

# The Depository Trust Company

## IMPORTANT

### SAVE TIME & MONEY OBTAINING COPIES OF DEPOSITS

**B#:** 2911

**DATE:** February 05, 2002

**TO:** All Participants

**CATEGORY:** Operations

**FROM:** Joseph Clemente - Product Management/Securities Processing

**ATTENTION:** Managing Partners/Cashier/Officers/Operations Areas

**SUBJECT:** Requesting Copies of Certificates and Documents Deposited  
Into DTC's Custody Service

Effective immediately, DTC is expanding its Imaging Fax and E-mail System (IFE) to provide participants using the DTC Custody Service with an automated way to retrieve images of previously deposited securities by fax or e-mail. Custody users can now connect directly to the IFE via the Participant Terminal System (PTS) function CUST.

In the third quarter of 2001, DTC upgraded PTS by introducing the IFE, which provides a fast and economical alternative to submitting inquiries via PINS. The IFE allows participants to quickly obtain copies of their deposit material by fax or e-mail and also have DTC route these images to as many as six recipients. To date, the IFE has been available to users of the following PTS deposit functions:

- BDSI (for branch deposits)
- DAMP (for regular deposits)
- RDSP (for restricted deposits)
- STDI (for deposits still in transfer as of the close of business the previous business day)

Customers of DTC Custody needing imaged copies of certificates and attached documents can also benefit from the time saving and cost cutting opportunities offered by the IFE. Users can enter a request simply by pressing PF12/24 on the Certificate Detail Inquiry screen of the PTS function CUST and completing the relevant IFE screens. Detailed procedures appear at the end of this notice.

# BENEFITS OF USING THE IMAGING FAX AND E-MAIL SYSTEM

## SPEED

In each request you may specify a maximum of six e-mail addresses or facsimile transmission numbers. The system will then transmit the e-mail or fax of requested images to all designated recipients, normally within 30 minutes of the request. The actual time of receipt may vary, however, depending on Internet traffic and the speed or availability of your facsimile transmission device. Using these electronic means eliminates the need for hard copy and its inherent problems, such as the need for messenger pick-up, mailing costs, internal delivery, storage, forwarding, and so forth.

## SAVINGS

Using the Imaging Fax and E-Mail System can be a real cost saver for participants using the Custody Service. Due to all of the manual intervention required to obtain photocopies, DTC must charge **\$7.72 per copy of each requested certificate**. If you were to request a copy of a deposit from the Imaging Fax and E-mail System via the CUST function on PTS, you will be billed only **\$5.50 per deposit request even if the deposit contains multiple certificates**. DTC only charges \$2.00 for each e-mail or facsimile transmission delivery destination after the first one, once again whether the deposit comprises one or multiple certificates.

The savings achieved in using the Imaging Fax and E-mail System to obtain copies of your Custody deposits can be demonstrated in the following example. For demonstration purposes, let's use the example of Participant #9999 requesting copies of a deposit consisting of 5 certificates of XYZ Corp and their accompanying stock power.

PINS METHOD		IMAGING FAX AND E-MAIL METHOD	
Procedure	Costs	Procedure	Cost
PINS Fee for Photocopies of Five Certificates (shipment costs not included)	\$46.32	Imaging Fax/E-Mail Request for Images of Five Certificates (electronic transmission included)	\$5.50
Total Cost	\$46.32	Total Cost	\$5.50

In this example, the requesting participant can save \$40.82 by using the Imaging Fax and E-mail System instead of PINS, a sum that does not even include costs that might be incurred with pick-up, handling, shipping, and storage of hard copy material. Both examples above assume one destination for the faxed or e-mailed copies. If the participant wanted DTC to transmit a copy to a third party (say a branch office, customer, registered representative, counsel, etc.) via fax or e-mail, the cost of doing so would only be additional \$2.00 per destination. Needless to say, each hardcopy shipment would cost the participant an additional \$46.32 if requested via PINS

Attached are the procedures for accessing the Imaging Fax and E-mail System using the CUST function on PTS, which can also be accessed via DTCC's Electronic Document Library at [www.dtc.org](http://www.dtc.org).

# Imaging Fax and E-mail System

## Introduction

### Overview

The Imaging Fax and E-mail System allows you to request that imaged copies of certificates and other deposit-related documents you sent to DTC be transmitted to up to six recipients by either fax or e-mail. You can also obtain copies of legal notices via this system.

You can access the Imaging Fax and E-mail System from the following PTS function screens:

Function	Screen(s)	Function Key/ Menu Option
BDSI	Detail Inquiry	PF1/13
CUST	Certificate Detail Inquiry	PF12/24
DAMP	Deposit Detail Inquiry	PF2/14
RDSP	Main Menu	Option 8
STDI	Aging Deposit Inquiry All Deposit Inquiry Stop Deposit Inquiry	PF2/14
LENP	Notice Order	PF2/14

*Note*—Due to the nature of the Internet, an e-mail request may take anywhere from a few minutes to several hours to reach its destination. However, the average time it will take an e-mail request to reach its destination is 15 to 20 minutes.

