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PANS:

Introduction

Overview

The Participant Inquiry for Proxy Announcements (PANS) function allows you to make inquiries and receive immediate responses concerning all proxy announcements. You can view:

- New and updated meetings or consents announced within the past five (5) business days in CUSIP or meeting/expiration date order
- Associated proxy position and history for any meeting or consent in date order, starting with the capture date
- Transaction details.

The primary objective of PANS is to help you determine how DTC arrived at your proxy position. The position is available from capture date to 60 business days after the meeting/expiration date.

Note- For some Canadian issues, voting rights may be available under certain conditions to the transferee of shares transferred after the record date for the meeting.

When to Use

Use PANS whenever you want to understand how DTC determined your proxy position.

PANS is available:

- On business days 24 hours a day
- On Saturdays from 7:00 a.m. to 3:00 p.m. eastern time.

Associated Products

PANS is used in association with the Proxy product

List of Procedures:

Viewing Announcements for a Specific Meeting or Expiration Date

Use the following procedure to view announcements for a specific meeting or expiration date.

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

Result- The Proxy Announcement Menu appears.

2 Type 3 in the **Option field**.

3 Type M or C in the **Announcement Type** field.

4 Type a date in the **Meeting/Expiration** field in *mmddyy* format and press ENTER.

Result- One of the following screens appears:

- Proxy Meeting Announcement Inquiry List
- Consent Announcement Inquiry List.

5 Type one of the following in the **Sel** field and press ENTER:

- X: To view additional meeting or consent information
- P: To view your record date positions.

Result- One of the following screens appears:

- Proxy Meeting Announcement Inquiry List with additional information
- Consent Announcement Inquiry List with additional information
- Consent Important Notice
- Proxy Meeting Record Date Position Summary
- Consent Record Date Position Summary.

6 *Optional.* Type X in the **Sel** field next to a meeting or consent announcement and press ENTER.

Result- One of the following screens appears:

- Proxy Meeting Record Date Position Detail
- Consent Record Date Position Detail.

Viewing Announcements in CUSIP Order

Use the following procedure to view announcements in CUSIP order.

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

Result- The Proxy Announcement Menu appears.

2 Type 4 in the **Option field**.

3 Type a CUSIP number in the **CUSIP** field and press ENTER.

Result- One of the following screens appears:

- Proxy Meeting Announcement Inquiry List
- Consent Announcement Inquiry List.

4 Type one of the following in the **Sel** field and press ENTER:

- X: To view additional meeting or consent information
- P: To view your record date positions.

Result- One of the following screens appears:

- Proxy Meeting Announcement Inquiry List with additional information

- Consent Announcement Inquiry List with additional information
- Consent Important Notice
- Proxy Meeting Record Date Position Summary
- Consent Record Date Position Summary.

5 *Optional.* Type X in the **Sel** field next to a meeting or consent announcement and press ENTER.

Result- One of the following screens appears:

- Proxy Meeting Record Date Detail
- Consent Record Date Position Detail

Viewing New Announcements

Use the following procedure to view proxy meeting or consent solicitation announcements.

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

Result- The Proxy Announcement Menu appears.

2 Type 1 in the **Option field**.

3 Type M or C in the **Announcement Type** field and press ENTER.

Result- One of the following screens appears:

- New Proxy Meeting Announcements
- New Consent Announcements.

4 Type one of the following in the **Sel** field and press ENTER:

- X: To view additional meeting or consent information
- P: To view your record date positions.

Result- One of the following screens appears:

- New Proxy Meeting Announcements with additional information
- New Consent Announcements with additional information
- Consent Important Notice
- Proxy Meeting Record Date Position Summary
- Consent Record Date Position Summary.

5 *Optional.* On the Proxy Meeting Record Date Position Summary screen, or the Consent Record Date Position Summary screen, press PF2/14.

Result- One of the following screens appears:

- Proxy Meeting Record Date Position Detail
- Consent Record Date Position Detail.

Viewing Updated Announcements

Use the following procedure to view update proxy meeting or consent solicitation announcements.

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

Result- The Proxy Announcement Menu appears.

2 Type 2 in the **Option field**.

3 Type M or C in the **Announcement Type** field and press ENTER.

Result- One of the following screens appears:

- Updated Proxy Meeting Announcements
- Updated Consent Announcements.

4 Type one of the following in the **Sel** field and press ENTER:

- X: To view additional meeting or consent information
- P: To view your record date positions.

Result- One of the following screens appears:

- Updated Proxy Meeting Announcements with additional information
- Updated Consent Announcements with additional information
- Consent Important Notice
- Proxy Meeting Record Date Position Summary
- Consent Record Date Position Summary.

5 *Optional.* On the Proxy Meeting Record Date Position Summary screen, or the Consent Record Date Position Summary screen, press PF2/14.

Result- One of the following screens appears:

- Proxy Meeting Record Date Position Detail
- Consent Record Date Position Detail.

List of Screens:

Consent Announcement Inquiry List

The Consent Announcement Inquiry List appears when you select option 3 or 4 on the Proxy Announcement Menu and enter C in the **Announcement Type** field. This screen displays a list of consent announcements for a specific date or CUSIP, depending on the criteria you entered.

Sample Screen



```

QS83                DEPOSITORY TRUST COMPANY                MM/DD/YY
00002199-99        CONSENT ANNOUNCEMENT INQUIRY LIST        HH:MM:SS
                                                           PAGE 1 OF 1

EXPIRATION DATE: 08 03 99

RECORD   EXTENDED   LATE   CUTOFF   POS   CAN
SEL      CUSIP      DATE   FROM     IND   DATE   IND  IND

(X)DETAIL, (P)OSITION

ENTER:  PROCESS   PF 3/15 MEETINGS   PF 6/18 PREVIOUS   PF 7/19 MAIN MENU
PF 8/20 EXIT     PF 9/21 SIGNOFF   PF10/22 BACKWARD   PF11/23 FORWARD

```

Field Descriptions

The fields and function keys on the Consent Announcement Inquiry List are the same as those displayed on the New Consent Announcements screen.

Consent Important Notice Screen

The Consent Important Notice screen appears when you enter X in the **SEL** field of the New Consent Announcements screen and displays any comments related to a specific announcement.

Note- If there are no comments for the selected consent announcement, this screen does not appear.

Sample Screen

```

TXY7                DEPOSITORY TRUST COMPANY                MM/DD/YY
00002199-99        CONSENT IMPORTANT NOTICE        HH:MM:SS
                                                           PAGE 1 OF 1

SUFFOLK IDA RV VA   D06/01/94   6.000%
CUSIP: 864815 AR 6

RECORD   EXPIRATION   EXTENDED   LATE   CUTOFF   POS
DATE     DATE          FROM     IND   DATE     IND
00 00 00   10 03 94     00 00 00
00 00 00

09-20-94: XYZ BANK (THE "TRUSTEE") IS SOLICITING CONSENTS FROM THE HOLDERS
OF THE BONDS. PARTICIPANTS WISHING TO CONSENT SHOULD SUBMIT

CONSENTS TO THE TRUSTEE: XYZ BANK, ATTN: JANE DEWITT,
1999 MAIN STREET, 20TH FLOOR, RICHMOND, VA 23219. PARTICIPANTS
WISHING INFORMATION AND/OR MATERIAL SHOULD CONTACT THE TRUSTEE AT
(999) 999-9999.

PF 6/18 PREVIOUS   PF 7/19 MAIN MENU
PF 8/20 EXIT       PF 9/21 SIGNOFF   PF10/22 BACKWARD
PF11/23 FORWARD

```

Field Descriptions

| This field | Displays |
|-----------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| CUSIP | The CUSIP number of the security. |
| Record Date | The date declared by the issuer to determine the holders of record. |
| Expiration Date | The expiration date of the announcement. |
| Extended From | The original solicitation's ending date. |
| Late Ind | One of the following: <ul style="list-style-type: none"> • L: Capture complete • P: Pending capture • Blank: Not late. |
| Cutoff Date | The New York Record Date (the date established by DTC for issues that do not have a Transfer or Drop Agent in New York City). |
| Pos Ind | One of the following if you have position in the relevant security: <ul style="list-style-type: none"> • P: Proxy position • *: DTC position • Blank: No position. |
| Comments | Special comments or pertinent information relating to the announcement. |

Consent Record Date Position Detail Screen

The Consent Record Date Position Detail screen appears when you enter X in the **Sel** field on the Consent Record Date Position Summary screen. This screen displays the details of all positions within DTC, and any adjustment activity that affects your eligible voting positions.

