



B #:	12964-20
Date:	February 21, 2020
To:	All Participants
Category:	Operations
From:	Asset Services Product Management
Attention:	Officers / Cashiers / Operations Management
Subject:	Implementation of the New DTC Imaging System

As noted in Important Notice B#: 11786, published July 2019, DTC is pleased to announce that it will be implementing a new imaging platform for Securities Processing on February 28, 2020. The existing system is reaching end-of-life, which prompted DTC to replace it and provided the opportunity to design a new system with modernized infrastructure.

Implementation of the new imaging system will mainly impact DTC's internal operations. There are however, three important changes that clients should be aware of:

1. Currently, clients can obtain images of their deposits – certificates and documents - via the Imaging: Fax or Email (IFE) function available on the BDSI, CUST, DAMP and RDSP functions and the STDI, STSL and STSE sub-functions in the Participant Terminal System (PTS).

Upon implementation of the new imaging system, DTC will replace the IFE function with a new web-based image viewer that clients will only be able to access through the Participant Browser System (PBS).

The new image viewer will provide clients with a convenient way to obtain images of their deposits on demand, which they can view, download and store directly from their workstations, according to business needs.

Individual staff members at client firms do not need to take any action to use the new image viewer if they already have access to PBS and one or more of the associated functions and sub-functions listed above.

Upon launch of the new imaging system, clients' Super Access Coordinators (SACs) should continue to use the IFE sub-functions to permission individual staff members to use the image viewer.

Please review the attached document for additional detail and instructions about the new image viewer.

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.

2. The fees for clients' usage of the new image viewer on February 28 (the day that the new imaging system launches) will be reflected in their February 2020 billing invoices in the line item labelled "Transmission of image of deposit by fax or e-mail, first recipient."

Effective with the March 2020 billing invoices (to be produced in April 2020) DTC will replace the description of the fee for IFE with a description of the fee for the image viewer, which will be labelled as "Request to display/download an Image" (the fee itself will remain unchanged). Likewise, DTC will update its Fee Guide accordingly.

Please review the attached document for information about the calculation of fees for using the new image viewer.

3. As previously communicated to the affected clients, DTCC will no longer support IWPM (ImagePlus Workstation Program), which a small number of clients currently use to view their images, as it will not be compatible with the new system. This applies only to instances of IWPM that DTCC directly supports. Clients who may have their own instances of IWPM will not be impacted.

Questions regarding the new imaging system may be directed to Securities Processing Product Manager Jennifer Torezan at (212) 855-7624 / jtorezan@dtcc.com or your relationship manager.

IMAGE VIEWER INSTRUCTIONS

DTC's New Web-based Image Viewer

Upon launch of DTC's new imaging system, DTC will replace the Image: Fax and E-mail (IFE) option, which clients currently access through several functions on the Participant Terminal System (PTS), with a new web-based image viewer, available only through the equivalent functions on the Participant Browser System (PBS).

Existing Staff Members

In most cases, staff members who already have access to PTS, one or more of the functions that contain IFE and the associated entitlement/sub-function to IFE itself, will be able to log into PBS, find the equivalent function and select the image viewer hyperlink to launch an image.

Staff members who are not familiar with logging into PBS should contact their Super Access Coordinator (SAC) to ensure that they have access to PBS.

New Staff Members

New staff members who will need to view images through the image viewer should contact their SAC to obtain:

1. Access to PBS
2. Entitlement(s) to one or more of the following PBS functions
3. Entitlement(s) to the associated IFE sub-functions*

* SACs should continue to use the IFE sub-functions to control individual staff member access to the image viewer.

PTS Function	Equivalent PBS Function	Description	IFE Sub-Function (for Image Viewer)
CUST	Custody Services	For Custody deposits	AIM5
DAMP	Deposit Automation	For regular, bearer/nontransferable, and reorg deposits	DAM2
BDSI	Branch Inquiry	For branch deposits	BDS4
RDSP	Restricted Deposit Service	For deposits of certificates bearing a restricted legend	RDS1
STDI	Deposit Inquiry	For deposits still in transfer as of the close of business the previous business day	STP1
STSE	Securities Transfer Inquiry	For external participant transfer inquiry	STP2
STSL	Securities Transfer Legal Deposits	For legal deposits	STSF

Example of What to Expect – Navigating to the Image Viewer from PBS Custody Services

1. Clients who previously accessed images through the PTS CUST Function should log into PBS and navigate to the Securities Processing Services. You will notice that PBS screens look like web pages, while PTS screens resemble “green screens.”

Participant Browser Services (PBS) DTCC [Log Out](#)

Welcome to PBS!
Participant Browser Services (PBS) is the browser based version of the Participant Terminal System(PTS) offering standardized language and streamlined functionality.

