last twelve months, a message indicating this is displayed and you will not be able to continue this process. In this case, contact your relationship manager.

3 Refer to the *Field Descriptions* for the End of Month Confirmation Initialization screen and type the appropriate information in the entry fields provided, then press ENTER.

Result- The End of Month Confirmation Browse screen appears, displaying the open notifications for the specified month and year.

4 *Optional*. To view detailed information about the notifications, press PF6/18.

Result- The Notification Inquiry screen appears. You can use the scrolling keys to display the information for all items for the specified month and year.

Note- You can also display the details for a specific item on the End of Month Confirmation Browse screen by typing any character to the left of the item and pressing ENTER. The Notification Inquiry screen appears.

5 *Optional.* To add a notification, press PF4/16.

Result- The Activity Code List screen appears.

6 *Optional.* Type the appropriate code in the Enter Activity Code field and press ENTER.

Result- The Notification Add screen appears.

7 *Optional.* Refer to the *Field Descriptions* for the Notification Add screen and type the appropriate information in the entry field provided, then press PF1/13.

Result- The notification is added.

8 *Optional.* Press PF6/18.

Result- The End of Month Confirmation Browse screen appears, displaying the notification you added.

9 *Optional.* To view the details of one or more notifications, see Step 4. To add another notification, see Steps 5 to 7.

10 Press PF1/13 to confirm the notifications for the specified month and year.

Result- The message 'End of month confirmation has been finalized' appears.

~~Reopening a Closed Notification~~

~~Use the following procedure when you have new information for a previously entered notification that has been closed by DTC. This allows you to reopen the notification and make the necessary changes.~~

~~1 Type PINS on the Enter Function screen and press ENTER.~~

~~*Result*- The PINS Menu appears.~~

~~2 Type 8 in the Enter Option field and press ENTER.~~

~~*Result*- The Notification Reopen screen appears.~~

~~3 Type a brief explanation for reopening the notification in the New Explanation field.~~

~~4 Type Y in the Reopen This Notification field and press PF1/13.~~

~~*Result*- A Notification Reopen ticket is generated. These are routed to DTC and to your designated PTS printer in the same manner as Add Tickets.~~

~~Viewing Overall Participant and DTC Monthly Evaluations (PRIME)~~

~~Use this procedure if you want to view Participant and DTC monthly evaluations for all PINS departments.~~

~~1 Type PINS on the Enter Function screen and press ENTER.~~

~~*Result* The PINS Menu appears.~~

~~2 Type 9 in the Enter Option field and press ENTER.~~

~~*Result* The Departmental Statistics screen appears.~~

~~3 Type the applicable information in the following fields:~~

- **~~Dept~~**
- **~~From~~**

~~4 Press PF6/18.~~

~~*Result* The Overall Timeliness screen appears.~~

~~Viewing Participant and DTC Monthly Evaluations (PRIME)~~

~~Use the following procedure to view evaluations for up to one year about DTC and Participant timeliness, and to view types of errors (on the Participant Reported Inquiries Monthly Evaluation (PRIME) screens).~~

~~1 Type PINS on the Enter Function screen and press ENTER.~~

~~*Result* The PINS Menu appears.~~

~~2 Type 5 in the Enter Option field and press ENTER.~~

~~*Result* The Participant Timeliness screen appears.~~

~~3 In the From field, type the date for which you want to view evaluations in *mm/yy* format.~~

~~*Note* The month is *required*, the year is *optional* and will default to the current year.~~

~~4 Press ENTER.~~

~~*Result* The evaluation information for the specified month is displayed. Use the scrolling keys to browse forward and backward to view other monthly evaluations.~~

~~*Note* If you enter a month for which no information exists in DTC's database, the message'No record found' appears.~~

~~5 *Optional*. To view the DTC Timeliness screen, press PF6/18. Press PF6/18 again to return to the Participant Timeliness screen.~~

~~*Note* You can use the scrolling keys to browse forward and backward to view other months. You can also enter another month in the From field on both versions of the screen.~~

List of Screens:

~~Activity Code Help Screen~~

~~The Activity Code Help screen is available from the Department List or the Activity Code List screen and displays helpful information about the activity codes related to the selected DTC department.~~

~~Sample Screen~~

```
T$VV          PARTICIPANT INQUIRY NOTIFICATION SYSTEM
MM/DD/CCYY
00002199-99          ACTIVITY CODE HELP          HH:MM:SS

                 DIVIDEND ANNOUNCEMENT
AUCTION RATE NOTE
ANNOUNCEMENT RELATED INQUIRY (NO ANNOUNCEMENT, RATE/RD/PD
DISCREPANCY, ETC.)
RELATING TO AN AUCTION RATE NOTE.

AUCTION RATE PFD
ANNOUNCEMENT RELATED INQUIRY (NO ANNOUNCEMENT, RATE/RD/PD
DISCREPANCY, ETC.)
RELATING TO AN AUCTION RATE PREFERRED ISSUE.

CD'S
ANNOUNCEMENT RELATED INQUIRY (NO ANNOUNCEMENT, RATE/RD/PD
DISCREPANCY, METHOD
OF CALCULATION, ETC.) RELATING TO A CD.

CMO/ABS-PAYDOWNS
ANNOUNCEMENT RELATED INQUIRY (NO ANNOUNCEMENT, RATE/RD/PD
DISCREPANCY, POOL
FACTOR, PAYMENT FREQUENCY, ETC.) RELATING TO AN ASSET BACKED
ISSUE.


PRESS PF11/23 TO VIEW MORE ACTIVITIES
PRESS PF6/18 TO RETURN TO DEPARTMENT CODE LIST
```

~~Function Keys~~

~~In addition to the standard function keys described in Using the Standard Function Keys, you can press PF6/18 on the Activity Code Help screen to return to the previous screen.~~

~~Activity Code List~~

~~**The Activity Code List appears when you do not specify an activity code on the Department List and allows you to choose an activity code applicable to the specified department.**~~

~~**Sample Screen**~~

~~**T$VV PARTICIPANT INQUIRY NOTIFICATION SYSTEM MM/DD/CCYY**~~
~~**00002199-99 ACTIVITY CODE LIST HH:MM:SS**~~

~~**DIVIDEND ANNOUNCEMENT**~~
~~**(RATE, RECORD DATE, PAYABLE DATE, NO ANNOUNCEMENT, POOL FACTOR)**~~

~~**AA01=AUCTION RATE NOTE AA02=AUCTION RATE PFD AA03=CD'S**~~
~~**AA04=CMO/ABS-PAYDOWNS AA05=CORPORATE BOND AA06=DIVIDEND (DOMESTIC)**~~
~~**AA07=DIVIDEND (FOREIGN) AA08=MTN (MMI) AA09=MUNICIPAL BOND**~~
~~**AA10=UIT AA11=MUNICIPAL VRDO**~~