### Associated Products

The Imaging Fax and E-mail System is used with the following Deposits products:

- Branch Deposits
- Custody
- Custody Reorg Deposits
- Legal Deposits
- Regular Deposits
- Restricted Deposits

The service is also available for users of DTC's Legal Notice System (via LENP), which allows you to view and order legal, asset-backed, and corporate status notices.

### List of Screens

The Imaging Fax and E-mail System comprises the following screens:

This screen	Allows you to
Selection Screen	Select whether you want the imaged material transmitted by fax or e-mail.

Fax Transmission Request

Enter up to six fax numbers to which you want the imaged material transmitted.

E-mail Transmission Request

Enter up to six e-mail addresses to which you want the imaged material transmitted.

## Procedures

### Requesting Fax and E-mail Transmissions

Use this procedure to request that imaged material be transmitted to up to six recipients by either fax or e-mail.

Step	Action
1	<p>Access the Imaging Fax and E-mail System from the PTS function you are using. The links that follow will take you to the appropriate procedure.</p> <ul style="list-style-type: none"><li>• BDSI</li><li>• DAMP</li><li>• LENP</li><li>• RDSP</li><li>• STDI</li></ul> <p><i>Result</i>–The Imaging Fax and E-mail System Selection Screen appears.</p>
2	<p>Select the transmission method by entering either <b>F</b> for fax or <b>E</b> for e-mail in the field next to the arrow. Press ENTER.</p> <p><i>Result</i>–Either the Fax Transmission Request screen or the E-mail Transmission Request screen appears.</p>
3	<p>Type data in all required entry fields and press ENTER to transmit your request to DTC.</p> <p><i>Result</i>–The message “Your request has been submitted” appears, along with an indicator showing how many imaged documents will be sent with each transmission.</p>

## Reference

### Selection Screen

The Selection Screen can be accessed from the PTS functions screens listed previously in this procedure and allows you to select whether you would like imaged material transmitted by either fax or e-mail. Type **F** next to the arrow if you want the material sent by fax or **E** if you want it sent via e-mail.

## Sample Screen

```
WELCOME TO THE IMAGING FAX AND E-MAIL SYSTEM

ENTER F FOR FAX

ENTER E FOR E-MAIL

=====>___

PF 7/19 = PREV SCREEN
```

## Function Keys

The only function key you can use on this screen is PF7/19, which will return you to the last inquiry screen you were working on.

## Fax Transmission Request Screen

The Fax Transmission Request screen appears when you select the fax option on the Selection Screen. It allows you to enter the fax numbers of up to six prospective recipients of the imaged deposit material. You can also enter comments about the material. All fields are required unless otherwise noted.

## Sample Screen

```
IF20 / TATF      F A X  T R A N S M I S S I O N  R E Q U E S T      MM/DD/YYYY
D0002199-00     I M A G E S  F O R  C N T L  I D  1 2 3 4 5 6 7 8 9 0 1 2 3 4      HH:MM:SS

SENT FROM:
NAME:  _TEST BROKERS_____ PART ID:  _2199___
ADDRESS:  _123 Main St., New York, NY 12345_____

SEND TO:
FAX NUMBERS:
1. ( 212 ) 555 - 5555      ATTENTION:  _J. SMITH_____
2. ( 212 ) 555 - 1234      ATTENTION:  _R. WEEKS_____
3. ( ___ ) ___ - ___      ATTENTION:  _____
4. ( ___ ) ___ - ___      ATTENTION:  _____
5. ( ___ ) ___ - ___      ATTENTION:  _____
6. ( ___ ) ___ - ___      ATTENTION:  _____

SUBJECT:  _PHOTOCOPY OF CERT_____
COMMENTS:  _AS DISCUSSED, SEE COPY OF CERTIFICATE FOR DETAIL_____
_____
_____
_____

PF7/19 = PREV SCREEN
```

## Field Descriptions

This field

Allows you to

Sent from: Name	Type your name and your firm's name.
Part ID	View your participant number.
Sent from: Address	Type your firm's address. <i>Optional.</i>
Fax Numbers (1 through 6)	Type up to six fax numbers.
Attention (1 through 6)	Type up to six recipients' names.
Subject	Type identifying information about the material. <i>Optional.</i>
Comments	Type comments about the transaction. <i>Optional.</i>

### Function Keys

The only function key you can use on this screen is PF7/19, which will return you to the last inquiry screen you were working on.

### E-mail Transmission Request Screen

The E-mail Transmission Request screen appears when you select the e-mail option on the Selection Screen. It allows you to enter the e-mail addresses of up to six prospective recipients of the imaged deposit material. You can also enter comments about the documents. All fields are required unless otherwise noted.

