

# THE DEPOSITORY TRUST COMPANY

# IMPORTANT

## REMINDER

**B#:** 9857

**DATE:** April 20, 2000

**TO:** All Participants

**FROM:** Ronald Burns, Vice President, Operations

**ATTENTION:** Managing Partner/Officer, Cashier, Transfer Manager

**SUBJECT:** DRS Profile Modification System

The Securities and Exchange Commission has approved DTC's filing for the implementation of the Profile System (reference Important Notice B# 9494, dated March 1, 2000).

Effective May 1, 2000, the Profile System will be available to accept transactions only for John Hancock Financial Services, Inc. (CUSIP number 41014S 10 6). The transfer agent for this issue is Equiserve/Boston (LPA 7802).

Participants are reminded that this issue is the only DRS eligible issue for which Participants can submit a request to electronically append the financial institution, or move the share position to the investor's financial institution. DTC will notify Participants of further expansion of DRS eligible issues in the Profile System via Important Notices.

To avoid rejects and duplicate processing, only customer transaction requests received on or after May 1, 2000 should be entered into the electronic system. All customer requests that have previously been forwarded to the transfer agent should not be reentered into the Profile System.

Also attached to this notice are the revised Participant Terminal System (PTS) procedures for the DRS Profile Modification System by Participant (DRSP) function and the DRS Profile Modification System by Transfer Agent (DRST) function.

The revised procedures reflect changes to the input screen for the customer registration information. Participants should input only the name(s) of the registered holder as it appears on the transaction advice; no address information is required.

Additionally, DTC adopted a screen-based indemnification in lieu of an electronic medallion indemnification. Therefore, Participants are not required to enter their medallion FINS number during the pilot.

Participants may wish to inform their registered representatives, account administrators, and other affected personnel of this approach to handling DRS transaction advices.

Please direct your questions to Al DeMaio, Director of Operations at (516) 227-4010 or Ronald Burns, Vice President at (212) 855-2412, or your Participant Services representative.

Attachments



## **4.18 DIRECT REGISTRATION SYSTEM PROFILE MODIFICATION BY PARTICIPANT (DRSP)**

### **4.18.1 Overview**

The Direct Registration System Profile Modification By Participant (DRSP) function allows the Broker Dealer to electronically request updates to customer accounts already established at the Transfer Agent.

A request can involve either:

- setting up a Bank/Broker Dealer on a DRS customer account
- transferring an investor's designated shares to its DTC Bank/Broker Dealer account.

Through DRSP, the Transfer Agent can approve the Participant's request or reject it because there is no match or the information is incorrect. Upon approval, the Transfer Agent either updates the requested Bank/Broker Dealer information with the customer's account or moves the investor's position through the Limited Participant Account facility utilizing the appropriate DRS deliver order system with the Reason Code 390.



#### 4.18.2 How To Access

<u>Step</u>	<u>Action</u>
<b>Step 1</b>	Enter 'DRSP' on the Enter Function Prompt Screen (Figure 1).

X\$VC 00002199 - 99	DEPOSITORY TRUST PARTICIPANT TERMINAL SYSTEM	MM/DD/YY HH:MM:SS
ENTER FUNCTION: DRSP		

*Figure 1. DRSP Enter Function Prompt Screen*

- Step 2** Press the 'ENTER' key. Dependent on the sign-on, one of the following menu screens appear:
- Direct Registration System Profile Modification By Participant-Participant Menu Screen (Figure 2).
  - Direct Registration System Profile Modification By Participant Agent Menu Screen (Figure 3).



