

The Depository Trust Company

IMPORTANT

REMINDER

B#: 3148
DATE: March 13, 2002
TO: All Participants
CATEGORY: Dividends
FROM: DTC Dividend Department
ATTENTION: Managing Partner/Officer/Cashier, Dividends/Operations
SUBJECT: Reason Codes for Stock Loan and Repo Income Tracking

Following is a list of the current Deliver Order (DO) reason codes utilized for the income tracking of Stock Loans and Repos, as well as the Stock Loan ADR reason codes that are not tracked by DTC. These reason codes and descriptions can be viewed in the PTS on-line function DORI.

Stock Loan Reason Codes - Tracked

010 STOCK LOAN	STKL
011 STOCK LOAN RECLAIM DK	STKL
012 STK LOAN REC WRONG QTY	STKL
013 STK LOAN REC WRONG SECURITY	STKL
014 STK LOAN REC WRONG MONEY	STKL
015 STK LOAN REC PARTIAL	STKL
016 STK LOAN REC NEEDS A/C INFO	STKL
017 STK LOAN REC NEEDS DUE BILL	STKL
018 STK LOAN PRTL REC PARTIAL RET	STKL
019 STOCK LOAN RECALL	STKL
020 STOCK LOAN RETURN	STKL

021	STK LOAN RET REC DK	STKL
022	STK LOAN RET REC WRONG QTY	STKL
023	STK LOAN RET REC WRONG SEC	STKL
024	STK LOAN RET REC WRONG MONEY	STKL
025	STK LOAN RET REC PARTIAL	STKL
026	STK LOAN RET REC A/C INFO	STKL
027	STK LOAN RET REC NEED DUE BILL	STKL
028	STK LOAN RET PRTL REC PRTL RET	STKL
029	STOCK LOAN RECALL RECLAMATION	STKL

Stock Loan OCC Reason Codes - Tracked

260	OCC STOCK LOAN	OCCH
261	OCC STOCK LOAN RECLAIM DK	OCCH
262	OCC STK LOAN REC WRONG QTY	OCCH
263	OCC STK LOAN REC WRONG SECURITY	OCCH
264	OCC STK LOAN REC WRONG MONEY	OCCH
265	OCC STK LOAN REC PARTIAL	OCCH
266	OCC STK LOAN REC NEEDS A/C INFO	OCCH
267	OCC STK LOAN REC NEEDS DUE BILL	OCCH
268	OCC STK LOAN PRTL REC PARTIAL RET	OCCH
270	OCC STOCK LOAN RETURN	OCCH
271	OCC STK LOAN RET REC DK	OCCH
272	OCC STK LOAN RET REC WRONG QTY	OCCH
273	OCC STK LOAN RET REC WRONG SEC	OCCH
274	OCC STK LOAN RET REC WRONG MONEY	OCCH
275	OCC STK LOAN RET REC PARTIAL	OCCH
276	OCC STK LOAN RET REC A/C INFO	OCCH
277	OCC STK LOAN RET REC NEED DUE BILL	OCCH
278	OCC STK LOAN RET PRTL REC PRTL RET	OCCH

Stock Loan Collateral Reason Codes - Tracked

600	COLLATERAL DO	STKL
601	COLLATERAL DO RECLAIM - DK	STKL
602	COLLATERAL DO REC WRONG QUANTITY	STKL
603	COLLATERAL DO REC WRONG SECURITY	STKL
605	COLLATERAL DO REC PARTIAL	STKL
606	COLLATERAL DO REC NEEDS A/C INFO	STKL
607	COLLATERAL DO REC NEEDS DUE BILL	STKL
608	COLLATERAL DO PRTL REC PARTIAL RET	STKL
609	COLLATERAL DO RECALL	STKL
610	COLLATERAL DO RETURN	STKL

Stock Loan ADR Reason Codes - Not Tracked

280 ADR STOCK LOAN (UNTRACKED)
281 ADR STK LOAN RECLAIM DK
282 ADR STK LOAN RECLAIM WRONG QUANTITY
283 ADR STK LOAN RECLAIM WRONG SECURITY
284 ADR STK LOAN RECLAIM WRONG MONEY
285 ADR STK LOAN RECLAIM PARTIAL
286 ADR STK LOAN RECLAIM NEEDS A/C INFO
287 ADR STK LOAN RECLAIM NEEDS DUE BILL
288 ADR STK LOAN PARTIAL RCLM PARTIAL RET
290 ADR STOCK LOAN RETURN (UNTRACKED)
291 ADR STK LOAN RETURN RECLAIM DK

Repo Reason Codes - Tracked

220	REPO TRACKING	REPO
221	REPO TRACKING RECLAIM DK	REPO
222	REPO TRACKING RCLM WRONG QUANTITY	REPO
223	REPO TRACKING RCLM WRONG SECURITY	REPO
224	REPO TRACKING RCLM WRONG MONEY	REPO
225	REPO TRACKING RCLM PARTIAL	REPO
226	REPO TRACKING RCLM NEEDS A/C INFO	REPO
227	REPO TRACKING RCLM NEEDS DUE BILL	REPO
228	REPO TRACKING RCLM PARTIAL RET	REPO
230	REPO TRACKING RETURN	REPO
231	REPO TRACKING RETURN RECLAIM DK	REPO
232	REPO TRACKING RETURN RCLM WRONG QUANTITY	REPO
233	REPO TRACKING RETURN RCLM WRONG SECURITY	REPO
234	REPO TRACKING RETURN RCLM WRONG MONEY	REPO
235	REPO TRACKING RETURN RCLM PARTIAL	REPO
236	REPO TRACKING RETURN RCLM NEEDS A/C INFO	REPO
237	REPO TRACKING RETURN RCLM NEEDS DUE BILL	REPO
238	REPO TRACKING RETURN RCLM PARTIAL RET	REPO

If you have any questions, please E-mail Janice Sasso, Automation Specialist, at jsasso@dtcc.com or contact your Relationship Manager.