

# IMPORTANT NOTICE

**The Depository Trust Company**



**#:** B 3674-08  
**Date:** September 10, 2008  
**To:** All Participants  
**Category:** Settlement/Underwriting  
**From:** Product Management  
**Attention:** Cashier/Managing Director/Settlement Manager  
**Subject:** New Service Announcement – Introduction of the Security Holder Tracking Service which allows a third party administrator to track the number of beneficial holders of an issue

## Background

The Depository Trust Company ("DTC") filed a rule change with the Securities and Exchange Commission to implement a new service which will allow issuers, either themselves or through an issuer-designated administrator, to track and limit the number of beneficial owners for an individual CUSIP (the "Security Holder Tracking Service" or the "SH Tracking Service"). In order to support the settlement and asset servicing of certain securities, DTC was asked to build a mechanism which would allow issuers to track and limit the number of beneficial owners of its securities ("Tracked Securities").<sup>1</sup>

## Proposed Solution

The eligibility process for a Tracked Security to be made and remain DTC-eligible will remain the same. In addition to the traditional process, DTC must be instructed in writing to set up a specific CUSIP for tracking.<sup>2</sup> At the same time, the issuer must

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<sup>1</sup> For a variety of reasons, an issuer may wish to limit the number or type of beneficial owners of its securities.

<sup>2</sup> It is anticipated that this instruction will come from the underwriter at the time of the initial distribution at DTC.

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instruct DTC as to whom will perform the function of the administrator for the CUSIP within the SH Tracking Service<sup>3</sup>.

Upon receipt of all of the aforementioned documentation, DTC will make the CUSIP DTC-eligible and will activate the tracking indicator on its security master file. Additionally, once it is made eligible, DTC will perform asset servicing for the issue. The administrator appointed by the issuer (the “Administrator”) will control movements of the particular CUSIP for which it has been appointed. Once the tracking indicator has been activated on the master file and the Administrator has been appointed, no transfer of the securities shall take place in the Tracked Security without the approval of the Administrator through the Inventory Management System (IMS). The Administrator, based on requirements of the issuer, shall be solely responsible for determining whether a transaction should be effected in DTC. Once approved by the Administrator, DTC may perform centralized book-entry settlement.

IMS will only allow an Administrator access to view and approve transactions for CUSIPs for which they have been appointed Administrator as reflected in DTC’s records.

As DTC is relying solely on the instructions of the Administrator in order to effect settlement in Tracked Securities and has no knowledge of the number or character of the underlying beneficial owners, use of the SH Tracking Service by any party will constitute an agreement that DTC shall not be liable for any loss or damages related to the use of the SH Tracking System. Each user of the SH Tracking Service agrees to indemnify and hold harmless DTC and its affiliates from and against any and all losses, damages, liabilities, costs, judgments, charges, and expenses arising out of or relating to the use of the SH Tracking Service.

The Tracked Securities will not be held as part of a Participant’s general free account nor will they be considered eligible collateral in DTC’s settlement system.

Although the SH Tracking Service was developed to address the specific concerns of closely held Rule144A issues, in practice it could be utilized for other types of securities for which the number or character of the beneficial owners requires some level of control by a third party administrator.

## **Process Overview**

To support the tracking of holders in a designated security, DTC will provide access to its Inventory Management System (IMS) to those Administrators assigned by the issuer. Once the issue is established on the DTC master file as one that requires tracking, all transactions will be held in IMS awaiting Administrator approval to proceed to settlement.

In order to use the service, DTC must be notified during the underwriting eligibility process that the issue requires third-party tracking. Upon receipt of all required documentation, DTC will activate the tracking indicator on its security master file and provide IMS access to the assigned Administrator, but only to allow for inquiry and approval/disapproval of transactions assigned to the respective Administrator.

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<sup>3</sup> It is anticipated that the Administrator will typically be the transfer agent for the issue.

During the Underwriting closing process, the position will move from a DTC internal account to a designated sub-account of the lead underwriter. Once the shares are moved into the designated sub-account, all share movement from that point on will require the approval of the designated Administrator through IMS. Once transaction approval has been received, and all other settlement risk controls have been met, the shares will move from the delivering participant's sub-account to the receiving participant's sub-account, either free or versus payment. These Security Holder Tracking transactions will use a new Account Transaction Processor (ATP) activity code in DTC (42). Normally, deliver orders move position from one participant's general free account to another participant's general free account, either free or versus payment. **Participants should consider the effect of a new activity code (42) in the DTFPART activity files and make coding changes as necessary.**

For risk management purposes, these issues will be designated as having zero collateral within DTC's settlement system.