Sample Screen

```

TXY7                DEPOSITORY TRUST COMPANY                MM/DD/YY
00002199-99        CONSENT RECORD DATE POSITION DETAIL        HH:MM:SS
                                                            PAGE 1 OF 1

SUFFOLK IDA RV VA  D06/01/94  6.00%
      RECORD      EXPIRATION    CUTOFF      EXTENDED
CUSIP   DATE      DATE          DATE        FROM
864815 AR 6   00 00 00    10 03 94    00 00      00 00 00

PART ID: 2199/DTC TEST ACCOUNT

ACTIVITY DATE:    01 03 92    ACTIVITY:  RECORD POSITION(L)
NET VOTING POSITION: 53081

POSITION          ACCT          DESCRIPTION
53081             10            UNPLEDGED
    
```

PF2/14: ANN INQ PF6/18: PREVIOUS PF7/19: MAIN MENU PF8/20: EXIT
 PF9/21: SIGNOFF PF10/22: BACKWARD PF11/23: FORWARD

Field Descriptions

| This field | Displays |
|---------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| CUSIP | The CUSIP number of the security. |
| Record Date | The date declared by the issuer to determine the holders of record. |
| Expiration Date | The date the solicitation period ends. |
| Cutoff Date | The New York Record Date (the date established by DTC for issues that do not have a Transfer or Drop Agent in New York City). |
| Extended Date | The original solicitation end date. |
| Part ID | Your Participant number and name. |
| Activity Date | The record date, or the date an activity was captured that affected the record date of a meeting or consent. |
| Activity | <p>The description of position activity:</p> <ul style="list-style-type: none"> • Record Position: positions captured from ATP • Record Position (L): backdated position captured from ATP • Unstamp Rec Date Dep: Deposits captured on the record date but returned with Cede & Co. stock transferred after the record date; positions are adjusted to decrease voting or consent record dates. • Interim: DO activity made during the cutoff period • Journal- Interim* • Journal* • Journal- Transfer* • Interim (L)* • Journal (L)* • Cut-off Interim* • Adjustment. * <p>* DTC activities that are determined as adjustments to the record date position.</p> |
| Net Voting Position | Total proxy quantity shares for all activity dates. |
| Position | Your total of your proxy and non-proxy position. |
| Acct | The DTC account from which the position was captured. |
| Description | <p>The account description:</p> <ul style="list-style-type: none"> • Unpledge: DTC free position, eligible for voting rights • WT/transfer: DTC in-transfer position, not eligible. |

Function Keys

In addition to the standard function keys described in Using the Standard Function Keys, you can press PF2/14 on the Consent Record Date Position Detail screen to access the New Consent Announcements screen or the Updated Consent Announcements screen.

Consent Record Date Position Summary Screen

The Consent Record Date Position Summary screen appears when you enter P in the **Sel** field on the following screens:

- New Consent Announcements
- Updated Consent Announcements
- Consent Announcement Inquiry List.

This screen displays your positions eligible for consent exercise and allows you to select an item to view details.

Sample Screen

```

TX Y7                                DEPOSITORY TRUST COMPANY                                MM/DD/YY
00002199-99                          CONSENT RECORD DATE POSITION SUMMARY                      HH:MM:SS
                                                                PAGE 1 OF 1
SUFFOLK IDA RV VA   D06/01/94   6.00%
      RECORD      EXPIRATION      CUTOFF      EXTENDED
      DATE        DATE            DATE        FROM
864815 AR 6        00 00 00        10 03 94        00 00 00        00 00 00

PART ID: 2199/ DTC TEST ACCOUNT

SEL      ACTIVITY DATE      PROXY QTY      NON PROXY QTY      ACTIVITY
X        11 03 94          53081         0                  RECORD POSITION(L)

(X)DETAIL
NET VOTING POSITION:          53081

ENTER : PROCESS   PF2/14: ANN INQ   PF 6/18: PREVIOUS   PF 7/19: MAIN MENU
PF8/20: EXIT     PF9/21: SIGNOFF  PF10/22: BACKWARD  PF11/23: FORWARD
  
```

Field Descriptions

| This field | Displays |
|-----------------|-------------------------------------------------------------------------------------------------------------------------------|
| CUSIP | The CUSIP number of the security. |
| Record Date | The date declared by the issuer to determine the holders of record. |
| Expiration Date | The date the solicitation period ends. |
| Cutoff Date | The New York Record Date (the date established by DTC for issues that do not have a Transfer or Drop Agent in New York City). |
| Extended From | The original solicitation end date. |

| This field | Displays |
|---------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Part ID | Your Participant number and name. |
| Sel | An entry field that allows you to select a specific transaction and view its details. Enter an X. |
| Activity Date | The date an activity was posted or adjusted to the record date position. |
| Proxy Qty | The amount of voting position you have. |
| Non Proxy Qty | The amount of non-voting position you have. |
| Activity | <p>The description of position activity:</p> <ul style="list-style-type: none"> • Record Position: positions captured from ATP • Record Position (L): backdated position captured from ATP • Unstamp Rec Date Dep: Deposits captured on the record date but returned with Cede & Co. stock transferred after the record date; positions are adjusted to decrease voting or consent record dates. • Interim: DO activity made during the cutoff period • Journal- Interim* • Journal* • Journal- Transfer* • Interim (L)* • Journal (L)* • Cut-off Interim* • Adjustment. * <p>* DTC activities that are determined as adjustments to the record date position.</p> |
| Net Voting Position | Total proxy quantity shares for all activity dates. |

Function Keys

In addition to the standard function keys described in Using the Standard Function Keys, you can press PF2/14 on the Consent Record Date Position Summary screen to access the New Consent Announcements screen or the Updated Consent Announcements screen.

New Consent Announcements Screen

The New Consent Announcements screen appears when you select option 1 on the Proxy Announcement Menu and enter C in the **Announcement Type** field. This screen displays new proxy consent announcements and allows you to select an announcement to view its details.

Sample Screen

| | | |
|---------------------|-------------------------------------------------------|-------------------------------------|
| QS83 00002199-99 | DEPOSITORY TRUST COMPANY NEW CONSENT ANNOUNCEMENTS | MM/DD/YY HH:MM:SS PAGE 1 OF 1 |
|---------------------|-------------------------------------------------------|-------------------------------------|

```

REPORT DATE: 04 29 99

SEL          CUSIP          RECORD    MEETING  MTG  ADJOURNED  LATE  CUTOFF  POS  CAN
DATE        DATE          DATE      DATE     TYPE  FROM      IND  DATE   IND  IND

(X)DETAIL, (P)OSITION

ENTER:  PROCESS   PF 4/16 CONSENTS   PF 6/18 PREVIOUS   PF 7/19 MAIN MENU
PF 8/20 EXIT     PF 9/21 SIGNOFF   PF10/22 BACKWARD  PF11/23 FORWARD

```

Field Descriptions

| This field | Displays |
|---------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Report Date | An entry field that allows you to specify the date of the announcements you want to view. Enter a date up to five business days prior to the current date in <i>mmddy</i> format. <i>Optional. Default:</i> The current date. |
| Sel | An entry field that allows you to select an announcement to view one of the following: <ul style="list-style-type: none"> • X: To view announcement details • P: To view your position. <i>Optional.</i> |
| CUSIP | The CUSIP number of the security. |
| Record Date | The date declared by the issuer to determine the holders of record. |
| Meeting Date | The date of the shareholders' meeting. |
| Extended From | The original solicitation's ending date. |
| Late Ind | One of the following: <ul style="list-style-type: none"> • L: Capture complete • P: Pending capture • Blank: Not late. |
| Cutoff Date | The New York Record Date (the date established by DTC for issues that do not have a Transfer or Drop Agent in New York City). |
| Pos Ind | One of the following if you have position in the relevant |

| This field | Displays |
|-----------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | security: <ul style="list-style-type: none"> • P: Proxy position • *: DTC position • Blank: No position. |
| Can Ind | If the issue is Canadian, a C. |
| Solicitation Agent ID | The ID number of the solicitation agent. <i>Note</i> -This field and the following two fields appear only after you enter X in the Sel field. |
| Consent Payment | The letter Y if there is a fee associated with the consent. |
| Desc | Special comments or pertinent information relating to the announcement. |

Function Keys

In addition to the standard function keys described in Using the Standard Function Keys, you can press PF3/15 on the New Consent Announcements screen to access the New Proxy Meeting Announcements screen.

