

The Depository Trust Company

IMPORTANT

B#: 2100

DATE: September 05, 2001

TO: All Participants

CATEGORY: Operations

FROM: Kevin Haas, Manager, Securities Processing

ATTENTION: Managing Partner/Cashier/Officer

SUBJECT: Requesting Copies of Deposited Securities: DTC is introducing an automated, fast and economical way for participants to retrieve images of previously deposited securities (in lieu of submitting inquiries via PINS).

Two PTS functions will be expanded September 10, 2001, allowing you to transmit to DTC automated requests for images of deposited securities and receive them by e-mail or facsimile. When the Imaging Fax and E-Mail System becomes available online, you can send requests for images to DTC using the following deposit-related PTS functions:

- **BDSI** (for deposits made through the Branch Deposit Service)
- **DAMP** (for deposits made through the Deposit Automated Management Program)

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 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.

If you use BDSI and DAMP to obtain images of deposited securities, you will be billed \$5.50 per request (one deposit per request) and \$2.00 for each e-mail or facsimile transmission delivery destination after the first one.

Note: You will still be able to submit requests for copies of deposited securities via the PTS function PINS; the fee for PINS requests will remain at **\$7.72 per deposited certificate**. Therefore, we

strongly advise you to encourage your staff to use BDSI or DAMP, rather than PINS, to request copies of deposited securities.

Please call Kevin Haas, manager, at (212) 855-3650, or Larry Broughton ,manager, at (212) 855-4962, if you have questions or comments about this notice.

Attached are procedures for accessing the Imaging Fax and E-Mail System using the PTS functions BDSI and DAMP. The procedures are available in DTCC's Electronic Document Library at www.dtc.org. If you are unfamiliar with how to access the library, use the following procedures.

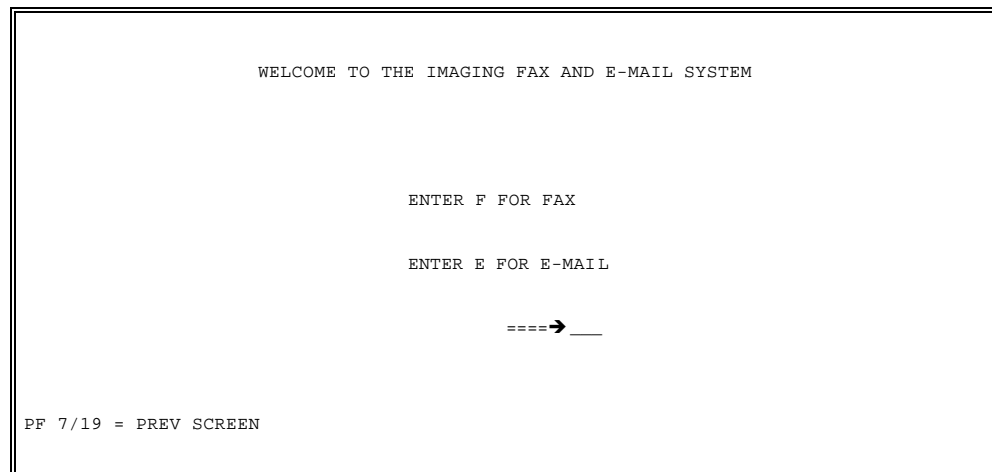
<p><i>How do I access documentation and other materials on DTCC's members-only site?</i></p>	<p>In order to access documentation on the members-only site (www.dtc.org), you must be a DTCC participant and must register to obtain a logon ID and password to access the Web site.</p>
<p><i>How do I register for access to the members-only Web site?</i></p>	<p>To register for access to the members-only Web site,</p> <ol style="list-style-type: none"> 1. Go to the www.dtc.org home page. 2. Select Site Registration at the bottom of the page. Another window appears displaying the New User Registration form. 3. Fill in the New User Registration form online. 4. Select Submit at the bottom of the form after reviewing the information for accuracy. A dialog box acknowledging your submission appears. 5. Select Reset to clear the form or Close to cancel the New User Registration form without sending your information. <p>DTCC will send you a logon ID and password by e-mail within 72 hours. If you do not receive them by then, go to www.dtc.org and select Contact DTC at the bottom of the screen. An e-mail screen titled Contact Us appears. Type your inquiry and press Submit. Your inquiry will be sent to DTC's Webmaster, who is responsible for managing logons and passwords.</p>
<p><i>How do I find documentation on your Web site?</i></p>	<p>Go to www.dtc.org.</p> <ol style="list-style-type: none"> 1. Select Login on the upper navigation bar. Another window appears displaying the logon and password form. 2. Type your logon ID and password in the appropriate spaces. After you log on, the Welcome to DTC's Registered Users Site window appears. 3. Select the pulldown list titled Select a Service. A list of services appears. 4. Select Documentation from the list. The What's New window appears. 5. In the frame on the left side of your screen, click PTS Users: Access Electronic Library of Service Guides or click CCF to access record layouts for DTC products, services, and systems.