IMPORTANT NOTICE
DTCC is moving to a standardized and centralized support model that allows us to provide more of an interactive and intuitive client experience. As a result, we are replacing the WINS Inquiry functionality with a Support option within MyDTCC. In order to ensure that you are ready to take advantage of the new feature and allow you to continue to submit inquiries, it is important that your user ID is visible or claimed within MyDTCC. While we are currently in the initial transition phases, we strongly recommend that you claim your ID by December 6, 2019 to avoid disruptions with submitting inquiries. Should you require assistance with claiming your ID, please contact your Super Access Coordinator at your firm.

For additional support contact the [Client Center](#).

We may place cookies and local shared objects on your computer. By using our Web site, you consent to this. See our [Privacy Policy](#) for more information.

Clearance and Settlement Services

Settlement Services
Access to settlement details, activity and risk management information, with full DTC settlement processing capabilities.

Omgeo Services
Access to functions for Participants that utilize Omgeo trade processing services.

Canadian Dollar Settlement Services
Access to Canadian dollar Settlement/ P& I activity and details with full Canadian Dollar Settlement processing capabilities.

Asset Services

Corporate Action Services
Dividend & Reorganization Announcement Information as well as full corporate action processing functions offered by DTC.

Corporate Trust Services
Inquiry and processing functions for transfer, issuance and paying agents.

Securities Processing Services
Access to complete processing information as well as complete processing functionality for deposits, withdrawals, and other related physical processing services offered by DTC.

Self Service Password Management System

Do you want the power to reset your own password?

The Solution: Get registered for Self Service Password Management, control the ability to reset your own password and SAVE TIME!!

Please click on the link below and follow the easy step by step instructions.

[Self Service Password Management System](#)

If you have any questions, please contact DTCC Customer Support at:
888-382-2721 option 1, then option 1 (US and Canada)

SMART/Search

DTCC Reports **Omgeo Reports**
SMART/Search for Archived Reports is a DTCC facility that permits customers to access important informational reports. In a limited pilot release since 2004, SMART/Search now provides all customers the ability to review up to seven years' history of activity, positions, settlement, billing and more.
Beginning June 30th, 2008, Omgeo clients are able to access important Omgeo Reports via the Omgeo Reports link above.

Web Inquiry and Notification Service (WINS)/Month End Confirmations

End Of Month Confirmation (PINS)
Browse and submit month end confirmations.

Web Inquiry and Notification Service (WINS)
Submit inquiries to DTCC's Customer Service Department, track the status and receive responses.

Utilities

- > [Security Detail](#)
- > [SMART/Search](#) (Replaces RPNA)
- > [Settlement ISO Message Test Facility](#)
- > [Part PIN/Password System \(PSWD\)](#)
- > [Part PIN/Password Inquiry \(PSWI\)](#)
- > [Forms Order System](#)
- > [Dynamic Ticket Printing](#)
- > [JPTS](#) is no longer available
- > [Part Entry of UJW \(PUNJD\)](#)
- > [DTCC Portal \(new\)](#)

2. From there, you should select Custody Services.

PBS - Securities Processing Services TEST/PSE DTCC

Home **Message Center** **Change Password** **Help** **PTS** **Logout**

Welcome to Securities Processing Services
Securities processing information as well as complete processing functionality for deposits, withdrawals, and other related physical processing services offered by DTC.

Securities Processing Utilities

- > [Security Detail](#)
- > [SMART/Search](#)
- > [PINS](#)
- > [SMART/Messages](#)
- > [Master File Name Inquiry](#)

Product Functions

Custody
> [Custody Services](#)

Deposits

- > [Branch Deposit Inquiry](#)
- > [Deposit Automation](#)
- > [Depository Facility Deposits](#)
- > [Deposit Processing](#)
- > [Night Direct Deposit/Withdrawal](#)
- > [Deposit Reject Inquiry](#)
- > [Part Direct Deposit/Withdrawal](#)
- > [Pending Legal Deposits](#)
- > [Restricted Deposit Service - Participant](#)
- > [Deposit Inquiry](#)
- > [Securities Transfer Legal Deposit](#)

Direct Registration

- > [Direct Registration System](#)
- > [Direct Registration System Profile Modification \(Participant\)](#)

> **Office of Foreign Asset Control Response**

Networking for Equities
> [Networking for Equities](#)

Withdrawals

- > [AWT Transaction Report](#)
- > [Certificate on Demand](#)
- > [Municipal Bond Certificate on Demand](#)
- > [DMA CCF Transmission Update](#)
- > [Direct Mail by Depository Kill Transaction](#)
- > [Night COD For Muni Bearer Bonds](#)
- > [Night Certificates on Demand](#)
- > [Auto Night Withdrawal by Transfer](#)
- > [Worthless Securities Movements](#)
- > [Rush Withdrawal by Transfer](#)

Other Securities Processing Functions

- > [Envelope Control System Inquiry](#)
- > [Envelope Control System for Participants](#)
- > [Fractional Security Info & Processing](#)
- > [Imaging Fax and Email - Status Inquiry](#)
- > [Imaging Workstation Inquiry](#)
- > [Lost Certificate Inquiry](#)
- > [Billable Reject Inquiry](#)
- > [Securities Transfer Inquiry](#)

3. In Custody Services, you can search for a certificate by CUSIP and select the image of the certificate that you would like to view.