New Proxy Meeting Announcements Screen

The New Proxy Meeting Announcements screen appears when you select option 1 on the Proxy Announcement Menu and enter M in the **Announcement Type** field. This screen displays new proxy meeting announcements and allows you to select an announcement and view its details.

Sample Screen

```

QS83                                DEPOSITORY TRUST COMPANY                MM/DD/YY
00002199-99                        NEW PROXY MEETING ANNOUNCEMENTS          HH:MM:SS
                                          PAGE 1 OF 1

REPORT DATE: 04 29 99

SEL      CUSIP      RECORD      MEETING      MTG      ADJOURNED      LATE      CUTOFF      POS      CAN
          DATE      DATE      DATE      TYPE      FROM      IND      DATE      IND      IND

(X)DETAIL, (P)OSITION

```

ENTER: PROCESS PF 4/16 CONSENTS PF 6/18 PREVIOUS PF 7/19 MAIN MENU
 PF 8/20 EXIT PF 9/21 SIGNOFF PF10/22 BACKWARD PF11/23 FORWARD

Field Descriptions

| This field | Displays |
|----------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Report Date | An entry field that allows you to specify the date of the announcements you want to view. Enter a date up to five business days prior to the current date in mmddyy format. <i>Optional. Default:</i> The current date. |
| Sel | An entry field that allows you to select an announcement to view one of the following: <ul style="list-style-type: none"> • X: To view announcement details • P: To view your position. <i>Optional.</i> |
| CUSIP | The CUSIP number of the security. |
| Record Date | The date declared by the issuer to determine the holders of record. |
| Meeting Date | The date of the shareholders' meeting. |
| Mtg Type | The meeting type: <ul style="list-style-type: none"> • A: Annual • S: Special • G: General • E: Extraordinary • X: Extra. <i>Note -G, E, and X types apply to Canadian issues only.</i> |
| Adjourned From | The date of the original shareholders' meeting. |
| Late Ind | One of the following: <ul style="list-style-type: none"> • L: Capture complete • P: Pending capture • Blank: Not late. |
| Cutoff Date | The New York Record Date (the date established by DTC for issues that do not have a Transfer or Drop Agent in New York City). |
| Pos Ind | One of the following if you have position in the relevant security: <ul style="list-style-type: none"> • P: Proxy position • *: DTC position |

| This field | Displays |
|-----------------------|----------------------------------------------------------------------------------------------------------------------------------------------------|
| | <ul style="list-style-type: none"> Blank: No position. |
| Can Ind | If the issue is Canadian, a C. |
| Solicitation Agent ID | The ID number of the solicitation agent. <i>Note</i> -This field and the following field appear only after you enter X in the Sel field. |
| Name | The name of the solicitation agent. |

Function Keys

In addition to the standard function keys described in *Using the Standard Function Keys*, you can press PF4/16 on the New Proxy Meeting Announcements screen to access the New Consent Announcements screen.

Proxy Announcement Menu

The Proxy Announcement Menu allows you to select the activity you want to perform and to specify the security, date (s), and meeting type.

Sample Screen

```

QS83                                DEPOSITORY TRUST COMPANY                MM/DD/YY
00002199-99                        P R O X Y   A N N O U N C E M E N T   M E N U                HH:MM:SS

                                     (1) NEW ANNOUNCEMENTS
                                     (2) UPDATED ANNOUNCEMENTS
                                     (3) INQUIRY BY MEETING/EXPIRATION DATE
                                     (4) INQUIRY BY CUSIP

                                OPTION: _

ANNOUNCEMENT TYPE: _ ((M)EETING/(C)ONSENT)

                                CUSIP          RECORD          MEETING/
OPTIONALLY ENTER: ANNOUNCEMENT KEY: _____ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _
_ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _
                                OR
NEW/UPDATED ANNOUNCEMENT REPORT DATE: 04 29 99 (UP TO 5 BUSINESS DAYS PRIOR)

ENTER:  PROCESS      PF 8/20 EXIT      PF 9/21 SIGNOFF

```

Field Descriptions

| This field | Allows you to |
|------------|---------------|
|------------|---------------|

| This field | Allows you to |
|--------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Option | Enter one of the following: <ul style="list-style-type: none"> • 1: To view new proxy meeting or consent announcements • 2: To view updated proxy meeting or consent announcements • 3: To view proxy meeting or consent announcements in meeting or expiration date order • 4: To view proxy meeting or consent announcements in CUSIP order. |
| Announcement Type | Enter one of the following: <ul style="list-style-type: none"> • M: To view meeting announcements • C: To view consent announcements. |
| CUSIP | Enter the CUSIP number of the security whose announcements you want to view. <i>Required</i> for option 4. |
| Record | Enter the record date of the announcements you want to view. <i>Optional.</i> |
| Meeting/Expiration | Enter the meeting or expiration date of the announcements you want to view, in mmddyy format. <i>Required</i> for option 3. |
| Type | Enter the meeting type: <ul style="list-style-type: none"> • Annual • Special • General • Extraordinary • Extra. <p><i>Note</i> -G, E, and X types apply to Canadian issues only.</p> <i>Optional.</i> |
| New/Updated Announcement Report Date | Enter the date for which you want to view new or updated announcements, up to five business days prior to the current date. <i>Optional.</i> |

Proxy Meeting Announcement Inquiry List

The Proxy Meeting Announcement Inquiry List appears when you select option 3 or 4 on the Proxy Announcement Menu and enter M in the **Announcement Type** field. This screen displays a list of meeting announcements for a specific date or CUSIP, depending on the criteria you entered.

Sample Screen

```

QS83                                DEPOSITORY TRUST COMPANY                MM/DD/YY
00002199-99                        PROXY MEETING ANNOUNCEMENT INQUIRY LIST    HH:MM:SS
                                           PAGE 1 OF 4

MEETING DATE: 08 04 99

SEL      CUSIP      RECORD  MTG  ADJOURNED  LATE  CUTOFF  POS CAN
          CUSIP      DATE    TYPE    FROM      IND   DATE    IND IND
005125 10 9      06 14 99  A     00 00 00      00 00 00
068313 10 5      06 07 99  A     00 00 00      00 00 00
073302 10 1      06 07 99  A     00 00 00      00 00 00
090433 10 3      06 15 99  A     00 00 00      00 00 00
090931 10 6      06 17 99  A     00 00 00      L   06 16 99
33761M 10 1      06 29 99  A     00 00 00      06 25 99      C

(X)DETAIL, (P)OSITION

ENTER:  PROCESS      PF 4/16 CONSENTS    PF 6/18 PREVIOUS    PF 7/19 MAIN MENU
PF 8/20 EXIT        PF 9/21 SIGNOFF    PF10/22 BACKWARD    PF11/23 FORWARD
  
```

Field Descriptions

The fields and function keys on the Proxy Meeting Announcement Inquiry List are the same as those displayed on the New Proxy Meeting Announcements screen.

Proxy Meeting Record Date Position Detail Screen

The Proxy Meeting Record Date Position Detail screen appears when you enter X in the **Sel** field on the Proxy Meeting Record Date Position Summary screen. This screen displays the details of activities that resulted in your latest record date position.