~~**ENTER ACTIVITY CODE: SIGNON PT#: 2199 TEST**~~
~~**ENTER=ADD PF2/14=HELP PF6/18=PREV**~~
~~**PF7/19=MENU PF8/20=END PF 9/21=SIGNOFF**~~

~~**Field Descriptions**~~

~~**This field**~~	~~**Allows you to**~~
~~**Enter Activity Code**~~	~~**Enter the code for the type of activity for which you are creating a notification.**~~
~~**Signon Pt#**~~	~~**View your Participant number and name.**~~ ~~***Note -For Group Users*, this field displays the Participant number you specified on the Department List screen; you can overwrite this if desired.**~~

~~**Function Keys**~~

~~**In addition to the standard function keys described in Using the Standard Function Keys, you can press PF2/14 on the Activity Code List to display the Activity Code Help screen.**~~

Bulletin Board Inquiry Screen

This screen appears when you enter X in the **Act** field or press PF6/18 on the Bulletin Board Notice List.

Sample Screen

```
X$VC          PARTICIPANT INQUIRY NOTIFICATION SYSTEM          MM/DD/YY
00002199-99            BULLETIN BOARD INQUIRY                  HH:MM:SS

 DIV GENERAL                      TOPIC:  Y2K ISSUE



THE FOLLOWING DATES HAVE BEEN RESERVED FOR Y2K TESTING FOR ALL
PARTICIPANTS.
SEPT 2, 1999 / SEPT 5,1999 / OCTOBER 11, 1999









      PF6/18: BROWSE SCR   PF10/22: BACKWARD   PF11/23: FORWARD
```

Field Descriptions

This field	Displays
Department	The DTC department that entered the notice.
Topic	The topic of the notice.
Notice Detail	Detail information for the notice.

Function Keys

In addition to the standard function keys described in Using the Standard Function Keys, you can press PF6/18 on the Bulletin Board Inquiry screen to return to the Bulletin Board Notice List.

Bulletin Board Notice List

The Bulletin Board Notice List appears when you press PF3/15 on the PINS Menu or the Department List and allows you to view a list of notices.

Sample Screen

```
X$VC          PARTICIPANT INQUIRY NOTIFICATION SYSTEM          MM/DD/YY
00002199-99           BULLETIN BOARD NOTICE LIST               HH:MM:SS

 PARTIC: 2199 TEST         START DT: MM / DD / CCYY  END DT: MM / DD / CCYY

ACT   DEPARTMENT
CUSIP       TOPIC

     GC BEARER/BEO              COPIES UNAVAILABLE
     GC BEARER/BEO              REJECTED CERTIFICATES
     DIV GENERAL                INTERNAL REROUTES
     DIV GENERAL                Y2K ISSUE
     NDFS REDEMPTION   140180AC4   REDEMPTION
     NDFS REDEMPTION   393505BG6   G.C.REDEMPTION

  ENTER=INQUIRE SOME   PF6/18=INQUIRE ALL   PF10/22=BACKWARD
PF11/23=FORWARD
```

Field Descriptions

This field	Allows you to
Participant	View your Participant number and name.
Start Date	Enter the date at which you wish to begin the list in ***mm/dd/ccyy*** format (*optional*) .
End Date	Enter the date at which you wish to end the list in ***mm/dd/ccyy*** format (*optional*) .

This field	Allows you to
Act	Select a notice topic and view the details. Type X and press ENTER.
Department	The DTC department that entered the notice.
CUSIP	The CUSIP number attached to the notice.
Topic	The topic of the notice.

Function Keys

In addition to the standard function keys described in Using the Standard Function Keys, you can press PF6/18 on the Bulletin Board Notice List to access the Bulletin Board Inquiry screen.

~~**Department List**~~

~~**The Department List appears when you select option 1 on the PINS Menu and allows you to select the DTC department to which you want to direct a notification.**~~

~~**Sample Screen**~~

```
~~Q$VC          PARTICIPANT INQUIRY NOTIFICATION SYSTEM          MM/DD/YY~~
~~00002199-99             DEPARTMENT LIST                HH:MM:SS~~

~~ 1. DIVIDEND ANNOUNCEMENT            7. BEARER/BOOK ENTRY~~

~~ 2. DIVIDEND GENERAL                 8. CUSTODY REORG~~

~~ 3. RECON/COMPLIANCE                 9. CUSTODY~~

~~ 4. REORGANIZATION~~

~~ 5. REDEMPTION AND REORG DEPOSITS~~

~~ 6. REDEMPTIONS PRIOR TO ALLOCATION~~



~~   SELECT DEPARTMENT:~~

~~ ENTER ACTIVITY CODE(OPTIONAL):          SIGNON PT#:    161 MERRIL~~
~~ **HIGHLIGHTED DEPARTMENTS HAVE BULLETINS TO READ**~~
~~ENTER=ADD   PF6/18=ACTIVITY HELP   PF3/15=BULLETIN BOARD~~
~~PF7/19=MENU~~
```

~~Field Descriptions~~

~~This field~~	~~Allows you to~~
~~Select Department~~	**~~Enter the number for the desired DTC department from the list above.~~**
~~Enter Activity Code~~	**~~Enter the code for the type of activity for which you are creating a notification.~~** ***~~Optional.~~***
~~Signon Pt#~~	**~~View your Participant number and name.~~** ***~~Note -For Group Users,~~* ~~this is an entry field that allows you to specify the Participant for which you are entering a notification.~~**

~~Function Keys~~

~~In addition to the standard function keys described in Using the Standard Function Keys, you can press PF3/15 on the Department List to access the Bulletin Board.~~

~~Departmental Statistics Screen~~

~~The Departmental Statistics screen appears when you type 9 on the PINS Menu. This screen is part of the Participant Reported Inquiries Monthly Evaluation (PRIME) function and displays a breakdown of statistics and the timeliness of DTC's response.~~