PBS - Securities Processing Services DTCC

Home Message Center Change Password Help Clear Logout

Participant Custody System - Certificate Inquiry

Pr09 - Select Certificate For Detailed Information or Continue the Browse 11/29/19 - 15:46:37
Logged on as: 00009163-28

Main Menu * = Required

Part ID:	00009163	CUSIP:	459200 10 1 *	As of Date:	11292019 @
DTC Box #:		Cust Acct:		Ref #:	
Cert ID:		Seq ID:		Sec Descr:	INTER BUSINESS MACH<

[Submit](#)

[< Previous](#) [Next >](#)

Search Results

Select	Certificate ID	Sequence ID	DTC Box #	Certificate Status	In Activity Date	Out Activity Date	Denomination
<input checked="" type="checkbox"/>	0000AAA3434	000	0000902		10222019		150.
<input type="checkbox"/>	0000AAA3435	000	0000902		10222019		150.
<input type="checkbox"/>	0000AAA3436	000	0000902		10222019		150.
<input type="checkbox"/>	0000AAA3437	000	0000902		10222019		150.
<input type="checkbox"/>	0000ABAC1111	000	0000928		10222019		50.
<input type="checkbox"/>	0000ABAC2222	000	0000928		10222019		50.
<input type="checkbox"/>	0000ABAC3333	000	0000928		10222019		100.
<input type="checkbox"/>	0000NUNU2033	000	0000928		10222019		100.
<input type="checkbox"/>	0000NUNU2034	000	0000928		10222019		100.
<input type="checkbox"/>	0000AAA1212	000	0000902		10222019		100.

[< Previous](#) [Next >](#)

[Submit](#)

Totals

Total Certificates:	25	With Quantity:	2,050.
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[Previous Screen](#)

Services Menu	Function Menu
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4. You can then click on the View Image hyperlink to launch the image viewer (which is labeled “Image” on some PBS screens).

Using the image viewer, you can view, rotate and save images to their workstations, which is recommended if you need to view the same image more than once.

Please Note: The View Image and Image hyperlinks, when clicked, will launch the image viewer. Each click on these links will incur a fee for using the image viewer, even if the same staff member had previously viewed the certificate through the image viewer.

The screenshot shows the 'Participant Custody System - Certificate Inquiry' page. At the top, there is a navigation bar with 'Home', 'Message Center', 'Change Password', 'Help', 'Clear', and 'Logout'. The page title is 'Participant Custody System - Certificate Inquiry' and it shows the user is logged on as '00009163-28' on '11/29/19 - 15:47:09'. The main content area is divided into two sections: 'Certificate Information' and 'Dates and Indicators Information'. The 'Certificate Information' section contains fields for Participant ID, DTC Box Number, Certificate ID, CUSIP, Customer Account, Sequence ID, As of Date, Reference Number, and Security Description. The 'Dates and Indicators Information' section contains fields for In-Activity Date, Out-Activity Date, Issuance Date, Journal Processing Date, Micro Image Number, Transfer Agent, Reg/Bear Indicator, Negotiable Status, Custody ID, Document Indicator, Original In-Activity Date, Denomination, Participant Internal Reference Number, OFAC Indicator, Taxpayer ID, Restricted Indicator, and Restricted Expiration Date. At the bottom of the page, there is a navigation bar with 'View Image', 'Next Screen', and 'Previous Screen' links. The 'View Image' link is circled in red, and a callout box points to it with the text 'Link to new image viewer * Labeled "Image" on some PBS Screens'.

Instructions for Chrome and IE Setup for Image Viewer

To use the Image Viewer in Chrome, no setup is required.

To use the Image Viewer in Internet Explorer (IE), clients must install the “Adobe PDF Reader” add-on to be able to view and rotate images.

Steps to Install the “Adobe PDF Reader” Add-on

1. Open an IE window
2. Click Settings (Gear Icon in the upper right corner)
3. Select Manage add-ons
4. Select “Show All”
5. Select “Adobe PDF Reader”. If not available, contact your systems administrator.
6. When viewing an image, right click your mouse and select option to “Rotate Clockwise”