DTC has recently filed with the SEC a rule filing to provide the aforementioned service. Subject to SEC approval, DTC plans to implement the Security Holder Tracking Service in production for participants in the 4th quarter.

For more information, contact Dan Thieke at 212-855-4162 (dthieke@dtcc.com), Steve Wasserman at 212-855-3270 (swasserman@dtcc.com) or DTCC Relationship Management at (800) 422-0582.

## Security Holder Tracking Service Description

### **Trade Submission**

- Regardless of where executed, trades will be submitted to the tracking service either via Omgeo’s TradeSuite/ID system (Affirmed Confirms) or a DTC Deliver Order (DO).

#### Directly Submitted DOs

- DTC is developing a new DO option through which to submit both valued and free Security Holder Tracking deliveries. These items can be submitted via PBS and machine-readable media.
- Existing DO input functionality (including reclaims) via PTS, PBS and automated input functions (NDM, FTP and MQ) is not being enhanced to handle Security Holder Tracking securities (and will result in rejected transactions). A new Security Holder Tracking Deliver Order Input option is being made available via PBS. In addition, DTC’s new DO 24x6 service, Deliver Order Input (DOI), is being enhanced to support Security Holder Tracking Delivery Input via ICM/MQ and ICM/CF2. Security Holder Tracking Deliver Order transactions will be accepted via ISO 15022. A new business transaction identifier (BTID) will be used to identify these transactions as Security Holder Tracking Deliveries.

#### BTID - Alpha

#### Description

DO09	Security Holder Tracking Valued Deliver Order
DO10	Security Holder Tracking Free Deliver Order

Participants should refer to the following link to receive DO ISO layouts: <http://www.dtcc.com/products/documentation/cs/cs.php> [CCF Settlement category].

- Administrators also have the option of receiving confirmations from Omgeo’s TradeSuite/ID System as an “Interested Party”.

### **Security Holder Tracking Transaction Processing**

- Security Holder Tracking deliveries will use a new Account Transaction Processor (ATP) activity code, 42, in DTC. This new activity code will move position from the delivering participant’s Seg account to the receiving

participant's Seg account, either free or versus payment. ATP will use the same "Serial Number" (identifies Seg accounts) for both deliverer and receiver.

- All DO activity (e.g., stock loans, reclaims) will be subject to administrator's approval.
- For Security Holder Tracking transactions received from Omgeo's TradeSuite/ID system, participants still need to authorize their deliveries in IMS as they do today for DTC to attempt settlement (in addition to the Third-Party Administrator approval).
- Trades submitted via Omgeo will be identified as either transaction type Matched Institutional Trades (MITS) or Late Matched Institutional Trades (LMIT) in IMS.
- Security Holder Tracking deliver orders follow regular Receiver Authorized Delivery (RAD) rules. Security Holder Tracking transactions submitted to DTC from Omgeo are not subject to RAD.
- DTC ATP Activity Code 42 deliveries will appear on the DTC participant account statement under one of the following current Settlement Activity Codes (as applicable): 19 (ID), 26-0 (DO SDFS), 26-5 (Stock Loan DO), 26-6 (Stock Loan Return DO).
- Stock loan reason codes will be permitted for Security Holder Tracking DOs, and will update the stock loan tracking memo accounts as with normal stock loan tracked DOs.
- Participants will be able to identify those transactions awaiting Administrator approval in IMS via the new PBS Security Holder Tracking Inquiry functionality (see attached screens).

### **IMS Profiles for Security Holder Tracking Processing**

- Recycle, Submission, Activity Code, Asset Class, and Security Code profiles will not apply to activity code 42.
- Security Holder Tracking transactions will be able to be reintroduced, so activity code 42 is being added to the Reintroduced Drop profile.
- Participant Entered Transactions (PETS) profiles will apply.

### **Reclaims**

- Participants will be able to reclaim Security Holder Tracking transactions via the ART function (PTS/PBS) and the automated DO 24x6 service, DOI.

### **Activity Research Tool (ART) Function Changes**

- The new ATP activity code 42 will be displayed in the ART summary, detail and reclaim screens. The "Serial Number" is being added to the ART detail and reclaim detail screens. Activity Code 42 is also being added in the activity history and intra-day activity systems.