~~Sample Screen~~

~~Q$VC PARTICIPANT REPORTED INQUIRY MONTHLY EVALUATION MM/DD/YY~~
~~00002199-99 DEPARTMENTAL STATISTICS HH:MM:SS~~

~~PARTICIPANT: 2199 XYZ CORP FROM: 02 / 2000 (MM/CCYY)~~
~~DEPT: 0010 DIV GENERAL AREA:~~

~~ACTIVITIES STATUS OF NOTIFICATIONS~~
~~BAD CLM 1~~
~~CASH ADJ 1 RECEIVED: 1~~
~~COPY 0 REROUTE RECVD: 3~~
~~COUPON 1 REOPENS: 0~~
~~POSITION 1 RESOLVED: 3~~
~~STK DIV 0 CANCELS: 0~~
~~REROUTE SENT: 0~~

~~PF5/17:DEPT LIST PF6/18:VIEW TIMELINESS PF11/23:FORWARD PF10/22:BACKWARD~~

~~**Field Descriptions**~~

~~This field~~	~~Displays~~
~~**Participant**~~	~~**Your Participant number.**~~
~~**From**~~	~~**The date of the inquiry in *mm/ccyy* format.**~~
~~**Dept**~~	~~**The department you are inquiring about.**~~
~~**Area**~~	~~**The area the department falls under; *optional*.**~~
~~**Activities**~~	~~**A list of activities and the corresponding number of notifications.**~~
~~**Status of Notifications**~~	~~**A list of statuses and the number of notifications in each status.**~~

~~**Function Keys**~~

~~**In addition to the standard function keys described in Using the Standard Function Keys, the following are available on the Overall Timeliness screen.**~~

~~This key~~	~~Allows you to~~
~~**PF5/17**~~	~~**Access the Department List screen.**~~
~~**PF6/18**~~	~~**Access the Overall Timeliness screen.**~~

~~**DTC Timeliness Screen**~~

~~**The DTC Timeliness screen appears when you press PF6/18 on the Participant Timeliness screen. This screen is part of the Participant Reported Inquiries Monthly Evaluation (PRIME) function and displays statistical information regarding DTC's timeliness in responding to your notifications.**~~

Sample Screen

~~X$VC PARTICIPANT REPORTED INQUIRY MONTHLY EVALUATION MM/DD/YY~~

```
 00002199-99              DTC TIMELINESS              HH:MM:SS

 SIGNON PT#:    2199      TEST                   FROM:  05 / 99
                                             MAY 99
     BEARER  BEARER  D
DEPOSIT  COD   W/T   UNIDENT  DO    COLL  DEPFAC   TOTAL
      DEP   COD                                  LOAN
RSLVD      0    0   144    0    4    0    8    0    0    156


 DTC TIMELINESS


  UNDER 3 DAYS       149
  3 -5 DAYS            7
  OVER 5 DAYS          0




 DTC ERRORS:           1



 PF6/18 TO VIEW PARTICIPANT TIMELINESS    PF11/23 FORWARDS   PF10/22
BACKWARDS
```

~~Field Descriptions~~

~~This field~~	~~Displays~~
~~Signon Pt#~~	~~Your Participant number and name.~~
~~From~~	~~The month and year being displayed. You can use the scrolling keys to view the previous or next month's data.~~
~~Rslvd~~	~~The number of notifications resolved by DTC, broken down by activity code. The total is displayed on the right.~~
~~DTC Timeliness~~	~~The number of notifications resolved by DTC (excluding Unident items), separated into the applicable time frames that show the number of days between the date the notification was added to the system and the date of resolution.~~ ~~*Note* - Unident items are unidentified Out of Balance conditions.~~
~~DTC Errors~~	~~The number of activity differences resolved that were found to have been caused by a DTC error.~~

~~**Function Keys**~~

~~**In addition to the standard function keys described in Using the Standard Function Keys, you can press PF6/18 on the DTC Timeliness screen to display the Participant Timeliness screen.**~~

~~***Note*- This key normally allows you to toggle between the Participant Timeliness and DTC Timeliness screens, however, if you overtype the date in the From field and press PF6/18, the display changes to the new date.**~~

End of Month Confirmation Browse Screen

The End of Month Confirmation Browse screen appears after you press ENTER on the End of Month Confirmation Initialization screen, and displays open notifications for the specified month and year. From this screen, you can view details of an item, add an item, or complete the confirmation process.

Sample Screen

```
X$VC            PARTICIPANT END OF MONTH CONFIRMATION            MM/DD/YY
00002199-99              CONFIRMATION BROWSE                  HH:MM:SS
NO DETAILS FOR THIS SELECTION
 SIGNON PT#:  2199       TEST                    12 / 98
 ACT   ACTV      CONTROL     DATE OF   CUSIP        EXPLANATION OF DIFFERENCE
     CODE      NUMBER      DIFF      NUMBER              (PARTIAL)

     DO     9227500125     12/06/98  854425105     PLS FAX COPY OF MDO TKT FOR ABO
     COLL    9227600197     12/21/98  269260AB1     PLS EXPAIN BOND DIV ADJ OF ONE
     DEP     9228000085     01/11/99  451887B85     WE RECD A CODE 5027A REORG



 ENTER= INQUIRE SOME, PF6/18= INQUIRE ALL, PF4/16=PINS ACTV MENU
PF1/13=CONFIRM
```

Field Descriptions

This field	Displays
Signon Pt#	Your Participant number and name.
Confirm Date	The month and year for which you are confirming.
Act	An entry field that allows you to select a line item to view on the Notification Inquiry screen.
Actv	The type of activity for which the notification was created.
Control	The control number (see About Add Tickets and Close

This field	Displays
Number	Tickets for a description of control numbers).
Date of Diff	The date on which the difference occurred that prompted the notification.
CUSIP Number	The CUSIP number of the security for which the notification was created.
Explanation of Difference (Partial)	The first line of four that were entered on the Notification Add screen as an explanation for the notification.

Function Keys

In addition to the standard function keys described in Using the Standard Function Keys, the following are available on the Confirmation Browse screen:

This key	Allows you to
PF4/16	Display the Activity Code List screen.
PF6/18	Display the first page of the Notification Inquiry display. You can then use the scrolling keys to page through all of the notifications.

End of Month Confirmation Initialization Screen

The End of Month Confirmation Initialization screen appears when you select option 10 on the PINS Menu and allows you to confirm your monthly notifications with DTC.