### Sample Screen

```

IF20 / TATF  E - M A I L  T R A N S M I S S I O N  R E Q U E S T
MM/DD/YYYY
D000299-01   I M A G E S   F O R   CNTL ID 12345678901234
HH:MM:SS

SENT FROM:
NAME:   _TEST BROKERS_____ PART ID: _2199__
ADDRESS: _123 Main St., New York, NY 12345_____

SEND TO:
E-MAIL ADDRESSES:  1.  _jsmith@xxx.com_____
                   2.  _rweeks@xyz.com_____
                   3.  _____
                   4.  _____
                   5.  _____
                   6.  _____

SUBJECT:  _IMAGE OF CERT_____
COMMENTS: _AS DISCUSSED, SEE IMAGE OF CERTIFICATE FOR DETAIL_____
          _____
          _____
          _____

                                     IMAGE FORMAT: T  CONSOLIDATE: Y
PF7/19 = PREV SCREEN

```

### Field Descriptions

<b>This screen</b>	<b>Allows you to</b>
--------------------	----------------------

Sent from: Name	Type your name and your firm's name.
Part ID	View your participant number.
Sent from: Address	Type your firm's address. <i>Optional.</i>
Send to: E-mail Addresses (1 through 6)	Type up to six e-mail addresses.
Subject	Type identifying information about the material. <i>Optional.</i>
Comments	Type comments about the transaction. <i>Optional.</i>
Image Format	Type <b>J</b> if you would like the images sent in JPEG format. <i>Optional. Default: T</i> (for TIFF format).
Consolidate	Type <b>N</b> if you would like each imaged page to be sent as separate attachment instead of a single consolidated attachment. <i>Optional. Default: Y</i> (for one attachment). <i>Note</i> —You will probably find it preferable to receive one attachment that you can open and scroll through rather than several attachments that may be difficult to identify.

## Function Keys

The only function key you can use on this screen is PF7/19, which will return you to the last inquiry screen you were working on.

## Messages

You may encounter the following error messages when using the Imaging Fax and E-mail System. Messages appear in alphabetical order, along with an explanation and a possible resolution.

### - 911 SQLCODE - TABLE IN USE. PLEASE TRY AGAIN LATER.

**Probable Cause:** A system table is in use and your request cannot be processed.

**Suggested Resolution:** Wait a few seconds and press ENTER again.

### DUPLICATE REQUEST. THIS REQUEST HAS ALREADY BEEN SUBMITTED.

**Probable Cause:** ENTER was pressed again after a completed request was submitted. This warning feature prevents you from accidentally sending multiple requests to the same users of the same images.

**Suggested Resolution:** Either modify the screen you were working on in some way or press PF7/19 to return to the last inquiry screen you were working on, and start the request process over again.

### F & E ARE THE ONLY OPTIONS

**Probable Cause:** You entered a value other than **F** or **E** in the field next to the arrow.

**Suggested Resolution:** Type **F** (for fax) or **E** (for e-mail).

### **FIRST E-MAIL ADDRESS REQUIRED**

**Probable Cause:** The first Send to: E-mail Addresses field is blank.

**Suggested Resolution:** Type an e-mail address in the first field.

### **FIRST FAX NUMBER REQUIRED**

**Probable Cause:** A complete numeric fax number was not entered in the first Send to: Fax Numbers field.

**Suggested Resolution:** Enter a complete numeric fax number in the first Send to: Fax Numbers field.

### **FIRST POSITION OF E-MAIL ADDRESS MUST BE A - Z OR 0 - 9**

**Probable Cause:** The first character of an e-mail address is a value other than A through Z or 0 through 9.

**Suggested Resolution:** Enter an e-mail address in which the first character of an e-mail address is A through Z or 0 through 9.

### **INVALID KEY - ONLY VALID KEYS ARE: ENTER/PF1/13**

**Probable Cause:** You pressed an invalid function key.

**Suggested Resolution:** Press ENTER or PF1/13 to submit a request, or PF7/19 to return to the previous screen.

### **INVALID CONSOLIDATION INDICATOR. Y = YES, N = NO**

**Probable Cause:** A value other than Y or N was entered in the Consolidate field.

**Suggested Resolution:** Enter Y (for one attachment with multiple pages) or N (for a separate attachment for each page).

### **INVALID E-MAIL ADDR. ==> MIN-7 CHARS & ONE PERIOD & ONLY 1 @ SYMBOL.**

**Probable Cause:** At least one of the entered e-mail addresses was in an incorrect format.

**Suggested Resolution:** Retype the address in a correct format (for example, **jdoe@dtcc.com**).

### **INVALID IMAGE FORMAT==> T = TIFF, J = JPEG**

**Probable Cause:** A value other than T or J was entered in the Image Format field.

**Suggested Resolution:** Type either T (if you want the images sent in TIFF format) or J (if you want the images sent in JPEG format).

### **JPEG IMAGES CANNOT BE CONSOLIDATED ==> CONSOLIDATE = N**

**Probable Cause:** An attempt was made to consolidate JPEG images, which cannot be consolidated.

**Suggested Resolution:** Either change the Image Format field to T (for TIFF images, which can be consolidated) or change the Consolidate field to N (for no consolidation).

**SENDER NAME REQUIRED**

**Probable Cause:** The Sent From: Name field is blank.

**Suggested Resolution:** Enter the sender name.

**### SQLCODE 34 CALL IFE SUPPORT WITH THIS SQL ERROR CODE**

**Probable Cause:** An error occurred while your request was being processed.

**Suggested Resolution:** Retry your request. If the problem persists, the Customer Support Center at (888) 382-2721.