### **Output and Screen Changes**

- DTC will include Security Holder Tracking Deliver Order transactions with the new activity code of 42 in the DTFPART activity files. **Participants should make necessary changes to their systems to handle the new 42 activity code (42) in DTFPART.** The ATP activity code of 40 will be used in DTFPART for the initial underwriting takedown delivery from DTC's internal Underwriting account to the lead underwriter's sub-account.
- No hardcopy tickets are available for Security Holder Tracking DO transactions.
- Security Holder Tracking dropped deliveries will appear on participant drop reports like other DOs.
- Participants will be able to view Security Holder Tracking DOs in the PEND function like other DOs. All other DO actions (e.g., Pend Hold, Pend Cancel) will be available for Security Holder Tracking items and will be billed at existing rates.

### **Billing Information**

Charges to DTC participants associated with Security Holder Tracking securities are as follows:

- Underwriting fee of \$25,000 per primary issuance for tracking services.
- Delivery charge of \$5.00 per item (whether submitted via Omgeo's TradeSuite/ID system or a DTC DO).
- Receive charge of \$5.00 per item (whether submitted via Omgeo's TradeSuite/ID system or a DTC DO).
- Reclaims of Security Holder Tracking items will be \$5.00 per receive or delivery.

Existing DTC Long Position and Dividend Payment fees paid by participants are applicable to Security Holder Tracking issues and have not been changed for this service.

### **Third-Party Administrator Trade Approval and State Changes**

- DTC's IMS is being made available to Third-Party Administrators for trade approval prior to settlement.
- A new PBS function/interface is being created for Administrators to view (inquiry), approve and disapprove transactions pending settlement at DTC. The Administrator, when signing onto PBS, will be brought to the Settlement Services page; a new "Security Holder Tracking Service" option will be visible. Appendix A includes samples of the PBS Screens.
- Alternatively, Administrators may approve/disapprove transactions through ISO command messages.
- If a delivery is reclaimed or dropped after it has been approved by the administrator, the administrator can be notified through receipt of state change messages from DTC and/or by IMS inquiry. Administrators should only update records for made transactions.
- Third-Party Administrators should contact DTCC's Dan Thieke (see above) to coordinate access (e.g., PBS connectivity, get ISO Output and Command

Messaging layouts - including status codes; MT548) to this DTC service. The layouts can also be accessed via the following link:  
<http://www.dtcc.com/products/documentation/cs/cs.php> [CCF Settlement category].

### **Third-Party Administrator Message Specifications**

- A new CDTS subscription is needed for Third-Party Administrators in order to allow them to get a copy of all transaction state change messages for the list of CUSIPs for which they are the Third-Party Administrator.
- Existing ISO messages will be used to support the Third-Party Administrator informational status messages and approval and disapproval command messages. DTC will limit the Third-Party Administrator's capabilities to approvals and disapprovals.
- Third-Party Administrators will need to use a BIC (Bank Identifier Code; assigned by SWIFT) for submission and receipt of ISO messages.

**Appendix A – PBS Screens**

**Settlement Services Main Menu**

**PBS - Settlement Services** 

Home Internal Menu Settlement Menu Settlement Tools Message Center Change Password Help Go To PTS

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**Welcome to Settlement Services**

Access to settlement details, activity and risk management information, with full DTC settlement processing capabilities

**Settlement Services Utilities**

- > [Security Detail](#)
- > [SMART/Search](#)
- > [PINS](#)
- > [SMART/Messages](#)
- > [Master File Name Inquiry](#)
- > [Participant PIN/Password System \(PSWD\)](#)