4.18.2 How To Access (continued)

```
00002199-99          DIRECT REGISTRATION SYSTEM          DATE: MM/DD/CCYY
X$VC                 PROFILE MODIFICATION BY PARTICIPANT    TIME: HH:MM:SS
                     PARTICIPANT MENU

                     1) ENTER REQUEST
                     2) UPDATE
                     3) DELETE
                     4) INQUIRY

                     OPTION:

                     SELECTION CRITERIA FOR OPTIONS 2,3,4:

                     TRANSACTION ID:
                     STATUS (O/A/R/D):
                     TRAN DATE FROM:  /  /             (MM/DD/CCYY)
                                         TO:  /  /             (MM/DD/CCYY)
                     LPA NUMBER:
                     DROP STATUS (X):

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

Figure 2. Profile Modification By Participant- Participant Menu Screen (Participant sign-on)

```
00002199-99          DIRECT REGISTRATION SYSTEM          DATE: MM/DD/CCYY
X$VC                 PROFILE MODIFICATION BY PARTICIPANT    TIME: HH:MM:SS
                     AGENT MENU

                     1) APPROVE/REJECT REQUEST
                     2) INQUIRY

                     OPTION:

                     SELECTION CRITERIA:

                     TRANSACTION ID:
                     STATUS (O/A/R):
                     STATUS DT FROM:  /  /             (MM/DD/CCYY)
                                         TO:  /  /             (MM/DD/CCYY)
                     PARTICIPANT NO:
                     DROP STATUS (X):

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

Figure 3. Profile Modification By Participant Agent Menu Screen (Agent sign-on)



**4.18.2 How To Access** *(continued)*

**Step 3** Select any Option on the Profile Modification By Participant-Participant Menu Screen (Figure 2) or the Profile Modification By Participant Agent Menu Screen (Figure 3):

**Step 4** Enter the required information in the Selection Criteria fields; optional.

**Step 5** Press any of the following:

- 'ENTER' key to continue processing.
- 'PF8/20' key to change the function.
- 'PF9/21' key to end the processing session.



### 4.18.3 How To Add A Request (Participants only)

- | <u>Step</u>   | <u>Action</u>   |
|---------------|---|
| <b>Step 1</b> | Enter 1 in the Option field on the Profile Modification By Participant-Participant Menu Screen (Section 4.18.2, Figure 2):            |
| <b>Step 2</b> | Press the 'ENTER' key. The Direct Registration System (DRS) Profile Modification By Participant Disclaimer Screen appears (Figure 1). |

0000219999 X\$VC	DIRECT REGISTRATION SYSTEM (DRS) PROFILE MODIFICATION BY PARTICIPANT DISCLAIMER	MM/DD/CCYY HH:MM:SS
<p>(1) PARTICIPANT REPRESENTS THAT IT HAS AUTHORITY AND CONSENT FOR THE REQUEST APPEARING ON THE FOLLOWING SCREEN FROM EITHER (A) THE REGISTERED OWNER ON THE PARTICIPANT'S RECORDS OR (B) A THIRD PARTY WHO HAS ACTUAL AUTHORITY TO ACT ON BEHALF OF THE REGISTERED OWNER ON PARTICIPANT'S RECORDS, AND THAT ALL INFORMATION SHOWN IS ACCURATE AND COMPLETE, EXCEPT THAT, WITH RESPECT TO THE TAXPAYER IDENTIFICATION NUMBER INCLUDED IN SUCH INFORMATION, TO THE BEST KNOWLEDGE OF PARTICIPANT, SUCH INFORMATION IS ACCURATE AND COMPLETE;</p> <p>(2) PARTICIPANT INDEMNIFIES THE ISSUER, ITS TRANSFER AGENT AND THEIR RESPECTIVE OFFICERS, DIRECTORS, SHAREHOLDERS, EMPLOYEES, AGENTS, REPRESENTATIVES, SUBSIDIARIES, PARENTS, AFFILIATES, SUCCESSORS AND ASSIGNS AGAINST ANY BREACH OF SUCH REPRESENTATIONS IN CONNECTION WITH THE TRANSACTION THAT IS THE SUBJECT OF SUCH REQUEST.</p> <p style="text-align: center;">** PRESS ENTER TO CONTINUE **</p> <p style="text-align: center;">PF8/20: END FUNC      PF9/21: SIGNOFF</p>		

*Figure 1. The Direct Registration System (DRS) Profile Modification By Participant Disclaimer Screen*

- |               |   |
|---------------|---|
| <b>Step 3</b> | Press the 'ENTER' key to access the Direct Registration System Profile Modification By Participant Add Request Screen (Figure 2). |
|---------------|---|



