

# THE DEPOSITORY TRUST COMPANY

# IMPORTANT

**B#:** 10061

**DATE:** MAY 16, 2000

**TO:** ALL PARTICIPANTS

**FROM:** ALAN HUTTON, VICE PRESIDENT,  
SECURITIES PROCESSING

**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.