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**Settlement Functions**

**Processors**

- Delivery Orders
  - > [Quick Deliver Order Input](#)
  - > [Day/Night Deliver Order Input](#)
  - > [Fed Deliver Order Input](#)
  - > [DO Reason Code Inquiry](#)
  - > [DO Reason Code Add/Update/Delete](#)
  - > Night Deliver Orders
    - [Browse](#)
- Payment Orders/PO Reclaims
  - > Premium Payment Orders
    - [Inquiry](#) | [Update](#) | [Reclaim](#)
  - > Security Payment Orders
    - [Inquiry](#) | [Update](#) | [Reclaim](#)
- Receiver Authorized Delivery
  - > [Inquiry](#)
  - > [Update](#)
  - > Limit
    - [Inquiry](#) | [Update](#) | [Add](#)
- Security Holder Tracking Service
  - > [Security Holder Tracking Deliver Order Input](#)
  - > [Third Party Authorization](#)
- Security Segregation**
  - > [Segregation/Release](#)
  - > [Investment Identification/Release](#)
  - > [Memo Segregation/Release](#)
- > [Collateral Classifications](#)
- Risk Management Functions**
  - > [Risk Management Controls Inquiry](#)
  - > [Participant Debit Peak Inquiry](#)
  - > [OCC Disbursements](#)
  - > [OCC Hedge Mark to Market](#)
- NSCC CF Management**
- Inventory Management Services**
- Continuous Net Settlement**
  - > CNS Cash Reconciliation Statement
  - > Position Inquiry by Security
  - > Position Inquiry by Participant
  - > CNS Instructions
    - > CNS Instructions - Warnings and Errors
    - > Long Buy-in Position Inquiry
    - > Short Buy-in Position Inquiry
    - > [CNS Exemptions](#)
    - > [CNS Priorities](#)
- Collateral Loan Services**
  - > [Collateral Loan Service Menu](#)
  - > [Demand of Collateral](#)
- Collateral Movement Service Menu**
- Underwriting Notices**
- IPO Update and Inquiry**
  - > [IPO Tracking Inquiry](#)
  - > [IPO Tracking Update](#)
- Money Market Instruments**
  - > [MMI Bankers Acceptance Inquiry](#)
  - > [MMI Bankers Acceptance Update](#)
  - > [MMI Withdrawals](#)
  - > [MMI Issuance Processing](#)
  - > [MMI Tracking](#)
  - > [MMI Refusal To Pay Maturity Proceeds Inquiry](#)
  - > [MMI Underwriting Notice Inquiry](#)
  - > [MMI IPA Issue Staging Process](#)

**Settlement Statement/Reconciliation**

- > Settlement Statement
  - [Participant Account Statement](#)
  - [Funds Transfer](#)
  - [P/I Request Inquiry](#)
  - [P/I Withdrawal Request](#)
  - [Settling Bank Statement](#)
  - [Bank Adjustments](#)
  - [Bank Acknowledgement](#)
  - [NSCC Activity Totals](#)
  - [NSCC Adjustments](#)
  - [DTC / NSCC Secondary Approval](#)
  - [NSCC Obligation Loads](#)
  - [Xend Adjustments](#)
  - [Xend Bank Balances](#)
  - [Xend Legal Entity](#)
  - [Real Time Repairs](#)
- > Activity Research Tool
  - Activity By
    - [CUSIP](#) | [Activity Code](#) | [Collateral Group - All](#) | [Collateral Group - PO's](#)
  - Only
    - [Single Transaction](#)
    - [Pledge](#)
    - [Drops/Rejects/Dropped Pends](#)
    - [Short Position Inquiry \(Current Day Only\)](#)
  - > [Participant Activity Research Tool](#)
  - > [Stock Loan/Repo Adjustments](#)
  - > [Short Position Inquiry](#)
  - > [Pending Activity](#)
  - > [Security Position](#)
- Participant Exchange Service**
  - > [Reorganization Liability](#)
  - > [Securities Lending Termination/Close-out](#)
  - > [Letters of Free Funds](#)
  - > [PEX Inquiry/Reply](#)
  - > [Letters of Free Funds Inquiry/Reply](#)
- Other Settlement Functions**
  - > [ATP Activity Code Information](#)
  - > [DTC Preformatted Broadcast Message Facility](#)
  - > [Day COD](#)
  - > [Day COD for Municipal Bearer Bonds](#)
  - > [CSD Processing](#)
  - > [Honest Broker DO Liquidation](#)
  - > [Honest Broker DO Menu](#)
  - > [Night Certificates On Demand](#)
  - > [Night COD for Muni Bearer Bonds](#)
  - > [Worthless Securities](#)

A new sub-menu is being created – Security Holder Tracking Service.  
 Sub-menu to include two menu options:

- Security Holder Tracking Deliver Order Input
  - Allows Participants to enter Security Holder Tracking Deliver Order transactions.

- Third Party Authorization  
Allows Administrators to view, approve or disapprove pending Security Holder Tracking securities transactions. Participants use for inquiry purposes.

