

## Transcript for "Eligible Issue List" Talking Help Topic

## Eligible Issue List

The screenshot displays the 'Eligible Issue List' interface. At the top, there is a navigation bar with 'Home', 'Reports', 'Eligible Issue List', 'Agent Authorizations', 'EPP', 'Help', and 'Contact Us'. The main content area features a search bar with 'Search by CUSIP OR Ticker Symbol' and a 'Filter by Status' dropdown menu. Below the search bar, there is a table with the following columns: CUSIP, Ticker, Description, Status, Comment, and Action. The table lists several securities, including:

CUSIP	Ticker	Description	Status	Comment	Action
000484V8		ICFPAEN AMRO FUNDING U-4*DISP-D056415M012018BRS	Authorized	N/A	Delete
000488C7		ICFPAEN AMRO FUNDING U-4*DISP-D056415M012018BRS	Authorized	N/A	Delete
000488Z9		ICFPAEN AMRO FUNDING U-4*DISP-D056415M012018BRS	Authorized	N/A	Delete
02171439	ARRY	ALLEGHENY & WESTERN CO.	Authorized	N/A	Delete
02171439	ARR	AMERICAN REALTY INVESTORS INC *	Authorized	N/A	Delete
06122P10	BAMRF	BARKER MINERALS LTD RR	Authorized	N/A	Delete
14612Z101	CAT	CATERPILLAR INC DEL *	Pending Approval	N/A	Delete
25802Z05	ESMC	ESCALON MEDICAL CORP NEW*	Authorized	N/A	Delete
38239F48		GOOGL GOOGL INC 00519111 03 025% NM21	Authorized	N/A	Delete
38239F43		GOOGL GOOGL INC 00519111 02 125% NM18	Authorized	N/A	Delete
38239F44		GOOGL GOOGL INC 00225114 03 375% FA21	Authorized	N/A	Delete
38239F36	GOOQK	GOOGLE INC CLASS C *	Authorized	N/A	Delete
391657101	GBX	THE GREENRIER COMPANIES, INC. RR	Authorized	N/A	Delete
455330101	IBM	INTERNATIONAL BUSINESS MACHINES	Authorized	N/A	Delete
55140Z107	IBFB	IND FINE BANCOFF INC	Authorized	N/A	Delete

At the bottom of the page, there is a footer with 'DTCC Controlled - Non-Confidential' and the DTCC logo. The page number '1 / 18' and the time '00:01 / 04:18' are also visible.

Issuers and trustees can review and manage their eligible issues from the Eligible Issues List. Likewise, Agents can review issues and request entitlements from this same page.

To access the page, click Eligible Issue List from the menu bar.

To add or request access to an issue, click the Add button.

Indicate how you want to add the issue by clicking either CUSIP or Ticker. We will add a CUSIP.

If you are only adding one security, type the nine-digit CUSIP and click Submit.

To enter multiple CUSIPs, click the More button to add more entry fields. The screen looks like this. You can enter up to ten CUSIPs.

This feature is available using CUSIPs only, not Tickers.

Now let's go back to the main story and submit the CUSIP. Click Submit.

The CUSIPs you are adding or requesting display with a description of the issue name.

Click Confirm to verify these are the issues you wish to add or request.

If you are already set up on DTC's Masterfile for the security, the issue will automatically be authorized.

If you are not setup on DTC's Masterfile for this security, the issue will be put into pending status until further documentation is received. Click the Details link for more information. Let's return to our main story.

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Our issue was successfully added.

If you are an Issuer or Trustee, this security is now set up in SPR. If you are an Agent, the issuer will receive this request and upon approval, the status of your request will change from Pending Approval to Approved. You can proceed to order subscriptions and reports.

To confirm the request, click Close.

Here is the issue we added.

To manage the list by status, choose a status such as Authorized and click Submit.

Now only your Authorized issues are shown. Here are some other ways you can use the filter to manage your eligible issues.

When issuers filter by the status "Rejected," they can isolate eligible issues that they were denied access to and either submit documentation to DTC or delete them. Keep in mind that when an Issuer deletes a security that they have granted an agent authorization to, the agent will lose all access to that issue. So you would only want to do this for issues that no longer are needed.

Similarly, by using the status filters, Agents are able to check the status of their requests. They can look up issues that are pending approval and reach out to the issuer.

If you do not know the status of an eligible issue, you can sort the list by clicking any of the column headings. Here the black triangle indicates that we have sorted the column and CUSIPS are now listed in descending order.

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

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

Or simply enter the CUSIP in the Search field to jump directly to that CUSIP.

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.

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Finally, if the issue were rejected by DTC staff, the reason appears under Comments. Click View to read the full text.