Sample Screen

```
T$VV          PARTICIPANT END OF MONTH CONFIRMATION          MM/DD/CCYY
00002199-99          CONFIRMATION INITIALIZATION              HH:MM:SS

  SIGNON PT# 2199     TEST          CONFIRM DATE: MM / YY

 WE HAVE EXAMINED THE DEPOSITORY TRUST COMPANY MONTHLY STATEMENT
ON OUR
 SECURITY POSITIONS AS OF         AND FIND IT TO BE IN AGREEMENT WITH OUR
 RECORDS EXCEPT FOR ANY OPEN NOTIFICATIONS DISPLAYED ON THE
FOLLOWING BROWSE
 SCREEN



 NAME     :
```

```
TITLE    :
PHONE    : (    )    -      EXT:









==========================================================================
==========
ENTER:PROCESS      PF7/19:MENU      PF8/20:END FUNCTION      PF9/21:SIGNOFF
```

Field Descriptions

This field	Allows you to
Signon Pt#	View your Participant number and name.
Confirm Date	Enter the month and year for which you are confirming, in ***mm/yy*** format.
Initialization Message	View the standard confirmation message that DTC will receive once you complete this process. The date for the end of the month you are confirming will be automatically entered where *mm/dd/yy* appears in the sample above. *Note* -If a partner or officer of your company has not confirmed within the past twelve months, a message indicating this will appear, and you will not be allowed to continue. Contact your Relationship Manager.
Name	Enter your name, a maximum of 30 alphanumeric characters. The first character must be alphabetic.
Title	Enter your title, a maximum of 30 alphanumeric characters. The first character must be alphabetic.
Phone	Enter your phone number (***required***) and extension *(optional*) .

End of Month Confirmation Inquiry Screen

The End of Month Confirmation Inquiry screen appears when you select option 6 on the PINS Menu and allows you to view a list of End of Month notification confirmations for the past 13 months. A confirmation is the process by which you close out a specific month, thereby stating that your records now match DTC's.

Sample Screen

```
T$VV          PARTICIPANT INQUIRY NOTIFICATION SYSTEM        MM/DD/CCYY
00002199-99      END OF MONTH CONFIRMATION INQUIRY           HH:MM:SS

  SIGNON PT#:  2199     TEST


 CONFIRM DATE     CONFIRM DONE DATE       CONFIRM DUE DATE

   02/1998        03/18/1998 (LATE)       03/17/1998
   03/1998        04/11/1998              04/14/1998
   04/1998        05/12/1998              05/12/1998
   05/1998        06/16/1998              06/16/1998
   06/1998        07/15/1998              07/15/1998
   07/1998        08/12/1998 (LATE)       08/11/1998
   08/1998        09/12/1998              09/16/1998
   09/1998        10/10/1998              10/14/1998
   10/1998        11/14/1998              11/18/1998
   11/1998        12/12/1998              12/15/1998
   12/1998        01/12/1999              01/13/1999
   01/1999        02/17/1999              02/17/1999
   02/1999        ********  (NOT DONE)    03/16/1999


PF7/19=MENU
```

Field Descriptions

This field	Displays
Signon Pt#	Your Participant number and name.
Confirm Date	The notification confirmation month and year.
Confirm Done Date	The date confirmation was completed. Also, when applicable, a status message is displayed for confirmations that are not completed or were late.
Confirm Due Date	The date confirmation was due.

~~**Notification Add Screen**~~

~~**The Notification Add screen appears when you select option 1 on the PINS Menu and specify a department and an activity code. This screen allows you to enter the details of your notification.**~~

~~**Sample Screen**~~

```
~~T$VV            PARTICIPANT INQUIRY NOTIFICATION SYSTEM
MM/DD/CCYY~~
~~00002199-99             NOTIFICATION ADD              HH:MM:SS~~

~~ACTIVITY: DIVFOR     DEPT: 0012   ANNOUNCEMENT     AREA:~~
~~  SIGNON PT#:     2199  XYZ CORP          DATE OF DIFFERENCE:    /    /~~
~~CUSIP:           SEC DESC:~~

~~RATE:              RECORD DATE:    /    /       PAYABLE DATE:    /    /~~

~~EXPLANATION OF DIFFERENCE:~~



~~** IF APPLICABLE, YOUR COOPERATION IN PROVIDING THE BELOW
INFORMATION~~
~~WOULD BE APPRECIATED.~~
~~SOURCE OF INFORMATION:~~
~~CONTACT NAME:                     TELE NUMBER:~~

~~PREPARED BY:~~
~~TELE NUMBER:~~

~~PF1/13:ADD     PF6/18:PREV   PF7/19:MAIN MENU    PF8/20:END    PF9/21:SIGNOFF~~
```

~~Field Descriptions~~

~~This field~~	~~Allows you to~~
~~Activity~~	~~View the code that identifies the activity for which you are creating a notice.~~ ~~*Note* -To change the activity code, press PF7/19 to access the Activity Code List.~~
~~Dept~~	~~View the DTC department to which you are directing the notice and the activity for which you are creating the notice.~~
~~Area~~	~~View the area within the selected department to which this notification is addressed. If the selected department does not have multiple areas of responsibility, this field is blank.~~

~~This field~~	~~Allows you to~~
~~**Signon Pt#**~~	~~**View your Participant number and name.**~~ ~~***Note -For Group Users*, the Participant number you entered on the Department List screen is displayed.**~~
~~**Date of Difference**~~	~~**Enter the date of the difference for which you are notifying DTC, in *mm/dd/yy* format.**~~
~~**CUSIP**~~	~~**Enter the CUSIP number of the security for which you are creating this notification.**~~
~~**Sec Desc**~~	~~**Enter a description for securities that are not DTC-eligible. (For DTC-eligible securities, this field automatically fills with the applicable description).**~~ ~~***Note* -If you leave this field blank for a security that is not DTC-eligible, an error message is displayed.**~~
~~**Rate**~~	~~**Enter the dividend rate in *99999.999999* format. There must be at least one number before and after the decimal point.**~~
~~**Record Date**~~	~~**Enter the record date in *mm/dd/yy* format. This date must be prior to the payable date.**~~
~~**Payable Date**~~	~~**Enter the dividend payable date in *mm/dd/yy* format. This date must be after the record date.**~~ ~~***Note* -The** Rate Record Date **and** Payable Date **fields are displayed depending on the specified Activity Code.**~~
~~**Explanation of Difference**~~	~~**Enter a brief explanation of the difference between your records and ours on six lines of 79 characters each.**~~ ~~***Note* -This and the following fields are *optional*.**~~
~~**Source of Info**~~	~~**Enter the source of your information.**~~
~~**Contact Name**~~	~~**Enter the name of the person DTC should contact regarding this notification.**~~
~~**Tele Number**~~	~~**Enter the contact person's telephone number.**~~
~~**Prepared By**~~	~~**Enter your name.**~~
~~**Tele Number**~~	~~**Enter your telephone number.**~~