## Security Holder Tracking Deliver Order Input

The screenshot shows a web browser window titled "144A Securities Deliver Order Input - Microsoft Internet Explorer provided by Depository Trust & Clearing Corp". The address bar shows a local host URL. The page header includes "PBS - Settlement Services" and "DTCC". The main content area is titled "Security Holder Tracking Deliver Order Input" and includes a "Go To:" dropdown menu. Below this is a "Request Entry" section with a table of form fields. Fields marked with an asterisk (\*) are required. The fields include: Transaction Type (dropdown), Delivering Participant ID (text), Receiving Participant ID (text), Quantity (text), Amount (\$) (text), CUSIP (text with search icon), Reason Code (text with search icon), Settlement Date (calendar), Due Bill (checkbox), Deliverer Acct (text), Receiver Acct (text), Prevent Pend (checkbox), ID Control # (text), Trade Date (calendar), Buy/Sell (radio buttons), Settlement Today Only (dropdown), and IMS TID (text). There are "Reset" and "Submit" buttons at the bottom right of the form.

Name	Type	Description	Required (Y/N)
Input Type	Drop Down Box	Free or Valued Deliver Order Default: "Select DO Type"	Y
Delivering Participant ID	Display	ID number of participant who sign-on to PBS	Y
Delivering Participant Name	Display	Participant Name	N
Receiving Participant ID	Input	Receiving Participant ID number	Y
Receiving Participant Name	Input	Receiving Participant Name	N
Quantity	Input	Total number of securities	Y
Amount (\$)	Input	Amount of money for the DO transaction Maximum allowed 9(10).99 <i>Note: Amount is only populated for Valued DO</i>	Y
CUSIP	Input	CUSIP of the Security Holder Tracking security to be	Y

Name	Type	Description	Required (Y/N)
		delivered	
CUSIP Description	Display	Description of Security Holder Tracking security to be delivered	N
Reason Code	Input	Reason code for the DO transaction	Y
Settlement Date	Input	Date the transaction settles	N
Due Bill	Check Box	Indicates whether due bills are carried on this issue	N
Deliverer Acct	Input	Deliverer's Internal account number	Y
Receiver Acct	Input	Receiver's Internal account number	Y
Prevent Pend	Check Box	Indicates if delivery should be prevented from recycling	N
ID Control #	Input	Omgeo ID control number	N
Trade Date	Input	Omgeo ID Trade date	N
Buy/Sell	Radio Button	Omgeo ID Buy Sell indicator. Indicates that the Prime Broker is buying or selling. Default value is 'Buy'.	N
Settlement Today Only	Drop Down Box	Process on Settlement Date Only Indicator Valid values are: Y = Yes N = No Blank	N
IMS TID	Input	IMS Transaction Identifier used to identify the transaction to be reclaimed.	N
Comments	Input	Comments	N

## Security Holder Tracking Search Criteria

1. When an Administrator views this page, no information is required. Third Party Administrator ID will default to the sign-on ID.

The screenshot shows a web browser window titled "IMS Transaction Authorization Service - Microsoft Internet Explorer provided by Depository Trust & Clearing Corp". The page content is as follows:

Security Holder Tracking Service GO TO:

Mar 14, 2009 - 12:24 PM EST  
Logged on as: D0062 - 0AB

**Search Criteria**  = Required

<b>Third Party Administrator:</b>		Third Party Administrator Name:	
Deliverer ID:	<input type="text"/>	CUSIP:	<input type="text"/>
MU TID:	<input type="text"/>	IMS TID:	<input type="text"/>
Delivery Date(s) From:	<input type="text"/>	To:	<input type="text"/>
<b>Third Party Approval:</b>		<input type="checkbox"/> Pending Approval <input type="checkbox"/> Approved <input type="checkbox"/> Disapproved *	

Search by fields includes:

- 1) Deliverer ID
- 2) CUSIP
- 3) MU (Matching Utility) TID
- 4) IMS TID
- 5) Delivery Date From and To
- 6) Third Party Approval: Pending Approval / Approved / Disapproved / All (see next page)

## 2. Inquiry screen for Delivering Participants (Deliverer ID is pre-populated).

IMS Transaction Authorization Inquiry - Microsoft Internet Explorer provided by Depository Trust & Clearing Corp

File Edit View Favorites Tools Help

Security Holder Tracking Service

Go To: Select an option

Mar 14, 2009 - 12:24 PM EST  
Logged on as: D0062 - 0A8

Search Criteria = Required

<b>Deliverer ID:</b>		<b>Deliverer Name:</b>	
Third Party Administrator:	<input type="text"/>	CUSIP:	<input type="text"/>
MU TID:	<input type="text"/>	IMS TID:	<input type="text"/>
Delivery Date(s) From:	<input type="text"/>	To:	<input type="text"/>

**Third Party Approval:**  Pending Approval  Approved  Disapproved  All \*

[Reset](#) [Search](#)

Done My Computer

## Security Holder Tracking Global Totals & Search Results:

### 1. Third Party Administrator view.

The screenshot displays a web application interface with two main sections: Global Totals and Search Results.

