

# THE DEPOSITORY TRUST COMPANY

# IMPORTANT

**B#:** 10061

**DATE:** May 18, 2000

**TO:** All Participants

**FROM:** Alan Hutton, Vice President, Securities Processing

**ATTENTION:** Managing Partner/Officer, Cashier, and Transfer Manager

**SUBJECT:** Enhancements to Withdrawal-By-Transfer PTS Inquiry Functions

Two separate PTS functions are available to Participants when inquiring about Withdrawal-By-Transfer (“WT”) instructions: the AWTI and STSE functions. The AWTI function shows among other things which WTs dropped for insufficient position, and which WTs successfully updated the Participant’s account and were sent to the transfer agent for completion. Included in this information is the unique identification number and certificate registration information provided by the Participant in its WT instruction. The STSE function is used by Participants to track the transfer status of a WT. It shows if and when the WT was completed and cleared transfer, or the reason a WT has not cleared transfer and is being delayed at the transfer agent. Unlike AWTI, the STSE function does not show the WT’s full unique identification number nor any of the certificate registration information -- a problem if two or more WTs for the same security and quantity were submitted by the Participant on the same day for different customers and registrations. These variations between the two PTS functions requires Participants to sometimes make inquiries of both functions to get information about a single WT.

Beginning Thursday, May 17, 2000, the two PTS functions will be automatically bridged to make WT inquiries easier. The bridge will allow Participants to easily “jump” back and forth between the two functions to retrieve all of the required information about a WT through a single inquiry. The jumping occurs by simply pressing the PF3 or 15 key, as indicated in the Command line appearing on the bottom of the related AWTI and STSE screens. Illustrations of these screens are shown on the reverse side of this notice.

Any questions regarding this enhancement may be directed to Troubleshooting Manager Patrick Mapp at (212) 855-3690, or Supervisor Barbara Demant at (212) 855-3669.

**AWTI Screen: see highlighted command**

FOR UP-TO-DATE TRANSFER INFORMATION SELECT AN ITEM AND PRESS PF3  
 00009999-01 AUTOMATED WITHDRAWAL BY TRANSFER DATE: 04/26/00  
 Q\$OZ \*\*\* UPDATED \*\*\* TIME: 14:21:21  
 PROCESS DATE: 03/31/00  
 PAGE: 001

PART NUM: 9999 Your Participant Name

CUSIP NUMBER	SHARE QUANTITY	UNIQUE IDENTIFICATION	TRN ML CD MD CD	TEF CD
06423459200101	100.00000	ABC 12345678901234567890		DTC 11 DMD
06423A103	427.00000	XYZ 9876543210987654321		21 RSA

PF2/14 TRANS/TEFRA CODES

**PF3/15 STSE INQUIRY**

PF7/19 MENU

PF8/20 END

PF9/21 SIGNOFF

PF10/22 BWD

PF11/23 FWD

PF12/24 REG

**STSE Screen: see highlighted command**

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Q\$OZ PARTICIPANT TRANSFER ACTIVITY 14:28:34  
 00009999 - 01 04/26/00  
 CUSIP 06423A103 BANK ONE CP NEW < W/T FAST STOCK IN DATE 03/31/00

ITEM	SHRS TOTAL	REFERENCE ID	RESUB OT DT	AGING MESSAGE	DATE
0091-01-03	0	XYZ 98765432101	0407		
0091-01-07	100	ABC 12345678901	0407		

PF4/16 LAST PG PF6/18 AGING MESSAGE PF10/22 PG UP \*\*\* CONTINUES \*\*\*

PF5/17 FIRSTPG PF7/19 PREVSCRN

PF11/23 PGDOWN

**PF3/15 AWT INQ**