~~**Notification Browse by CUSIP Screen**~~

~~**The Notification Browse by CUSIP screen appears when you select option 4 on the PINS Menu and allows you to browse through a list of notifications for a specific security. When**~~

~~you first access the Notification Browse by CUSIP screen, it is blank until you enter a CUSIP number.~~

~~Sample Screen~~

~~T$VV PARTICIPANT INQUIRY NOTIFICATION SYSTEM MM/DD/CCYY~~
~~00002199-99 NOTIFICATION BROWSE BY CUSIP HH:MM:SS~~

~~CUSIP NUMBER: 030177109 XYZ CORP~~
~~STARTING DATE: / SIGNON PT#: 2199 TEST~~

~~ACT ACTV CONTROL DATE OF EXPLANATION OF DIFFERENCE~~
~~CODE NUMBER DIFF (PARTIAL)~~
~~DEP I 941600065 04/12/99 2199 ON 4/12/98 PTS TR ACC DEPOSIT~~

~~ENTER=INQUIRE SOME PF6/18=INQUIRE ALL PF10/22=BACKWARD PF11/23=FORWARD~~

~~Field Descriptions~~

~~This field~~	~~Displays~~
~~CUSIP Number~~	~~An entry field that allows you to specify the CUSIP number of the desired security.~~
~~Signon Pt#~~	~~Your Participant number and name.~~
~~Starting Date~~	~~An entry field that allows you to specify a starting date for the notifications you want to browse. Enter the date in *mm/dd* format.~~ ~~*Note* -The month is *required*, the day is *optional* and defaults to the first day of the specified month.~~
~~Act~~	~~An entry field that allows you to select a line item to view on the Notification Inquiry screen. Type any character to~~

~~This field~~	~~Displays~~
	~~the left of the desired item and press ENTER.~~
~~Actv Code~~	~~The type of activity for which the notification was created.~~
~~Control Number~~	~~The control number (see About Add Tickets and Close Tickets for a description of control numbers.~~
~~Date of Diff~~	~~The date on which the difference occurred that prompted the notification.~~
~~Explanation of Difference (Partial)~~	~~The first 31 characters of the first of four lines that were entered on the Notification Add screen as an explanation for the notification.~~

~~Function Keys~~

~~In addition to the standard function keys described in Using the Standard Function Keys, you can press PF6/18 on the Notification Browse by CUSIP screen to display the first page of the Notification Inquiry display. You can then use the scrolling keys to page through all of the notifications.~~

~~Notification Browse Screen~~

~~The Notification Browse screen appears when you select option 3 on the PINS Menu, and allows you to browse through a list of notifications previously entered. When you first access the Notification Browse screen, it is blank until you enter a starting date.~~

~~Sample Screen~~

~~X$VC PARTICIPANT INQUIRY NOTIFICATION SYSTEM MM/DD/YY~~
~~00002199-99 NOTIFICATION BROWSE HH:MM:SS~~
~~NO MORE DETAILS FOR THIS SELECTION~~
~~SIGNON PT#: 2199 XYZ SEC STARTING DATE: 05 / 07~~

~~EOM CONFIRM:~~
~~ACT ACTV CONTROL DATE OF CUSIP EXPLANATION OF DIFFERENCE~~
~~CODE NUMBER DIFF NUMBER (PARTIAL)~~
~~ARN 9913800001 05/07/99 45168C734 DTC TEST I~~
~~DO 9913800002 05/10/99 460922206 DTC TEST 11~~

~~ENTER=INQUIRE SOME   PF6/18=INQUIRE ALL   PF10/22=BACKWARD~~
~~PF11/23=FORWARD~~

~~Field Descriptions~~

~~This field~~	~~Displays~~
~~Signon Pt#~~	**~~Your Participant number and name.~~**
~~Starting Date~~	**~~An entry field that allows you to specify a starting date for the notifications you want to browse. Enter the date in *mm/yy* format.~~** **~~*Note* - The month is *required*, the day is *optional* and defaults to the first day of the specified month.~~**
~~EOM Confirm~~	**~~An entry field that allows you to specify whether you want to view Out of Balance conditions for the specified month. Enter an X.~~** **~~*Note* - When you activate this feature, the Starting Date field changes to *mm/yy* format.~~**
~~Act~~	**~~An entry field that allows you to select a line item to view on the Notification Inquiry screen. Type any character to the left of the desired item and press ENTER. You can select multiple items, as many as appear on the screen at one time.~~**
~~Actv Code~~	**~~The activity code.~~**
~~Control Number~~	**~~The control number.~~**
~~Date of Diff~~	**~~The date on which the difference occurred that prompted the notification.~~**
~~CUSIP Number~~	**~~The CUSIP number of the security for which the notification was created.~~**
~~Explanation of Difference~~	**~~The first line entered on the Notification Add screen as an explanation for the notification.~~**

~~This field~~	~~Displays~~
~~(Partial)~~	

~~**Function Keys**~~

~~**In addition to the standard function keys described in Using the Standard Function Keys, you can press PF6/18 on the Notification Browse screen to display the first page of the Notification Inquiry screen. You can then use the scrolling keys to page through all of the notifications.**~~

~~**Notification Cancel Screen**~~

~~**The Notification Cancel screen appears when you select option 8 on the PINS Menu, and allows you to cancel a previously entered notification that has not yet been closed by DTC.**~~

~~**Sample Screen**~~

```
X$VC        PARTICIPANT INQUIRY NOTIFICATION SYSTEM        MM/DD/YY
00002199-99          NOTIFICATION CANCEL              HH:MM:SS

CONTROL#: 99138 -1         ACTV: ARN
DEPARTMENT: ANNOUNCEMENT
   AREA:
PARTICIPANT NUMBER:     2199   XYZ SEC
CUSIP: 45168C734   AAAA
EXPLANATION:                              DATE OF DIFF: 05/07/99
DTC TEST


REPLY:
G
A RESPONSE WILL BE FORTHCOMING UPON COMPLETION OF OUR
RESEARCH.  ALL QUESTIONS RELATING TO THIS INQUIRY SHOULD

BE ADDRESSED TO THE RESEARCHER.


CANCEL THIS NOTIFICATION (Y/N): N

 PF1/13 TO UPDATE
```