**Global Totals Table:**

	Transactions	Amount(\$)
Approved	8	\$78,600.00
Total	8	\$78,600.00

Page: 1 Records Displayed: 8

**Search Results Table:**

Action	CUSIP	Control Number	Activity Code	Deliverer	Shares	Value	Settlement Date	Contra	State	Status
Select Action	CKC50X106	<a href="#">9536624751GH570E</a>	042	1255	65	\$6,500.00	03/14/2008	1260	MAKD	APPR
Select Action	CKC50X106	<a href="#">953662475245JK90</a>	042	1255	12,600	\$0.00	03/14/2008	1260	MAKD	APPR
Select Action	DFA24P207	<a href="#">9536624753R445PQ</a>	042	1255	0	\$0.00	03/14/2008	1260	MAKD	APPR
Select Action	D1668R123	<a href="#">95366247542A3WE3</a>	042	1255	37,100	37,100.00	03/14/2008	1260	MAKD	APPR
Select Action	D1668R123	<a href="#">953662475500W23</a>	042	1255	9,100	9,100.00	03/14/2008	1260	MAKD	APPR
Select Action	D1668R123	<a href="#">9536624756A8W53E</a>	042	1255	6,400	6,400.00	03/14/2008	1260	MAKD	APPR
Select Action	D1668R123	<a href="#">9536624757W4RTSL</a>	042	1255	9,100	9,100.00	03/14/2008	1260	MAKD	APPR
Select Action	D18190898	<a href="#">953AD662475812WS</a>	042	1255	5,700	10,400.00	03/14/2008	1260	MAKD	APPR

Page: 1 Records Displayed: 8  
No more records available.

Totals by approval status will be shown based on search criteria selected: Approved, Disapproved, and Pending Approval.

Action column will enable the Administrator to approve or disapprove each transaction. Disapproval action is not available after a transaction is submitted to DTC's ATP.

Clicking on Control Number will open a new window with the transaction details. (See Security Holder Tracking Transaction Details screen)

Clicking on State will open a new window with the transaction history. (See Transaction History screens)

2. When a Participant signs in and enters its search criteria, the summary screen will appear as:

The screenshot displays a web browser window with the following content:

**Global Totals**

	Transactions	Amount(\$)
Approved	8	\$78,600.00
Disapproved	0	\$0.00
Pending Approval	0	\$0.00
<b>Total</b>	<b>8</b>	<b>\$78,600.00</b>

Page: 1 Records Displayed: 8

Navigation: <Previous Next> Reset Submit

**Search Results**

CUSIP	Control Number	Activity Code	Third Party	Shares	Value	Settlement Date	Contra	State	Status
KCC50X106	95366247514512AD	042	1255	65	\$6,500.00	03/14/2008	1260	MAKC	APPR
KCC50X106	9536624752A85L5A	042	1255	12,600	\$0.00	03/14/2008	1260	MAKC	APPR
DFA24P207	9536624753K90L6X	042	1255	0	\$0.00	03/14/2008	1260	MAKC	APPR
D1668R123	953662475451MO3B	042	1255	37,100	\$7,100.00	03/14/2008	1260	MAKC	APPR
D1668R123	953662475845AD7H	042	1255	9,100	\$9,100.00	03/14/2008	1260	MAKC	APPR
D1668R123	95366247560P9L8G	042	1255	6,400	\$6,400.00	03/14/2008	1260	MAKC	APPR
D1668R123	953662475787K13L	042	1255	9,100	\$9,100.00	03/14/2008	1260	MAKC	APPR
D18190898	95366247587LKDE4	042	1255	5,700	\$10,400.00	03/14/2008	1260	MAKC	APPR

Page: 1 Records Displayed: 8  
More records available.

Navigation: <Previous Next> Reset Submit

Totals by approval status will be shown: Approved, Disapproved, and Pending Approval.