Using the Imaging Fax and E-mail System

How do I use the Imaging Fax and E-mail System?

1. The Imaging Fax and E-mail System screen appears when you select an item and press PF1/13 on the Detail Inquiry screen through BDSI or PF2/14 on the Deposit Detail Inquiry screen through DAMP.

Note: Procedures for accessing BDSI and DAMP appear later in this document.



2. If you would like the image faxed, type **F** to the right of the arrow and press ENTER to display the Fax Transmission Request screen. If you would like the image to be transmitted by e-mail, type **E** and press ENTER to display the E-mail Transmission Request screen. If you would like to return to the previous screen, press PF7/19.

Fax Transmission Request

1. If you typed **F** on the Imaging Fax and E-mail System screen, the following screen appears.

```

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

```

2. Type data in the following fields.

This field	Allows you to
Sent From: Name	Type your name
Sent From: Address	Type your address.
Part ID	View your participant ID.
Send to: Fax Numbers	Type up to six fax numbers that will receive the image.
Attention	Type the name of the person who should receive the image.
Subject	Type identifying information regarding the transmission.
Comments	Type comments about the transmission.

3. Press ENTER to transmit your request.

E-mail Transmission Request

1. If you typed **E** on the Imaging Fax and E-mail System screen, the following screen appears.

```

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

```

2. Type data in the following fields, if applicable.

This field	Allows you to
Sent From: Name	Type your name.
Sent From: Address	Type your address.
Part ID	View your participant ID.
Send to: E-mail Addresses	Type up to six e-mail addresses that will receive the image.
Subject	Type identifying information about the transmission.
Comments	Type comments about the transmission.

3. Press ENTER to transmit your request.

Accessing the Imaging Fax and E-mail System via BDSI

How do I access the Branch Deposits Inquiry Menu?

1. Type **BDSI** on the Enter Function screen and press ENTER.
2. The Branch Deposits Inquiry Menu appears.

```

MENU   HELP
***   YOU HAVE 00000 DEPOSITS WITH OPEN ERRORS   ***
QAA3           BRANCH DEPOSITS           MM/DD/YY
00002199-01   INQUIRY MENU           HH:MM:SS

          ID           =>
          BRANCH SENT DATE =>
          BRANCH ID     =>
          CUSIP         =>
          QUANTITY      =>
          DEPOSIT TYPE  =>
          STATUS        =>
          OPEN ERRORS(X) =>
          ROUTE INDICATOR =>
          BATCH NUMBER  =>
          ARF NUMBER    =>

STATUS TYPES :      1   NOT YET STARTED
                   2   RECEIVED      7   DROPPED      11   NOT RECEIVED
                   4   COMPLETED    8   DELETED     12   RESEARCH BY REORG
                   5   PENDED       9   PELED     13   CANCELED
                   6   RETURNED    10   VOIDED    14   REROUTED

                                           PF9/21: SIGNOFF
PF8/20: END FUNCTION                       PF12/24: IMAGE
    
```

How do I obtain deposit information from the Inquiry Menu?