~~**Field Descriptions**~~

~~This field~~	~~Displays~~
~~Control#~~	~~An entry field that allows you to specify the notification you want to reopen. Enter the control number that was~~

~~This field~~	~~Displays~~
	~~assigned when the notification was first entered.~~
~~Actv~~	~~The activity code that was specified for the notification.~~
~~Department~~	~~The DTC department to which the notification was directed.~~
~~Area~~	~~The area within the selected department to which this notification was directed, if applicable.~~
~~Participant Number~~	~~Your Participant number and name.~~
~~CUSIP~~	~~The CUSIP number of the security for which the notification was entered.~~
~~Explanation~~	~~The original explanation for the notification.~~
~~Date of Diff~~	~~The date on which the difference between our records and yours occurred.~~
~~Reply~~	~~DTC's reply to the notification, if any.~~
~~Cancel This Notification (Y/N)~~	~~An entry field that allows you to submit this cancel request. Type Y and press PF1/13.~~

~~Notification Inquiry Screen~~

~~The Notification Inquiry screen appears when you select option 2 on the PINS Menu, and allows you to search for and view DTC's responses to notifications. Page One of this display includes the notification and any replies; Page Two includes DTC research, photocopy, and fax statistics for the notification. These can be followed by a series of screens displaying interim replies.~~

~~When you first access the Notification Inquiry screen, it is blank until you enter the control number of the notification you want to view. See About Add Tickets and Close Tickets for more information about control numbers.~~

~~Sample Screen~~

```
 T$VV            PARTICIPANT INQUIRY NOTIFICATION SYSTEM
MM/DD/CCYY
 00002199-99              NOTIFICATION INQUIRY         PAGE 1   HH:MM:SS
 SERVICED PT#:     2199  TEST              DATE OF DIFFERENCE: 01/01/99
 CONTROL #:  98180 - 5                          ACTV: COUPON

 CUSIP: 459200101 XYZ CORP
 DEPT   10 DIV GENERAL       AREA :
 RT:     1.230000 REC DT: 120197 PAY DT: 010198
```

~~EXPL BY (NAME: JEN TEL #: 876328)~~
~~TEST~~

~~REPLY BY (NAME: JOHN SMITH TEL #: (212) 555-4321)~~
~~A RESPONSE WILL BE FORTHCOMING UPON COMPLETION OF OUR | ADDED ON : 04/29/99~~
~~RESEARCH. ALL QUESTIONS RELATING TO THIS INQUIRY SHOULD |~~
~~BE ADDRESSED TO THE RESEARCHER. | CLOSED ON:~~
~~| STATUS : OPEN~~
~~|~~
~~|~~
~~PF10/22 PF11/23 PF4/16 PF5/17 PF6/18~~
~~BACKWARD FORWARD PREV REPLY NEXT REPLY BROWSE SCR~~

~~Field Descriptions~~

~~The fields you may see on the Notification Inquiry screen will vary depending on the type of notification and the DTC department replying to the notification. For notifications that are still open, some fields may be blank.~~

~~This field~~	~~Displays~~
~~Signon Pt#~~	~~Your Participant number and name.~~
~~Date of Difference~~	~~The date on which the difference between our records and yours occurred.~~
~~Control#~~	~~An entry field that allows you to enter the control number of the notification you want to view. See About Add Tickets and Close Tickets for more information about control numbers.~~
~~Actv~~	~~The activity code.~~
~~CUSIP~~	~~The CUSIP number and description of the security for which this notification was created.~~
~~Dept~~	~~The DTC department to which the notification was directed.~~
~~Area~~	~~The area within the specified department responsible for the notification, if the selected department has multiple areas of responsibility.~~
~~Rt~~	~~The dividend rate.~~
~~Rec Dt~~	~~The record date.~~
~~Pay Dt~~	~~The dividend payable date.~~
~~W/T In~~	~~The Withdrawal-by-Transfer In date.~~

~~This field~~	~~Displays~~
~~W/T Out~~	~~The Withdrawal-by-Transfer Out date.~~
~~Expl By/ Tel#~~	~~The name and phone number of the person who created the notification.~~
~~Explanation~~	~~The reason for the notification.~~
~~Reply By/ Tel#~~	~~The name and phone number of the DTC person replying to the notification.~~
~~Source of Information~~	~~The source of the information as originally entered for the notification. Applicable only to Dividend Announcements.~~
~~Contact Name/ Tel#~~	~~The name and phone number of the person DTC should contact regarding the notification. Applicable only to Dividend Announcements.~~
~~Added On~~	~~The date the notification was added to the system.~~
~~Closed On~~	~~The date the notification was closed by DTC.~~
~~Status~~	~~The current status of the notification:~~ • ~~Open~~ • ~~Closed~~ • ~~Interim.~~
~~Auth~~	~~The entity authorized to close, or resolve, the notice.~~
~~Research Hrs~~	~~The number of hours DTC personnel spent researching the information to reply to the notification.~~
~~Photocopies~~	~~The number of photocopies of the certificate sent to you at your request.~~
~~Certificates~~	~~The number of certificates for which you want photocopies.~~
~~Faxes~~	~~The number of certificates faxed to you.~~

~~Function Keys~~

~~In addition to the standard function keys described in Using the Standard Function Keys, the following are available on *Page One* of the Notification Inquiry screen:~~

~~This key~~	~~Allows you to~~
~~PF4/16~~	~~Scroll back to a previous interim reply, if any.~~
~~PF5/17~~	~~Scroll forward to the next interim reply, if any.~~

~~Notification Reopen Screen~~

~~The Notification Reopen screen appears when you select option 7 on the PINS Menu, and allows you to reopen a previously closed notification and enter new information.~~

~~Sample Screen~~

~~X$VC PARTICIPANT INQUIRY NOTIFICATION SYSTEM MM/DD/YY~~
~~00000161-40 NOTIFICATION REOPEN HH:MM:SS~~

~~CONTROL # :991380-1~~
~~PARTICIPANT NUMBER: 2199 XYZ SEC~~
~~DEPARTMENT: AREA: ACTV:~~
~~CUSIP:~~
~~EXPLANATION: DATE OF DIFF:~~

