

# The Depository Trust Company

# **IMPORTANT**

**B#:** 3857

**DATE:** September 27, 2002

**TO:** All Participants and DRS Transfer Agents

**CATEGORY:** Operations

**FROM:** J. Trezza

**ATTENTION:** Managing Partner, Officer, Cashier, Ops. Mgr., Trf. Mgr.

**SUBJECT:** Enhancements to the Direct Registration System (DRS) and the Profile Modification System (Profile)

The depository will implement the following system enhancements to the DRS and Profile processing functions on October 10, 2002:

## PTS Enhancements

- Participants entering instructions to Profile through the DRSP function or transfer agents entering instructions through the DRST function, will be required to enter a contact name and phone number. On entering the required data for the first Profile transaction, the contact name and phone number will be required to be entered into the appropriate data-fields. After entering the first Profile transaction, the contact name and phone number will “carry-over” to the input of subsequent instructions, until you either exit the DRSP/DRST input function or the function is “timed-out”.
- Using the DRSP function, participants will have the enhanced capability to inquire on the status of a previously input Profile transaction, using the investor’s participant assigned account number as the primary inquiry criteria.
- Using the DRSP function, DRS transfer agents will have the enhanced capability to inquire on the status of a previously input Profile transaction, using the investor’s DRS account number as the primary inquiry criteria.

- Beginning October 10, all zeros (“000000000”) TIN/SS numbers **will no longer be accepted for DRSP input**. If your customer does not have a TIN/SS number on file with the transfer agent, you must input all ones (“111111111”) to Profile. For foreign holders with no TIN/SS number on file with the transfer agent, you must input all nines (“999999999”). .

**To avoid Profile rejects, participants are reminded to enter to Profile the TIN/SS number the transfer agent has on file for the investor.**

## **Reminder**

In September, the depository implemented the following DRS and Profile system enhancements:

### Input of Profile Transactions:

Participants now have the option of using an ICM (Interface Control Manager) electronic communication protocol for the input of Profile transactions. The DRX1 (MDH) and DRX5 (CCF/CCFII) functions give participants an alternative to entering Profile instructions via the PTS function DRSP. Only participants that are approved users of the DTC Profile Surety Program can utilize these new functions for input of Profile transactions. (For more information on the Profile Surety Program, please refer to Important Notice B# 1058 dated February 21, 2001, or contact your Relationship Manager.)

### Return Transmissions to Participants:

Participants now have the option of picking-up responses to Profile transactions that were input via the DRSP PTS function and/or DRX1/DRX5 ICM functions through a new electronic alternative to the PTS DRSP function. DRSRTN provides participants with an MDH interface, while CCF/CCFII users will utilize the DRSRT1/DRSRT2/DRSRT3 functions.

The file layouts for all of the above functions can be found on the depository’s web page at <http://www.dtc.org/>, in the Member’s section. After you login to the Member’s section, access the Documentation area and locate the file specifications under the Securities Processing category. For more information on these new file transmission protocols, please see Important Notice B# 3805, dated September 6, 200, or contact your relationship manager.

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