Sample Screen

```

QS83                                DEPOSITORY TRUST COMPANY                MM/DD/YY
00002199-99                        PROXY MEETING RECORD DATE POSITION DETAIL    HH:MM:SS
                                           PAGE 1 OF 1

SHLOMO CORP      +
          CUSIP      RECORD      MEETING  MTG      CUTOFF      ADJOURNED
          CUSIP      DATE    TYPE    DATE      FROM
005125 10 9      06 14 99  08 04 99  A     00 00 00      00 00 00

PART ID: 2199 / XYZ CO.
ACTIVITY DATE: 06 14 99      ACTIVITY: RECORD POSITION
NET VOTING POSITION:          8618
  
```


| POSITION | ACCT | DESCRIPTION |
|-----------------|------------------|-------------------|
| 8618 | 10 | UNPLEGDED |
| PF 2/14 ANN INQ | PF 6/18 PREVIOUS | PF 7/19 MAIN MENU |
| PF 9/21 SIGNOFF | PF10/22 BACKWARD | PF11/23 FORWARD |
| PF 8/20 EXIT | | |

Field Descriptions

| This field | Displays |
|----------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| CUSIP | The CUSIP number of the security. |
| Record Date | The date declared by the issuer to determine the holders of record. |
| Meeting Date | The date of the shareholders' meeting. |
| Mtg Type | <p>One of the following meeting types:</p> <ul style="list-style-type: none"> • A: Annual • S: Special • G: General • E: Extraordinary • X: Extra. <p><i>Note --Types G, E and X apply to Canadian issues only.</i></p> |
| Cutoff Date | The New York Record Date (the date established by DTC for issues that do not have a Transfer or Drop Agent in New York City). |
| Adjourned From | The date of the original shareholders' meeting. |
| Part ID | Your Participant number and name. |
| Activity Date | The date an activity was posted or adjusted to the record date position. |
| Activity | <p>The description of position activity:</p> <ul style="list-style-type: none"> • Record Position: positions captured from ATP • Record Position (L): backdated position captured from ATP • Unstamp Rec Date Dep: Deposits captured on the record date but returned with Cede & Co. stock transferred after the record date; positions are adjusted to decrease voting or consent record dates. • Interim: DO activity made during the cutoff period • Journal- Interim* • Journal* • Journal- Transfer* • Interim (L)* • Journal (L)* |

| This field | Displays |
|---------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | <ul style="list-style-type: none"> • Cut-off Interim* • Adjustment. * <p>* DTC activities that are determined as adjustments to the record date position.</p> |
| Net Voting Position | Total proxy quantity shares for all activity dates. |
| Position | Your total of your proxy and non-proxy position. |
| Acct | The DTC account from which the position was captured. |
| Description | <p>The account description:</p> <ul style="list-style-type: none"> • Unpledge: DTC free position, eligible for voting rights • WT/transfer: DTC in-transfer position, not eligible. |

Function Keys

In addition to the standard function keys described in Using the Standard Function Keys, you can press PF2/14 on the Proxy Meeting Record Date Position Detail screen to access the New Proxy Meeting Announcements screen or the Updated Proxy Meeting Announcements screen.

Proxy Meeting Record Date Position Summary Screen

The Proxy Meeting Record Date Position Summary screen appears when you enter P in the **SEL** field on one of the following screens:

- New Proxy Meeting Announcements
- Updated Proxy Meeting Announcements
- Proxy Meeting Announcement Inquiry List.

This screen displays a summary of your position that is currently eligible for voting rights and allows you to select an item to view details.

Sample Screen

```

QS83                DEPOSITORY TRUST COMPANY                MM/DD/YY
00002199-99        PROXY MEETING RECORD DATE POSITION SUMMARY  HH:MM:SS
                                                           PAGE 1 OF 1
ACXIOM CORP        +
                   RECORD          MEETING    MTG      CUTOFF    ADJOURNED
                   DATE            DATE            FROM
                   TYPE            DATE
005125 10 9        06 14 99        08 04 99        A        00 00 00        00 00 00
PART ID: 2199 / XYZ CO.
SEL  ACTIVITY DATE    PROXY QTY    NON PROXY QTY    ACTIVITY
      06 14 99        8618
      0    RECORD POSITION

```

```

(X)DETAIL
NET VOTING POSITION:          8618
ENTER:  PROCESS    PF 2/14 ANN INQ    PF 6/18 PREVIOUS    PF 7/19 MAIN MENU
PF 8/20 EXIT      PF 9/21 SIGNOFF    PF10/22 BACKWARD   PF11/23 FORWARD

```

Field Descriptions

| This field | Displays |
|----------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| CUSIP | The CUSIP number of the security. |
| Record Date | The date declared by the issuer to determine the holders of record. |
| Meeting Date | The date of the shareholders' meeting. |
| Mtg Type | <p>One of the following meeting types:</p> <ul style="list-style-type: none"> • A: Annual • S: Special • G: General • E: Extraordinary • X: Extra. <p><i>Note</i> -Types G, E and X apply to Canadian issues only.</p> |
| Cutoff Date | The New York Record Date (the date established by DTC for issues that do not have a Transfer or Drop Agent in New York City). |
| Adjourned From | The date of the original shareholders' meeting. |
| Part ID | Your Participant number and name. |
| Sel | An entry field that allows you to select a specific transaction and view its details. Enter an X. |
| Activity Date | The date an activity was posted or adjusted to the record date position. |
| Proxy Qty | The amount of voting position you have. |
| Non Proxy Qty | The amount of non-voting position you have. |
| Activity | <p>The description of position activity:</p> <ul style="list-style-type: none"> • Record Position: positions captured from ATP. • Record Position (L): backdated position captured from ATP. • Unstamp Rec Date Dep: Deposits captured on the record date but returned with Cede &Co. stock transferred after the record date; positions are adjusted to decrease voting or consent record dates. • Interim: DO activity made during the cutoff period. • Journal- Interim* • Journal* |

| This field | Displays |
|---------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | <ul style="list-style-type: none"> • Journal- Transfer* • Interim (L)* • Journal (L)* • Cut-off Interim* • Adjustment* <p>* DTC activities that are determined as adjustments to the record date position.</p> |
| Net Voting Position | Total proxy quantity shares for all activity dates. |

Function Keys

In addition to the standard function keys described in Using the Standard Function Keys, you can press PF2/14 on the Proxy Meeting Record Date Position Summary screen to access the New Proxy Meeting Announcements screen or the Updated Proxy Meeting Announcements screen.

Updated Consent Announcements Screen

The Updated Consent Announcements screen appears when you select option 2 on the Proxy Announcement Menu and enter C in the **Announcement Type** field. This screen displays updated proxy consent announcements and allows you to select an announcement to view its details or your position.

Sample Screen

```

QS83                DEPOSITORY TRUST COMPANY                MM/DD/YY
00002199-99        UPDATED CONSENT ANNOUNCEMENTS          HH:MM:SS
                                                           PAGE 1 OF 1

REPORT DATE: 04 29 99

                RECO
RD  EXPIRATION EXTENDED LATE CUTOFF  POS CAN
SEL  CUSIP      DATE      DATE      FROM  IND  DATE  IND IND

(X)DETAIL, (P)OSITION

ENTER:  PROCESS    PF 3/15 MEETINGS    PF 6/18 PREVIOUS    PF 7/19 MAIN MENU
PF 8/20 EXIT      PF 9/21 SIGNOFF    PF10/22 BACKWARD    PF11/23 FORWARD

```

Field Descriptions

The fields and function keys on the Updated Consent Announcements screen are the same as those displayed on the New Consent Announcements screen, with the addition of the following:

| This field | Displays |
|-----------------|-------------------------------------------------------------------------|
| Expiration Date | The expiration date of the announcement. |
| Comments | Special comments or pertinent information relating to the announcement. |

Updated Proxy Meeting Announcements Screen

The Updated Proxy Meeting Announcements screen appears when you select option 2 on the Proxy Announcement Menu and enter M in the **Announcement Type** field. This screen displays updated Proxy meeting announcements and allows you to select an announcement and view its details.