~~NEW EXPLANATION:~~

~~REOPEN THIS NOTIFICATION (Y/N):~~
~~PF1/13:UPDATE~~

~~Field Descriptions~~

~~This field~~	~~Displays~~
~~Control#~~	~~An entry field that allows you to specify the notification you want to reopen. Enter the control number that was assigned when the notification was first entered.~~
~~Participant Number~~	~~Your Participant number and name.~~
~~Department~~	~~The DTC department to which the notification was directed.~~
~~Area~~	~~The area within the selected department to which this notification was directed, if applicable.~~
~~Explanation~~	~~The original explanation for the notification.~~
~~Date of Diff~~	~~The date on which the difference between our records and yours occurred.~~

~~This field~~	~~Displays~~
~~New Explanation~~	~~An entry field that allows you to describe the new information that prompted you to reopen the notification.~~
~~Reopen This Notification (Y/N)~~	~~An entry field that allows you to submit this reopen request. Type Y and press PF1/13.~~

~~**Overall Timeliness Screen**~~

~~**The Overall Timeliness screen appears when you press PF6/18 on the Departmental Statistics screen. This screen is part of the Participant Reported Inquiries Monthly Evaluation (PRIME) function and displays statistical information regarding DTC's timeliness in responding to your notifications.**~~

~~**Sample Screen**~~

```
Q$VC      PARTICIPANT REPORTED INQUIRY MONTHLY EVALUATION
MM/DD/YY
00002199-99          OVERALL TIMELINESS              HH:MM:SS


 PARTICIPANT: 2199   XYZ CORP              FROM:  02 / 2000 (MM/CCYY)
 DEPT: 0010 DIV GENERAL                   AREA:

   PARTICIPANT                          DTC

 UNDER 6 DAYS    2                    SAME DAY      0
 6 - 10 DAYS     1                  NEXT DAY      0
 11 - 30 DAYS    0                   2 DAYS        1
 31 - 180 DAYS   1                    3 - 5 DAYS    2
 OVER 6 MONTHS   0                    OVER 5 DAYS   0


INQUIRIES RECEIVED (EST)

MORNING (6 AM-11:30 AM)        18%
AFTERNOON (11:30 AM-2PM)     48%
NIGHT (2 PM-8PM              34%




PF5/17: DEPT LIST   PF6/18: VIEW COUNTS  PF11/23: FORWARD   PF10/22:
BACKWARD
```

~~Field Descriptions~~

~~This field~~	~~Displays~~
~~Participant~~	~~Your Participant number.~~
~~From~~	~~The date of the inquiry in *mm/ccyy* format.~~
~~Dept~~	~~The department you are inquiring about.~~
~~Area~~	~~The area the department falls under; *optional*.~~
~~Participant~~	~~The number of notifications sent, separated into the applicable time frames that show the number of days between the date of the difference and the date the notification was created.~~
~~DTC~~	~~The number of notifications resolved by DTC (excluding Unident items), separated into the applicable time frames that show the number of days between the date the notification was added to the system and the date of resolution.~~
~~Inquiries Received (EST)~~	~~A percentage breakdown of the times (Morning, Afternoon, Night) that inquiries were recieved that month.~~

~~Function Keys~~

~~In addition to the standard function keys described in Using the Standard Function Keys, the following are available on the Overall Timeliness screen.~~

~~This key~~	~~Allows you to~~
~~PF5/17~~	~~Access the Department List screen.~~
~~PF6/18~~	~~Return to the Departmental Statistics screen.~~

~~Participant Timeliness Screen~~

~~The Participant Timeliness screen appears when you select option 5 on the PINS Menu. This screen is part of the Participant Reported Inquiries Monthly Evaluation (PRIME) function and displays statistical information on a monthly basis. Information is available for up to one year. For the current month, information is available through the previous day's close of business. When you first access the Participant Timeliness screen, it is blank until you enter a date.~~

~~Sample Screen~~

~~T$VV PARTICIPANT REPORTED INQUIRY MONTHLY EVALUATION~~

```
MM/DD/CCYY
 00002199-99              PARTICIPANT TIMELINESS              HH:MM:SS

 SIGNON PT#:   2199      TEST                        FROM:  09 / 98
                                                  SEPTEMBER 98
       BEARER  BEARER  DEPOSIT  COD   W/T   UNIDENT  DO   COLL  DEPFAC
TOTAL
        DEP     COD                                 LOAN
 SENT      0      0      8      1      0      0      8      0      0      17


 PARTICIPANT TIMELINESS

 UNDER 6 DAYS       9
 6 - 10 DAYS        1
 11 - 30 DAYS       1
 31 - 180 DAYS      7
 OVER 6 MONTHS      0





 PF6/18 TO VIEW DTC TIMELINESS  PF11/23 SCROLL FORWARD  PF10/22SCROLL
BACKWARDS
```

~~Field Descriptions~~

~~This field~~	~~Displays~~
~~Signon Pt#~~	~~Your Participant number and name.~~
~~From~~	~~The month and year being displayed. You can use the scrolling keys to view the previous or next month's data.~~
~~Sent~~	~~The number of notifications sent to DTC, broken down by activity code. The total appears on the right.~~
~~Participant Timeliness~~	~~The number of notifications sent, separated into the applicable time frames that show the number of days between the date of the difference and the date the notification was created.~~
~~Unnecessary Inq's~~	~~The total number of notifications that DTC deemed unnecessary, and the percentage they represent of the total number of notifications.~~
~~Trf Info on STSE~~	~~The number of notifications where transfer information was available via the STSE function.~~
~~Adj Info on PART~~	~~The number of notifications where adjustment information was available via the PART function.~~

~~This field~~	~~Displays~~
~~"DO" Copy on PART~~	~~The number of notifications where DO transaction copy information was available via PART.~~
~~Incorrect Info-Inq~~	~~The number of notifications where incorrect information was entered.~~
~~Info on "AWTI"~~	~~The number of notifications where Withdrawal-by-Transfer information was available via the AWTI function.~~
~~Participant Activity Errs~~	~~The number of activity differences DTC deemed were caused by Participant error.~~
~~Adjustment Required~~	~~The number of notifications requiring DTC to make account adjustments.~~
~~No Adjustment Required~~	~~The number of notifications that did not require account adjustments.~~

~~Function Keys~~

~~In addition to the standard function keys described in Using the Standard Function Keys, you can press PF6/18 on the Participant Timeliness screen to display the DTC Timeliness screen.~~

~~*Note* - **This key normally allows you to toggle between the Participant Timeliness and DTC Timeliness screens, however, if you overtype the date in the From field and press PF6/18, the display changes to the new date.**~~