1. Type data in the appropriate fields, as follows.

This field	Allows you to
ID	Type the control ID, which consists of the following elements: <ul style="list-style-type: none"> • Deposit date in the format YYYYMMDD • Branch ID: the two-to-four-alphanumeric character branch ID • Sequence Number: the four-digit sequence number.
Branch Sent Date	Type the date, in the format YYYYMMDD, on which all deposits were sent from your branch to DTC.

This field	Allows you to
Branch ID	Type one of the following: <ul style="list-style-type: none"> • The two-to-four-alphanumeric character branch ID • COND: Multiple deposits; each has its own certificates with only one legal document attached to cover all the deposits • CONS: Multiple deposits; there is only one certificate that covers all the deposits. <i>Note</i> - You must type the branch ID and either the ID or the Branch Sent Date.
CUSIP	Type a valid CUSIP number.
Quantity	Type a maximum of 10 whole numbers followed by a decimal and five decimal places.
Deposit Type	Type one of the following: <ul style="list-style-type: none"> • 01: Regular Deposits • 02: Legal Deposits • 06: Reorg Deposits • 05: Bearer Deposits • 09: Trailing document • 10: Custody Deposits • 56: Reorg Bearer Deposits
Status	Type one of the following: <ul style="list-style-type: none"> • 1: Not Yet Started • 2: Received • 4: Completed • 5: Pended • 6: Returned • 7: Dropped • 8: Deleted • 9: PELDed • 10: Voided • 11: Not Received • 12: Research by Reorg • 13: Canceled • 14: Rerouted
Open Errors (X)	Type X to view errors that were created.
Route Indicator	Type one of the following: <ul style="list-style-type: none"> • 04: Custody deposit that is sent to the DTC vault at 55 Water Street

This field	Allows you to
	<ul style="list-style-type: none"> • 05: Custody deposit that is sent to the transfer agent.
Batch Number	Type the assigned batch number.
ARF Number	Type the Automatic Routing Facility number.

2. Press ENTER.

3. The Detail Inquiry screen appears.

```

MENU    HELP

QAA3                BRANCH DEPOSITS                MM/DD/YY
00002199-40        DETAIL INQUIRY                HH:MM:SS
PART ID: 00002199                PAGE 1 OF 1
ID: 12345678 JOHN 0001    CUSIP: 987654321    QUANTITY: 1,332.00000
DAMID: 001789999 ACCT/SUB ACCT: /    VALUE: 1,409.18800
DEPOSIT STATUS: PENDED                PHYS EXAM STATUS: NOT PERFORMED
BALANCE STATUS: NOT PERFORMED    LEGAL STATUS: NOT REQUIRED
DAM STATUS: CREDITED                MISC: GOOD    CERT CNT: 0    DOC CNT: 0

DEPOSIT TYPE: 01                ORIG ID: 00000000 NY 0107    PCS TYPE:
AIRBILL:                REORG IND: N    ARF ID:
SEC ID: 6DF042                SEC DESC: ONI SYSTEMS CORP
PRIORITY IND: Y    NAME CHG:    ROUTING IND: 04    OLD CUSIP:
SIC: NOT REQUESTED                MICRO/IMAGE ID: M01818999999    ACTION IND:
                                BATCH ID

CUSTOMER ACCOUNT: 05424511
*****
LAST CHANGE:                DATE: YYYY-MM-DD    TIME: HH.MM.SS
KEY:                DATE:                TIME:
EXAM:                DATE:                TIME:
PF1 FX E-ML PF3: ERRORS    PF5 LETTRS PF7: MAIN MENU    PF9: LOGOFF    PF11: PG FWD
PF2: CERTS    PF4: DOCS    PF6: PREV    PF8: END FUNC    PF10: PG BWD    PF12: IMAGE

```

4. Press PF1/13. The Imaging Fax and E-mail System screen appears.

5. To request a fax or e-mail transmission via the Imaging Fax and E-mail System, follow the steps in the "[Using the Imaging Fax and E-mail System](#)" section of this document.

Accessing the Imaging Fax and E-mail System via DAMP

How do I access the Deposit Automation Management Main Menu?