Sample Screen

```

QS83                DEPOSITORY TRUST COMPANY                MM/DD/YY
00002199-99        UPDATED PROXY MEETING ANNOUNCEMENTS    HH:MM:SS
                                                           PAGE 1 OF 1

REPORT DATE: 04 29 99

SEL  CUSIP      RECORD  MEETING MTG ADJOURNED LATE CUTOFF  POS CAN
   DATE        DATE    TYPE  FROM    IND  DATE    IND IND
33733X 23 5    04 27 99  05 27 99  A  00 00 00    05 30 99    DELETED

(X)DETAIL, (P)OSITION

ENTER:  PROCESS    PF 4/16 CONSENTS    PF 6/18 PREVIOUS    PF 7/19 MAIN MENU
PF 8/20 EXIT      PF 9/21 SIGNOFF    PF10/22 BACKWARD    PF11/23 FORWARD
  
```

Field Descriptions

The fields and function keys displayed on the Updated Proxy Meeting Announcements screen are the same as those displayed on the New Proxy Meeting Announcements screen.

Messages

You may encounter the following messages when using the PANS function. Messages are listed in alphabetical order, along with an explanation and suggested resolution for each.

| Message Text | Possible Cause | Suggested Resolution |
|--------------|--------------------------------|--------------------------------------------------------|
| CALL ERROR | A system problem has occurred. | Try the PANS function at a later time. If this message |

| Message Text | Possible Cause | Suggested Resolution |
|---------------------------------------------------------------|-------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | | <p>appears again, contact DTC's Customer Support Center:</p> <ul style="list-style-type: none"> • (212) 240-1569 (for Participants in New York City) • (888) 382-2721 (for Participants outside New York City). |
| CALL ERROR (MSTRTBL) TRY AGAIN OR CALL DTC NETWORK OPERATIONS | A system problem has occurred. | <p>Try the PANS function at a later time. If this message appears again, contact DTC's Customer Support Center:</p> <ul style="list-style-type: none"> • (212) 240-1569 (for Participants in New York City) • (888) 382-2721 (for Participants outside New York City). |
| CICS EXEC ERROR TRY AGAIN OR CALL DTC NETWORK OPERATIONS | A system problem has occurred. | <p>Try the PANS function at a later time. If this message appears again, contact DTC's Customer Support Center:</p> <ul style="list-style-type: none"> • (212) 240-1569 (for Participants in New York City) • (888) 382-2721 (for Participants outside New York City). |
| CUSIP MUST BE ENTERED MAKE ANOTHER SELECTION | The CUSIP number was not entered or was erased. | Enter a CUSIP number. |
| DB2 CONNECTION ERROR TRY AGAIN OR CALL DTC NETWORK OPERATIONS | A system problem has occurred. | <p>Try the PANS function at a later time. If this message appears again, contact DTC's Customer Support Center:</p> <ul style="list-style-type: none"> • (212) 240-1569 (for Participants in New York City) • (888) 382-2721 (for Participants outside New York City). |
| DB2 ERROR TRY AGAIN OR CALL DTC NETWORK OPERATIONS | A system problem has occurred. | <p>Try the PANS function at a later time. If this message appears again, contact DTC's</p> |

| Message Text | Possible Cause | Suggested Resolution |
|-------------------------------------------------------------------|-------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | | Customer Support Center: <ul style="list-style-type: none"> • (212) 240-1569 (for Participants in New York City) • (888) 382-2721 (for Participants outside New York City). |
| DB2 LOCKOUT PROBLEM TRY AGAIN OR CALL DTC NETWORK OPERATIONS | A system problem has occurred. | Try the PANS function at a later time. If this message appears again, contact DTC's Customer Support Center: <ul style="list-style-type: none"> • (212) 240-1569 (for Participants in New York City) • (888) 382-2721 (for Participants outside New York City). |
| ENTER (MMDDYY), MAKE ANOTHER SELECTION | An invalid date was entered. | Enter a valid date in <i>mmddyy</i> format. |
| ENTER PARTICIPANT ID AND PRESS ENTER | The Participant sign-on was left blank. | Enter a valid Participant sign-on. |
| FIRST PAGE OF DATA MAKE ANOTHER SELECTION | PF10/22 was pressed to scroll backward while at the first page of data. | Press PF11/23 to scroll forward. |
| INVALID CUSIP- MAKE ANOTHER SELECTION | An invalid CUSIP number was entered. | Enter a valid CUSIP number. |
| INVALID KEY PRESSED MAKE ANOTHER SELECTION | An invalid key was pressed. | Press one of the valid function keys listed at the bottom of the screen. |
| INVALID PARTICIPANT MAKE ANOTHER SELECTION | The Group User entered an invalid Participant number. | Enter a valid Participant number. |
| LAST PAGE OF DATA MAKE ANOTHER SELECTION | PF11/23 was pressed to scroll forward while at the last page of data. | Press PF10/22 to scroll backward. |
| NO DATA FOR REQUEST MAKE ANOTHER SELECTION | No notices were found for the CUSIP number entered. | Enter another CUSIP number. |
| NO SELECTION MADE | ENTER was pressed but no selection was made. | Select a valid action and press ENTER. |
| PAST CUTOFF/QUIESCE HIT ENTER TO EXIT &TRY BETWEEN SS &EE: EE: EE | The cutoff time for the PANS function has passed. | Refer to When to Use and try the PANS function at the next available time. |
| SELECTION/OPTION ERROR MAKE ANOTHER SELECTION | The cursor was not positioned correctly for selecting an item. | Position the cursor at the desired item and press ENTER. |
| TERMINAL ERROR DATA LOST- PLEASE ENTER REQUEST AGAIN | A system problem has occurred. | Re-enter the CUSIP number. |

| Message Text | Possible Cause | Suggested Resolution |
|----------------------------------------------------------------|--------------------------------|----------------------------|
| TRANSMISSION ERROR DATA LOST- PLEASE ENTER REQUEST AGAIN | A system problem has occurred. | Re-enter the CUSIP number. |

PDRJ:

Introduction

Overview

The Participant Pending FAST Deposit Reject System (PDRJ) function provides you with a summary of rejected Fast Automated Securities Transfer (FAST) deposits that were processed by the FRAC (Fast Reject and Confirm) function.

Participants and Group Users can only access information pertaining to their individual signon ID.

You can view your rejected FAST deposits by summary listing or by CUSIP number once the deposits are transmitted by the agent. Postings that appear on the PDRJ screens are subsequently removed once they are processed. Rejects can then be accessed via the PARTfunction.

When to Use

Use PDRJ to view rejected FAST deposits prior to processing.

PDRJ is available on business days from 6:00 a.m. to 8:30 p.m. eastern time.

Associated Products

PDRJ is used in association with the following Deposits service products:

List of Procedures

Viewing Pending FAST Deposit Rejects

Use the following procedure to view a summary of rejected FAST deposits prior to processing.

- 1 Type PDRJ on the Enter Function screen and press ENTER.

Result- The Pending FAST Deposit Reject Inquiry screen appears. When first displayed, the screen is empty.

- 2 *Optional.* To limit the display to a specific security, type a valid nine-digit CUSIP number in the **CUSIP** field at the top of the screen.

- 3 Press ENTER.

Result- The screen fills with the applicable data. You can use the following keys to scroll through the summary:

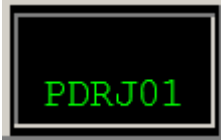
- PF11/23: To scroll forward one page
- PF10/22: To scroll backward one page
- PF4/16: To scroll directly to the first page
- PF5/17: To scroll directly to the last page.

List of Screens

Pending FAST Deposit Reject Inquiry Screen

The Pending FAST Deposit Reject Inquiry screen allows you to view your rejected FAST deposits. You can view all, or you can enter a CUSIP number to view only those for a specific security.

