

Transcript for "Agent Authorizations List" Talking Help Topic

Agent Authorizations List

Select	Agent	Type	CUSIP	Issue	Description	Status	Agents Entitlements	Comments
<input type="checkbox"/>	Google Inc.	ISSUER	16115910	GOOGL	GOOGLE INC RR	Authorized	<input type="checkbox"/> Special <input type="checkbox"/> Subscriptions <input type="checkbox"/> Record Date	View
<input type="checkbox"/>	Test Agent 1	Third Party	16125910	GOOGL	GOOGLE INC RR	Pending Reauthorization	<input type="checkbox"/> Special <input type="checkbox"/> Subscriptions <input type="checkbox"/> Record Date	N/A
<input type="checkbox"/>	Test Agent 2	Third Party	16125910	GOOGL	GOOGLE INC RR	Pending Reauthorization	<input type="checkbox"/> Special <input type="checkbox"/> Subscriptions <input type="checkbox"/> Record Date	N/A
<input type="checkbox"/>	Test Agent 3	Third Party	16125910	GOOGL	GOOGLE INC RR	Pending Reauthorization	<input type="checkbox"/> Special <input type="checkbox"/> Subscriptions <input type="checkbox"/> Record Date	View
<input type="checkbox"/>	Test Agent 4	Third Party	16125910	GOOGL	GOOGLE INC RR	Pending Reauthorization	<input type="checkbox"/> Special <input type="checkbox"/> Subscriptions <input type="checkbox"/> Record Date	View
<input type="checkbox"/>	Test Agent 5	Third Party	16125910	GOOGL	GOOGLE INC RR	Pending Reauthorization	<input type="checkbox"/> Special <input type="checkbox"/> Subscriptions <input type="checkbox"/> Record Date	N/A
<input type="checkbox"/>	ABC Agent	Third Party	16125910	GOOGL	GOOGLE INC RR	Unauthorized	<input type="checkbox"/> Special <input type="checkbox"/> Subscriptions <input type="checkbox"/> Record Date	N/A
<input type="checkbox"/>	EFG Agent	Third Party	16125910	GOOGL	GOOGLE INC RR	Unauthorized	<input type="checkbox"/> Special <input type="checkbox"/> Subscriptions <input type="checkbox"/> Record Date	N/A



Issuers can authorize and reauthorize agent requests for entitlements to issues on the Agent Authorizations List. Issuers can see both new and older requests on this list. The requests will not expire and will remain in the list, unless rejected, so you can reference the agents with access to your issue.

Please note that issuers must be provisioned as SPR Coordinators to authorize third parties.

During the annual reauthorization period which occurs in the fall, the agents who are up for reauthorization appear here as well as on the Dashboard.

Let's say we want to authorize the ABC agent who has requested entitlements to order reports on CUSIP 143658300 which is a Google issue. We also see the EFG Agent who is not our agent, so we will reject that request.

Select the agent we will authorize by clicking the empty selection box next to ABC Agent.

Then choose Authorized from the Status drop-down.

Next select the entitlements you wish the ABC Agent to have:

We'll authorize them for all three:

- Annual Subscriptions
- One time special reports, and
- Record-date meeting reports

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Right underneath this is EFG Agent's request. Because we do not want this agent to have access to the issue, we select this agent and choose "Rejected." When you submit the rejection, this request will be deleted and no longer appear in the list.

When you are finished click Update.

Confirm the authorization of ABC agent and the rejection of EFG agent.

The green message at the top lets you know that you were successful. The EFG agent request we rejected no longer appears in the list.

The ABC agent appears in the list with an Authorized status. This agent will now be able to subscribe to and order position reports on this issue.

Please note that Issuers not provisioned for the Coordinator role will not be able to authorize agents; however they will be able to see the list.

Depending on the report type, Trustees can update the entitlements for Authorized agents. However, Trustees are still required to contact DTC staff in order to authorize agents.

Now let's talk about reauthorization. Issuers have an annual requirement to reauthorize agents during a three month period that occurs in the fall.

A convenient feature on this list is the ability to process multiple agent reauthorizations at once. Let's use this technique to reauthorize our agents in bulk.

First, select the agents you wish to reauthorize by grouping all the agents requiring reauthorization together.

In the upper area of the page, select "Pending Revalidation" from the Filter by Status field.

Next, select Third Party from the Filter by Type. Then, click Submit.

The list is narrowed to show only those requests that are pending reauthorization.

To select them all for bulk processing, click the selection box at the top of the list under the word "Select."

If there are any exceptions in the list, you can unselect those individual agents and they will not be reauthorized. Let's assume we want to reauthorize all five agents.

In the Status column select "Authorized."

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The agent’s entitlements from the previous year are displayed for your convenience. We’ll leave the entitlements the same as last year but you could change them by selecting the entitlements next to individual agents.

We are ready now to click Update and reauthorize the agents.

A window displays showing each agent and the action to be taken. If you wish to proceed, click Confirm.

The green banner shows that you have successfully reauthorized all the selected agents. They can continue to subscribe to and order position reports on this issue.

This page also contains search, filter and page-through features that help you to sort the list and find agents.

And here are the five agents we reauthorized.

You can sort the data in any of the column headings by clicking them.

To return to the original order, click the column heading again.

To scroll through the full list, click the Page buttons.

To restore the list to the original view, click the Clear button. Now the list appears as it did when we first opened the page.

Certain fields within the list contain blue links that you can click to take further actions. For example, if you click on a CUSIP, a page opens allowing you to order a new report or subscription for that CUSIP.

Finally, if DTC staff has added a comment, it appears under Comments. Click *View* to read the full text.