Clicking on Control Number will open a new window with the transaction details. (See Security Holder Tracking Transaction Details screen)

Clicking on State will open a new window with the transaction history. (See Transaction History screens)

## Security Holder Tracking Transaction Details:

Transaction Details for Transaction C2AA81C7FB699741			
Source TID:	C2AA81C7FB699741	ATP TID:	00000A-A0
MU TID:	9308772551	Transaction Source:	PRTE
Activity:	042	Reason Code:	077
Activity Description:	ATP RECEIVE PROCESS	Settlement Option:	2
State:	Made		
State Time:	15:13:37	User/Activity ID:	ATP RECEIVE PROCESS
Trade Date:	07/09/2008	Settlement Date:	07/09/2008
Currency Type:	USD	Overall State:	AUTH
Amount:	\$96,240.02	Quantity:	6
Security ID:	0529QIB09	Asset Class:	EQUITIES
Security Description:	REGULAR 144A QIB		
Deliverer:	00001266 - SDFS PRT B	Deliverer Account:	
Receiver:	00001270 - SDFS PRT F	Receiver Account:	
Third Party:	00000000	Settlement Today Only Ind:	
Inbound Component:	ANE	Norm/Express:	NORM
Tran Type:	MIT5	Preferred Submit Sequence:	0
Delivery Profile:	N	IMS Reason Code:	000
Sub Profile Bill:		Prioritization Group:	0
Color Profile:		Color Code:	W
Sort Rule:		Agent ID:	000717
PTA Indicator:		Due Bill Indicator:	
Batch Constant:	001	Batch Variable:	001
Pledge Bank:	00000000	Desig:	
Force Indicator:		As Of Date:	07/09/2008
Buy-Sell Indicator:	BUYX	Loan Date:	
Reclaimed Date:		Reclaimed Tran ID:	000000000
Affected Participant ID:	00000000	Reorg Seg ID:	
Serial No.:	0000144	CMO Factor:	00.00000000000000
CDTS Tracking No.:	DBTSX900AJA3Y23Z	Original Source ID:	PRTE
Text Comments Line 1:	CNTL NUM: 308772551		
Text Comments Line 2:	AGT ACT:00000000BBBB		
Text Comments Line 3:	BKR DLR:00000000AAAA		
Text Comments Line 4:	CORR ACCT:00000005		
Text Comments Line 5:			
Text Comments Line 6:			
Text Comments Line 7:			
Text Comments Line 8:			
OCC Details:			
ATP Participant ID:		COL Transaction type:	
OCC Clearing Group ID:		OCC Clearing Member ID:	
OCC Account Type:		OCC Account ID:	
OCC Option Expiration Year:		OCC Collateral Type:	
OCC Option Expiration Month:		OCC Option Symbol ID:	
OCC Option Expiration Day:		OCC Option Strike Price:	
OCC Option Type:		OCC Old/New Symbol Indicator:	
OCC Cross Reference Number:		OCC Customer Account:	
ATP Store Clock:			

# Security Holder Tracking Transaction History:

## 1. Third Party Approved

Transaction History for Transaction C20EDA6C5C60AE46

Date/Time	Old State	New State	Process Indicator	Global Update	Input Media	Shares	Activity/Id
03/07/2008 14:07:05	Submitted to ATP	Made	Third Party Approved			50	ATP RECEIVE PROCESS
03/07/2008 13:57:25	Authorized	Submitted to ATP	Third Party Approved			50	SUBMIT TO ATP
03/07/2008 13:56:17	Authorized	Authorized	Third Party Approved			50	P0000540010
03/07/2008 13:53:38	Unprocessed	Authorized	Pending Third Party Approval			50	G0000246000
03/07/2008 13:49:38	Unprocessed	Unprocessed	Pending Third Party Approval			50	ONLINE STAGING

No more records available.

Print

## 2. Third Party Disapproved

Show New State change rows for Administrator approvals and disapprovals.

Transaction History for Transaction C20EDA6C5C60AE46

Date/Time	Old State	New State	Process Indicator	Global Update	Input Media	Shares	Activity/Id
03/07/2008 13:56:17	Authorized	Authorized	Third Party Disapproved			50	P0000540010
03/07/2008 13:53:38	Unprocessed	Authorized	Pending Third Party Approval			50	G0000246000
03/07/2008 13:49:38	Unprocessed	Unprocessed	Pending Third Party Approval			50	ONLINE STAGING

No more records available.

Print