Sample Screen



Field Descriptions

| This field | Displays |
|--------------|---------------------------------------------------------------------------------------------------------------------------------------------------------|
| CUSIP | An entry field that allows you to limit the display to transactions for a specific security. Enter a valid nine-digit CUSIP number. <i>Optional.</i> |
| CUSIP | The CUSIP number. |
| In Date | The date the transaction was entered. |
| Qty Rejected | The number of rejected shares. |
| Reason | The reason for rejection. |

Function Keys

In addition to the standard function keys described in Using the Standard Function Keys, the following are available on the Pending FAST Deposit Reject Inquiry screen:

| This key | Allows you to |
|----------|---------------------------------------|
| PF4/16 | Access the first page of the display. |
| PF5/17 | Access the last page of the display. |

Messages

You may encounter the following messages when using the PDRJ function. Messages are listed in alphabetical order, along with an explanation and suggested resolution for each.

| Message Text | Possible Cause | Suggested Resolution |
|------------------------------------------------|----------------------------------------------------------------------------------|--------------------------------------------------------------------|
| DATA NOT AVAILABLE- ERROR IN STS PEND-REJ FILE | A data access error has occurred. | Try again later. |
| FILE NOT OPEN PLEASE TRY AGAIN LATER | A data access error has occurred. | Try again later. |
| INVALID CUSIP NUMBER | An invalid CUSIP number was entered. | Enter a valid nine-digit CUSIP number. |
| INVALID KEY | An invalid key was pressed. | Press one of the valid PF keys listed at the bottom of the screen. |
| NO DATA AVAILABLE | There are no FAST deposits for the Participant signed on. | Information only; no action required. |
| PAGE REQUESTED BEFORE FIRST PAGE | An attempt was made to scroll backward, but the first page of data is displayed. | Information only; no action required. |
| PAGE REQUESTED AFTER LAST PAGE | An attempt was made to scroll forward, but the last page of data is displayed. | Information only; no action required. |
| VSAM DSID ERROR- CONTACT NETWORK OPERATIONS | | |

PDWC:

Introduction

Overview

The Deposit/Withdrawal at Custodian Function for Participants (PDWC) allows you to submit deposit and withdrawal instructions with respect to securities (such as unit investment trusts) evidenced by a balance certificate registered in the name of DTC's nominee, Cede &Co. , and held for DTC by a DTC Custodian. Upon the custodian's approval, your position will be updated accordingly.

In approving a participant's deposit instruction, the custodian attests to the existence of the securities that are the subject of the participant's instruction and certifies that it or the transfer agent or registrar (if the custodian is not the transfer agent or registrar for the issue) has registered the transfer of those securities in the name of Cede &Co. in accordance with the (Balance) Certificate Agreement between itself, the transfer agent or registrar (where applicable), and DTC.

A confirmation ticket for both you and the custodian is generated indicating whether the transaction is:

- Recycled or dropped
- Pending custodian approval
- Approved or canceled by the custodian.

DTC offers you the option of selecting a 72-hour pend period for all your deposits, which gives custodians three business days (including the deposit date) to either approve or cancel your transaction before it drops off the system. This option saves you the trouble of having to resubmit a deposit if a custodian takes no action within three days. Call your Relationship Manager to activate this option. Otherwise, all transactions that were not approved or canceled by custodians will be dropped at the close of the business day, and you will have to re-enter them on the following business day.

Note- The 72-hour pend option cannot be used selectively on a deposit-by-deposit or on a CUSIP-by-CUSIP basis. You must activate the 72-hour pend feature either for *all* or *none* of your transactions.

When to Use

Use PDWC to enter deposit and withdrawal transactions that require custodian approval.

PDWC is available on business days from 12:00 midnight to 5:15 p.m. eastern time.

Associated Products

PDWC is used in association with the Deposit/Withdrawal at Custodian (DWAC) product offered by DTC's Deposits and Withdrawal services.

List of Procedures:

Canceling a Deposit or Withdrawal

Use the following procedure to cancel a pending deposit or withdrawal transaction. You can only cancel pending transactions that were entered on the current day.

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

Result- The Main Menu appears.

2 Type 2 in the **Option field**.

3 *Optional.* Type one of the following in the **Type** field:

- D: To list deposits only
- W: To list withdrawals only.

Note- If you leave this field blank, all pending transactions are listed.

4 *Optional.* To list transactions for a specific security, type a CUSIP number in the **CUSIP** field.

5 Press ENTER.

Result- The Participant Cancellation screen appears.

6 Type C in the **Cancel** field to the left of the transaction you want to cancel. Enter identifying information in the **Part Canceled Name** and **Phone** fields. Type the reason for the cancellation in the unmarked field below the transaction, up to 78 characters. Press ENTER to validate your data.

Note- You can cancel up to two transactions per screen.

7 Press PF1/13 to confirm the entry, then press PF1/13 again to transmit.

Result- Confirmation tickets are generated for both the participant and the custodian.

Entering a Deposit or Withdrawal Instruction

Use the following procedure to enter instructions for deposits or withdrawals.

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

Result- The Main Menu appears.

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

Result- The Deposit/Withdrawal Instructions screen appears with entry fields for four transactions.

Note- If you would like the Deposit/Withdrawal Instructions to appear without free text entry fields for comments, type N in the **Comments** field on the Main Menu. You can then enter 10 transactions per screen at one time.

3 Type your instruction information in the entry fields provided. You must also enter identifying information in the **Part Contact Name** and **Phone** fields. Press ENTER to validate your data.

Result- You are ready to transmit your instructions. If an error occurs, an appropriate message appears. Correct the error and press ENTER again.

4 Press PF1/13 to transmit your instructions.

Result- The message 'Transaction (s) accepted for processing' appears and a Deposit/Withdrawal At Custodian Confirmation ticket prints on your designated PTS printer.

Viewing Deposit and Withdrawal Transactions

Use the following procedure to view previously entered deposit and withdrawal transactions. You can view those entered on the current or the previous business day.

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

Result- The Main Menu appears.

2 Type 3 in the **Option field**.

3 *Optional.* To limit the resulting display, enter values in the following fields:

- **Type:** Enter D or W to list deposits or withdrawals only
- **CUSIP:** Type a valid nine-digit CUSIP number to list transactions for a specific security
- **Date:** Type the date in *mmddccyy* format to list transactions that were entered on the previous business day
- **Day/Nite:** Type one of the following:
 - D: To list transactions entered via PDWC (current day transactions)
 - N: To list transactions entered via NDWP (next day transactions)
 - C: To list transactions entered via CCF.

4 Press ENTER.

Result- The Participant Inquiry screen appears.

5 *Optional.* To view the last pend date at DTC, the name and phone number of the participant contact who entered or canceled the instructions, reference ID, and comments entered for a transaction, place the cursor on the desired line and press PF3/15.

List of Screens:

Deposit / Withdrawal Instructions Screen

The Deposit/Withdrawal Instructions screen appears when you select option 1 on the Main Menu, and allows you to enter deposit and withdrawal instructions.

Sample Screen

```
Q$06                                THE DEPOSITORY TRUST COMPANY                1/02/2002
00002199-01                        DEPOSIT/WITHDRAWAL AT CUSTODIAN            11:14:47
                                      DEPOSIT/WITHDRAWAL INSTRUCTIONS

D/W      PREVENT      QUANTITY      REFERENCE ID
d        PEND        CUSIP        WHOLE    FRAC
123456789    1
COMMENTS:

COMMENTS:

COMMENTS:

COMMENTS:
```

```

PART CONTACT NAME: JOE BLOUGH          PHONE: 212 555 - 8158 EXT: 12345
PRESS ENTER TO VALIDATE OR PF1/13 TO UPDATE
PF1/13 UPDATE      PF7/19 MENU          PF8/20 END FUNCTION      PF9/21 SIGNOFF

```

Field Descriptions

| This field | Allows you to |
|-------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| D/W | Indicate whether this instruction is for a deposit or a withdrawal. Type D or W. |
| Prevent Pend | Prevent the transaction from pending (recycling). Type a P. <i>Optional.</i> <i>Note</i> -This applies to withdrawals only. If you do not enter a P and you have insufficient position (or collateral monitor, if SDFS), the withdrawal recycles until it is made or dropped. |
| CUSIP | Enter the CUSIP number. |
| Quantity | Specify the whole share quantity and, if needed, the fractional share quantity to be withdrawn or deposited. |
| Comments | Type comments regarding the transaction. |
| Reference ID | Create a reference ID code of up to 26 numeric or alphabetic characters for your own tracking purposes. |
| Part Contact Name | Type your name. |
| Phone | Type your 10-digit phone number. |
| Ext | Type your extension number. <i>Optional.</i> |

Main Menu

The Main Menu allows you to select the desired option and to enter search criteria for inquiries.