1. Type **DAMP** on the Enter Function screen and press ENTER.
2. The Main Menu appears.

```
EAAB                                DEPOSIT AUTOMATION MANAGEMENT          MM/DD/YY
00002199-99                          M A I N M E N U                          HH:MM:SS

                                     PLEASE SELECT "NUMBER" THEN PRESS "ENTER"

                                     1. ADD DEPOSIT
                                     2. ADD REORG DEPOSIT
                                     3. MODIFY DEPOSIT
                                     4. MODIFY REORG DEPOSIT
                                     5. DELETE DEPOSIT
                                     6. INQUIRY MENU
                                     7. PRINT MENU
                                     8. FACILITY DEPOSITS
                                     9. SAFE-KEEPING

                                     OPTION ==>                <=== REQUIRED
DEPOSIT IDEN ==>                <=== REQUIRED FOR 3 THRU 5
BRANCH ID ==>

PF8/20: END FUNCTION                PF9/21: SIGNOFF
```

How do I obtain deposit information from the Inquiry Menu?

1. Type **6** in the **Option** field and press ENTER.
2. The Inquiry Menu appears.

EAAB	DEPOSIT AUTOMATION MANAGEMENT	MM/DD/YY
00002199-99	I N Q U I R Y M E N U	HH:MM:SS
PARTICIPANT: 2199 NAME: DTC TEST		
PLEASE ENTER OPTIONAL PARAMETERS AND THEN PRESS "ENTER"		
1. DEPOSITS (CURRENT)		
2. DEPOSITS (HISTORY)		
OPTION ==>	<=== REQUIRED	
DEPOSIT DATE ==>	<=== REQUIRED FOR OPTION #2	
CUSIP ==>	<=== OPTIONAL	
DEPOSIT IDEN ==>	<=== OPTIONAL	
REORG DEPOSITS ==>	<=== OPTIONAL (Y OR BLANK)	
PF7/19: MAIN MENU	PF8/20: END FUNCTION	PF9/21: SIGNOFF

3. Type data in the following fields, as appropriate.

This field	Allows you to
Option	Type 1 to view today's deposits or 2 to view deposits for a specific date.
Deposit Date	Type the date in mmdyy format for the deposits you want to view. Required for Option 2 only.
CUSIP	Type a CUSIP number to view deposits for a specific security. <i>Optional.</i>
Deposit Iden	Type a deposit identification number to view a specific deposit. <i>Optional.</i>
Reorg Deposits	Type Y to view reorg deposits only; otherwise, leave blank.
Branch ID	Type the identification number of the branch. Required if your firm operates more than one bar code printer or makes deposits from more than one location.

4. Press ENTER. The Deposit Detail Inquiry screen appears.

EAAB		DEPOSIT AUTOMATION MANAGEMENT				MM/DD/YY
00002199-99		D E P O S I T D E T A I L I N Q U I R Y				HH:MM:SS
					PAGE:	1
DEPOSIT ID	CUSIP NO	QUANTITY	DEPOSIT DATE	DEPOSIT TYPE	STATUS	
_ 777777777	R12345678	100.00000	03/13/00	CORP MAT	PENDING	
_ 999999999	123456789	1,000.00000	03/13/00	REGULAR DEP	PENDING	
REFERENCE ID: 123456789012345			DEPOSIT VALUE: \$22,123.45			
PF2/14: FAX / E-MAIL IMAGE						
PF3/15: MORE INFO		PF4/16: ADJUST		PF5/17: DELETE		
PF6/18: PREV MENU		PF7/19: MAIN MENU		PF8/20: END FUNC		
PF9/21: SIGNOFF		PF10/22: BACKWARD		PF11/23: FORWARD		PF12/24: PRINT

5. Type **S** in the field to the left of the item you want to fax or e-mail and press PF2/14.
6. The Imaging Fax and E-mail System screen appears.
7. To request a fax or e-mail transmission via the Imaging Fax and E-mail System, follow the steps in the "[Using the Imaging Fax and E-mail System](#)" section of this document.