PINS Menu

~~The PINS Menu allows you to select the inquiry or notification activity you need to perform and to access the Bulletin Board.~~

Sample Screen

```
Q$VC            PARTICIPANT INQUIRY NOTIFICATION SYSTEM          MM/DD/YY
00002199-99                                    HH:MM:SS
XYZ CORP

1. NOTIFICATION ADD                    6. END OF MONTH CONFIRM INQUIRY
```

2. ~~NOTIFICATION INQUIRY~~ ~~7. NOTIFICATION REOPEN~~

~~3. NOTIFICATION BROWSE~~ ~~8. NOTIFICATION CANCEL~~

~~4. NOTIFICATION BROWSE BY CUSIP~~ 9. OVERALL PRIME

5. RECONCILIATION PRIME 10. BULLETIN BOARD BROWSE

11. END OF MONTH CONFIRMATIONS

ENTER: PROCESS PF8/20: END FUNCTION PF9\21: SIGNOFF

Field Descriptions

The only field on the PINS Menu is the **Enter** Option field, which allows you to enter one of the following:

- ~~**1: To add a new notification**~~
- ~~**2: To view the details of a specific notification**~~
- ~~**3: To browse through lists of notifications**~~
- ~~**4: To browse through lists of notifications for a specific security**~~
- 5: To access the PRIME screens and view timeliness evaluations, both yours and DTC's
- 6: To view the details of your End of Month confirmations
- ~~**7: To reopen a closed notification**~~
- ~~**8: To cancel a notification.**~~
- 9: To access the PRIME screens for all PINS departments and view timeliness evaluations, both yours and DTC's
- 10: To view items on the Bulletin Board.
- 11: To confirm, browse, and add notifications for a specific date.

Function Keys

In addition to the standard function keys described in Using the Standard Function Keys you can press PF3/15 on the PINS Menu to access the Bulletin Board.

WINS:

Overview

The Web Inquiry Notification System (WINS) allows you to notify DTC of differences between your records and ours regarding a specific activity. In turn, WINS allows DTC to send replies back to you. Notifications are currently handled for:

- **Dividends**
- **Stock Dividends**
- **Redemptions**
- **Custody**
  Reorg Mandatory
  Reorg Voluntary
  Reorg Announcements
  Securities Processing

When to Use

Use WINS when you want to:

- **Add notifications to the system, report activity differences to DTC. See Create New Inquiry.**
- **Inquire about the status of an existing notification. See Research Recent Inquiries.**
- **Browse lists of open, closed, and interim notifications. See Interim Responses.**
  Search for an inquiry that has been archived. See Inquiry Archive Research.
- **Reopen closed notifications. See Reopen an inquiry.**
- **Cancel previously entered notifications. See Cancel an Inquiry.**

Creating a New Inquiry
Use the following procedure to notify DTC of a difference between your records and ours regarding a specific activity.

1. **Select WINS from the Participant Browser Home page**
2. **Click Create new Inquiry tab – This will bring you to the ENTER Inquiry Details screen.**
   1. **Select the Department.**
   2. **Select the Product.**
   3. **Select the Issue.**
   4. **Type the CUSIP number. It must be a 9 character alphanumeric value.**

Click Continue on the screen where you selected the Inquiry Type.

- **Depending on the Inquiry Type, the options you can select in the Additional Inquiry Details table will be different.**
- **Click the Continue button to go to the Review and Submit Your Inquiry screen.**

1. To submit the inquiry, click the Submit Inquiry button.
2. A message will display at the top of the screen to notify you that the inquiry has been successfully created.
3. Click the Return Home button to head back to the home page

Cancel an Inquiry
1. Click the Cancel button on the row of the inquiry that you wish to cancel. A pop-up appears asking you to confirm that you would like to cancel the inquiry.
2. On the pop-up, click the Cancel Inquiry button.

Click the View button on the row of the inquiry that you wish to cancel. This will open an overview page of that inquiry.
Click the Cancel Inquiry button. A pop-up appears asking you to confirm that you would like to cancel the inquiry.
On the pop-up, click the Cancel Inquiry button.

After confirming that you wanted to cancel that inquiry, a message is displayed indicating that the inquiry has successfully been canceled.
Click the Return Home button to head back to the home page. The inquiry is no longer listed on that page.

Research Recent Inquiries
The WINS System allows you to search for inquiries previously entered in the system right from the home page.

Searching Archived Inquiries
1. Select or type your search criteria below:

Creation Mode - Specify if the inquiry you are searching for was submitted over the phone or via the Web.
CUSIP - Type the CUSIP number you associated with the inquiry.
Ticket Number - Type the ticket number assigned to the inquiry.
Inquiry Type - Select the type of inquiry.
Inquiry Date Range - Type or select the timeframe in which the inquiry was created.
Created By - Select the user who created the inquiry.
Status - Indicate whether the inquiry you are searching for is opened or closed.

Click Apply Filters to search for inquiries that meet those specifications.
The page will refresh and display only the inquiries that match all the filters you selected.

Interim Response Notification
Next to the status of an inquiry on your home page, you might see an envelope icon. If this appears, that means you have a message related to that inquiry ("interim response").

Viewing an Interim Response
1. Click the View button. The Open Inquiry page appears.
2. You can view the message in the DTCC Response section of the page.

Click the Return Home button to head back to the home page. The envelope indicating that there was an interim response is no longer present.

Reopening a Closed Inquiry
In the status column of your home page, an inquiry can be labeled either Open or Closed.

1. **Click the View button. The Closed Inquiries page appears displaying the details of that inquiry.**

2. **In the DTCC Response section, the top response relates to the inquiry being closed. Click the Reopen Inquiry button in that response. The screen will then refresh.**
3. **In the Comments field, enter the reason why you are reopening the inquiry.**
4. **Click the Submit Inquiry button.**
5. **Here you are asked to confirm that you want to reopen this inquiry. Click the Continue button to proceed.**

Accessing the Archive
1. Click either the Inquiry Archive tab or the Inquiry Archive link (on home page only) to access the archive.
Once the archive is open, you will be able to see all the options you can use to search.

Searching Archived Inquiries
Select or type your search criteria in any of the fields below:

Creation Mode - Specify if the inquiry you are searching for was submitted over the phone or via the Web.
CUSIP - Type the CUSIP number you associated with the inquiry.
Ticket Number - Type the ticket number assigned to the inquiry.
Inquiry Type - Select the type of inquiry.
Inquiry Date Range - Type or select the timeframe in which the inquiry was created.