Sample Screen

```

QAA1                THE DEPOSITORY TRUST COMPANY                MM/DD/YYYY
D0002199-99        DEPOSIT/WITHDRAWAL AT CUSTODIAN            HH:MM:SS
                                MAIN MENU
PART NUM:          <== REQUIRED
OPTION  :          <== REQUIRED
TYPE   :
CUSIP  :
DATE   :
COMMENTS:
DAY/NITE:
STATUS  :

1. DEPOSIT/WITHDRAWAL
2. DEPOSIT/WITHDRAWAL CANCELLATION
3. DEPOSIT/WITHDRAWAL INQUIRY

```

```

SELECT DESIRED OPTION, THEN PRESS ENTER
      (TYPE: D = DEPOSIT, W = WITHDRAWAL)
(COMMENTS: Y = YES, N = NO DAY/NITE: D = DAY, N = NIGHT, C = CCF, BLANK = ALL)
      (STATUS: A=APPROVE, C=CANCEL, P=PEND, N=NO ACTION, BLANK=ALL, O=OTHER)

PF8/20: END FUNCTION      PF9/21: SIGN-OFF

```

Field Descriptions

| This field | Allows you to |
|------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Part Num | Enter the number of the participant for which you want to enter, cancel, or view transactions. <i>Note - Group Users only.</i> |
| Option | Type one of the following: <ul style="list-style-type: none"> • 1: To enter deposit or withdrawal instructions • 2: To cancel pending transactions • 3: To view transactions for the current day, or the previous day if you type a date. |
| Type | Enter one of the following to specify the type of transaction: <ul style="list-style-type: none"> • D: Deposits • W: Withdrawals. <i>Note -Leave blank for option 1.</i> |
| CUSIP | Enter a CUSIP number to cancel or view transactions for a specific security. <i>Optional.</i> <i>Note -Leave blank for option 1.</i> |
| Date | List the previous day's transactions. Type the date in mmddccyy format. <i>Optional.</i> <i>Note -Applies to option 3 only.</i> |
| Comments | Type one of the following to indicate whether your transactions will include comments: <ul style="list-style-type: none"> • Y: Comments will be included; the resulting screen will include an entry field and allow you to enter up to four transactions at one time • N: Comments will not be included; the resulting screen will allow you to enter up to 10 transactions at one time. <i>Optional. Default: Y.</i> |

| This field | Allows you to |
|------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Day/Nite | <p>Enter one of the following:</p> <ul style="list-style-type: none"> • D: To list transactions entered via PDWC for same-day processing • N: To list transactions entered via the NDWP function for next-day processing • C: To list transactions entered via CCF. • Blank: To list all transactions. <p><i>Optional. Default: Blank.</i></p> |
| Status | <p>To specify the type of transactions you want to see when using the Deposit/Withdrawal Inquiry option (option 3) only. Enter one of the following:</p> <ul style="list-style-type: none"> • A: To list transactions approved by the custodian • C: To list transactions canceled by the custodian • P: To list transactions pending approval or cancellation • N: To list transactions on which the custodian took no action and that subsequently dropped off the system • O: To list other kinds of transactions, such as recycled items, items rejected by ATP, and so forth. • Blank: To list all transactions. <p><i>Optional. Default: Blank.</i></p> |

Participant Cancellation Screen

The Participant Cancellation screen appears when you select option 2 on the Main Menu, and allows you to cancel pending deposit and withdrawal instructions you entered on the current business day.

Sample Screen

```

Q$06                THE DEPOSITORY TRUST COMPANY                01/02/2002
00005198-16        DEPOSIT/WITHDRAWAL AT CUSTODIAN            11:11:42
                   PARTICIPANT CANCELLATION                  PAGE 1

CANCEL  D/W  TRAN NUM  CUSIP  QUANTITY  LAST PEND DT
c       D   N/A      456789012  100     01/02/02

REFERENCE ID: XXXXXXXXXXXXXXXXXXXXXXXXXXXX
PART CONTACT NAME: JOE BLOUGH    PHONE: (212) 555-8158 EXT:

PART CANCELED NAME: BOB CANCELLOR    PHONE: 222 222 - 2222 EXT:
CANCELLATION COMMENTS HERE

           D   N/A      1234566789    200     01/02/02

REFERENCE ID: SSSSSSSSSSSSSSSSSSSSSSSSS
PART CONTACT NAME: JOE BLOUGH    PHONE: (212) 555-8158 EXT:

PART CANCELED NAME:              PHONE:      -      EXT:

ENTER 'C' TO CANCEL AND PRESS PF1/13 TO UPDATE          *** CONTINUES ***

```

PF1/13 UPDATE PF4/16 FIRST PAGE PF8/20 END FUNCTION PF10/22 PAGE BACKWRD
 PF7/19 MAIN MENU PF9/21 SIGN-OFF PF11/23 PAGE FORWARD

Field Descriptions

| This field | Allows you to |
|--------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Cancel | Type C to the left of the transaction you want to cancel. |
| D/W | View an indicator of whether the transaction is a deposit (D) or withdrawal (W). |
| Tran Num | View the ATP Relative Byte Number for withdrawal transactions that have been processed by ATP. |
| CUSIP | The CUSIP number of the security involved in the transaction. |
| Quantity | View the number of shares. |
| Last Pend Dt | View the last business day on which the custodian can approve or cancel the transaction before it drops from the system and you have to resubmit it to DTC. |
| Reference ID | View a reference ID code of up to 26 numeric or alphabetic characters for your own tracking purposes. |
| Part Contact Name | View the name of the participant contact who entered the instructions. <i>Note-</i> The participant contact's comments regarding the transaction, if any, appear below this field. |
| Phone | View the phone number of the participant contact who entered the transaction. |
| Ext | View the extension number of the participant contact who entered the transaction. <i>Optional.</i> |
| Part Canceled Name | Type your name when cancelling the transaction. <i>Note-</i> You must type comments regarding this transaction in the unmarked entry area below this field. |
| Phone | Type your 10-digit phone number. |
| Ext | Type your phone extension. <i>Optional.</i> |

Function Keys

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

| This key | Allows you to |
|----------|---------------------------------------|
| PF4/16 | Access the first page of the display. |

Participant Inquiry Screen

The Participant Inquiry screen appears when you select option 3 on the Main Menu, and allows you to view transactions entered on the current or previous business day.

| This field | Displays |
|-------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | approved nor canceled by the custodian by cutoff time. |
| Last Pend Dt | The last business day that the custodian can approve or cancel the transaction before it drops from the system and you have to resubmit it. Comments (if any) appear below this field. |
| Reference ID | The reference ID code created for your own tracking purposes. |
| Part Contact Name | The name of the participant contact who entered the instructions. <i>Note-</i> The participant contact's comments regarding the transaction, if any, appear below this field. |
| Phone | The phone number of the participant contact who entered the transaction. |
| Ext | The extension number of the participant contact who entered the transaction. <i>Optional.</i> |

Function Keys

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

| This key | Allows you to |
|----------|---------------------------------------------------------------------------------------------------------------------------------------------|
| PF3/15 | View the last pend date at DTC, reference ID, participant contact name and number, and comments about a selected item, if any were entered. |
| PF4/16 | Access the first page of the display. |
| PF5/17 | Access the last page of the display. |

Messages

You may encounter the following messages when using the PDWC function. Messages are listed in alphabetical order, along with an explanation and suggested resolution for each.

| Message Text | Possible Cause | Suggested Resolution |
|---------------------------------------|------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| ALREADY ON FIRST PAGE | PF4/16 was pressed to access the first page of data, but the first page is already displayed. | Information only; no action required. |
| ALREADY ON LAST PAGE | PF11/23 was pressed to scroll forward, but the last page of data has been reached. | Information only; no action required. |
| ALREADY UPDATED; CLEAR KEY WILL RESET | An attempt was made to update, but update has already occurred for the displayed transactions. | Press CLEAR (on PC keyboards, press Pause/Break) , which displays the outstanding transactions that have not been updated since the last time PF1/13 was pressed. For example, if you |

| Message Text | Possible Cause | Suggested Resolution |
|---------------------------------------------------|----------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | | have 40 transactions and have updated 15, and want to display the 25 outstanding transactions without returning to the Main Menu, press CLEAR and only the 25 outstanding transactions are displayed. |
| AREA CODE IS INVALID | The Phone field contains a non-numeric value. | Correct the error. |
| AREA CODE IS REQUIRED | The Phone field is missing your area code. | Type your area code in the field. |
| CONTACT NAME IS MISSING | The Part Contact Name field is blank. | Type your name in the field. |
| CUSIP NOT ELIGIBLE FOR FUNCTION | The specified CUSIP is not eligible for CDWC processing. | Try a different CUSIP. |
| CUSIP NUMBER IS INVALID | An invalid CUSIP number was entered. | Enter a valid nine-digit CUSIP number. |
| CUSIP NUMBER IS REQUIRED | An attempt was made to process a transaction, but no CUSIP number was supplied. | Enter a valid nine-digit CUSIP number. |
| EXCHANGE IS INVALID | The first 3 digits of your phone number in the Phone field contain a non-numeric value. | Type the correct numbers in the field. |
| EXCHANGE IS REQUIRED | The first 3 digits of your phone number were not entered in the Phone field. | Type the correct digits in the field. |
| EXTENSION IS INVALID | The Ext field contains a non-numeric value. | Type in a numeric value in the field. |
| INTERNAL DATABASE ERROR NOTIFY NETWORK OPERATIONS | A system error has occurred. | Contact DTC's Customer Support Center at (888) 382-2721. |
| INVALID | The value in the indicated field is invalid. | Enter a valid value. |
| INVALID KEY HIT | An invalid key was pressed. | Press one of the valid PF keys listed at the bottom of the screen. |
| MUST BE BLANK | A value was entered in the indicated field, but this field should be left blank for the selected option. | Delete the value. |
| NO DATA AVAILABLE FOR THIS REQUEST | No data is available for the specified criteria. | Enter different values. |
| NO DATA ENTERED | An PF key was pressed, but nothing was entered on the current screen. | Enter the appropriate information, then press the PF key. |
| NOT NUMERIC | Non-numeric data was entered in the indicated field. | Enter a numeric value. |
| PAGE REQUESTED PAST LAST PAGE | PF11/23 was pressed to scroll forward, but the last page of data has been reached. | Information only; no action required. |

| Message Text | Possible Cause | Suggested Resolution |
|-----------------------------------------|--------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------|
| PAST CUTOFF TIME FOR OPTION 1 AND 2 | An attempt was made to select option 1 or 2, but the cutoff time has been reached for approvals and cancellations. | See When to Use for information about the cutoff times for these options. |
| PHONE NUMBER IS INVALID | The Phone field contains a non-numeric value. | Type an all-numeric 10-digit phone number in the field. |
| PHONE NUMBER IS REQUIRED | The Phone field is blank. | Type a 10-digit phone number in the field. |
| PLEASE ENTER D OR W | Nothing was entered in the D/W field; entry is required. | Enter D for deposits or W for withdrawals. |
| PREVENT PEND MUST BE BLANK FOR DEPOSITS | P was entered in the Prevent Pend field for a deposit transaction, which is not allowed. | Erase the field. |
| PREVENT PEND MUST BE P OR LEFT BLANK | An invalid character was entered in the Prevent Pend field. | Enter P to prevent the transaction from pending (recycling) or leave the field blank. |
| REQUIRED | The indicated field was left blank; entry is required. | Enter the applicable value. |
| SHARES IS REQUIRED | An attempt was made to process a transaction, but the number of shares was not specified. | Enter the number of shares in the Quantity field. |

PELD:

Introduction

Overview

The Pending Legal Deposit (PELD) function allows you to inquire about deposits you submitted to DTC that are pending due to missing legal documentation (e. g. , power of attorney, death certificate, missing signatures, etc.).

When to Use

Use PELD to view a list of deposits pending for legal documentation.

PELD is available on business days from 6:00 a.m. to 11:00 p.m. eastern time.

List of Procedures:

Viewing Pending Deposits

Use the following procedure to view your deposits that are pending due to missing legal documentation.

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

Result- The Pending Legal Deposits screen appears.

2 *Optional.* To limit the display to deposits for a specific security, type a CUSIP number in the **CUSIP** field.

3 *Optional.* To limit the display to deposits that were entered on a specific date, type a date in the **Date** field in *mm/dd/yy* format.

4 Press ENTER.

Result- The Pending Legal Deposit Inquiry screen appears.

5 *Optional.* To view the details of a deposit, type V in the **Sel** field to the left of the desired item and press ENTER.

Result- The Participant Detail screen appears.

List of Screens

Participant Detail Screen

The Participant Detail screen appears when you select an item on the Pending Legal Deposit Inquiry screen, and displays the details of the selected deposit.

Field Descriptions

| This field | Displays |
|----------------------|---------------------------------------------------------------|
| CUSIP | The CUSIP number and a brief description of the security. |
| Date of Deposit | The date the deposit was entered. |
| Qty | The number of shares. |
| Reference ID | Unique reference ID for the deposit (created by participant) |
| Comments | A brief comment regarding the reason for the pending deposit. |
| Date Comment Entered | The date the comment was entered. |

Function Keys

In addition to the standard function keys described in Using the Standard Function Keys, you can press PF7/19 on the Pending Legal Deposit Inquiry screen to return to the previous screen.

Pending Legal Deposit Inquiry Screen

The Pending Legal Deposit Inquiry screen appears when you enter a CUSIP number and date on the Pending Legal Deposits screen, and displays a list of pending deposits for the specified security and date.

Field Descriptions

| This field | Displays |
|--------------|--------------------------------------------------------------------------------------|
| Sel | An entry field that allows you to display the details of a selected item. Enter a V. |
| Part | Your Participant number. |
| CUSIP | The CUSIP number of the security for which the deposit was entered. |
| Deposit Date | The date the deposit was entered. |
| Quantity | The number of shares being deposited. |
| Ref ID | Unique reference ID for the deposit (created by participant) |

Function Keys

In addition to the standard function keys described in Using the Standard Function Keys, you can press PF7/19 on the Pending Legal Deposit Inquiry screen to return to the previous screen.

Pending Legal Deposits Screen

The Pending Legal Deposits screen allows you to specify the security and date for the deposits you want to view.

Field Descriptions

| This field | Allows you to |
|------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| CUSIP | Display only those deposits involving a specific security. Enter a valid nine-digit CUSIP number. <i>Note</i> -If you do not enter a CUSIP number, pending deposits for all securities are displayed. |
| Date | Display only those deposits from a specific date. Enter a date in mm/dd/yy format. <i>Note</i> -If you do not enter a date, pending deposits from all prior dates are displayed, including those entered on the current day. |

Messages

You may encounter the following messages when using the PELD function. Messages are listed in alphabetical order, along with an explanation and suggested resolution for each.

| Message Text | Possible Cause |
|-----------------------------------------------|--------------------------------------------------------------------------------------|
| ALREADY ON FIRST PAGE | PF10/22 was pressed to scroll backward, but the first page of data has been reached. |
| ALREADY ON LAST PAGE | PF11/23 was pressed to scroll forward, but the last page of data has been reached. |
| CUTOFF INQUIRY ERROR RC = | A system problem has occurred. |
| ERROR DURING CALL TO ROUTINE--> RETURN CODE = | A system problem has occurred. |
| GENCALL ERROR, RC = | A system problem has occurred. |
| INTERNAL DATABASE ERROR | A system problem has occurred. |

| Message Text | Possible Cause |
|-------------------------------------------------------------|-----------------------------------------------------------------------------------|
| INVALID | An invalid value was entered in the CUSIP or Date field. |
| INVALID KEY HIT | An invalid key was pressed. |
| NO DATA AVAILABLE FOR THIS REQUEST | There are no pending deposits for the specified CUSIP and/or Date . |
| PAST CUTOFF TIME, USE ENTER KEY TO EXIT | The cutoff time for this function has been reached. |
| PROBLEM WITH DATABASE: SQL = | A system problem has occurred. |
| PROGRAM NUM PLD150 NOT IN TABLE, NOTIFY STS PROGRAM SUPPORT | A system problem has occurred. |
| UNRECOVERABLE ERROR IN PROCESSING PLD100 | A system problem has occurred. |