4.18.3 How To Add A Request (continued)

0000219999 X\$VC	DIRECT REGISTRATION SYSTEM PROFILE MODIFICATION BY PARTICIPANT ADD REQUEST	MM/DD/CCYY HH:MM:SS
CUSIP: _____	DRS ACCT NO: _____	TAX ID: _____
CUST REGISTRATION NAME(S)		
1 _____	2 _____	
3 _____	4 _____	
5 _____	6 _____	
MEDALLION GUARANTEE FINS NO: _____		
CUST ACCOUNT NO: _____		
PARTICIPANT NO: 2199		
BROKER/DEALER NAME: ABC SEC		
TRANSFER QUANTITY: _____ (WHOLE SHARES ONLY)		
PF1/13: ADD	PF7/19: MENU	PF8/20: END FUNC PF9/21: SIGNOFF

Figure 2. Direct Registration System Profile Modification By Participant Add Request Screen

**Step 4** Enter the following information on the Direct Registration System Profile Modification By Participant Add Request Screen:

- CUSIP: enter a DRS eligible CUSIP number.
- DRS Acct No: enter the Transfer Agent account number from the customer DRS statement.
- Tax ID: enter the tax identification number in 999999999 or 99-9999999 format *or* enter NRA (non-resident alien).
- Cust Registration Name (s): enter the customer name (s) exactly as it appears on the customer DRS statement. A maximum of 35 characters per line can be entered.



4.18.3 How To Add A Request *(continued)*

- Medallion Guarantee FINS No: enter the Medallion Guarantee FINS number in A9999999 format. The first character must be alpha. The following seven must be numeric.

**Note:** Medallion FINS numbers will not be required while discussions continue among members of the STA, SIA, and Program Administrators to reach agreement on the indemnification language in the Medallion agreement.

DTC will notify Participants through an Important Notice when the Medallion field will be a required field. Then only Medallion numbers assigned by Program Administrators will be acceptable.

- Cust Acct No: enter the customer account number at your firm.
- Participant Number: system generated.
- Broker/ Dealer Name: system generated. The Broker/Dealer name can be overtyped to reflect a correspondent name if the Participant is acting on behalf of a correspondent.
- Transfer Quantity: enter the transfer quantity; optional.

**Note:** All fields, except the Transfer Quantity field, must be filled. If the field is left blank or if zero is entered, the Participant is requesting 'Append' Bank/Broker Dealer information only.

**Step 5** Press the 'ENTER' key to validate the data.

**Step 6** Press the 'PF1/13' key to update.

**Step 7** Press any of the following:

- 'PF7/19' key to return to the Direct Registration System Profile Modification By Participant-Participant Menu Screen.
- 'PF8/20' key to change the function.
- 'PF9/21' key to end the processing session.

**4.18.4 How To Update (Participants only)**

<u>Step</u>	<u>Action</u>
<b>Step 1</b>	<p>Enter the following on the Direct Registration System Profile Modification By Participant-Participant Menu Screen (Section 4.18.2, Figure 2):</p> <ul style="list-style-type: none"><li>• Option: enter 2 (Update).</li><li>• Selection Criteria For Options 2, 3, 4: enter information in any of the following fields; optional:<ul style="list-style-type: none"><li>- Transaction ID: enter the unique identification number. No other search fields can be entered if the transaction ID is entered.</li><li>-Status (O/A/R/D): only items with a status of O (open) will be displayed.</li></ul></li></ul> <p><b>Note:</b> Transactions with statuses of A: approved, R: rejected, D: deleted, X: dropped, cannot be updated.</p> <ul style="list-style-type: none"><li>- Tran Date From - To: enter a transaction date in the 'From' field or a range of transaction dates in the 'From' and 'To' fields to limit the search in MM/DD/CCYY format. A maximum range of 30 business days can be entered.</li><li>- LPA Number: enter the Limited Participant Account number.</li><li>- Drop Status (X): enter X to indicate that the item has been dropped for more than 30 business days.</li></ul> <p><b>Note:</b></p> <ol style="list-style-type: none"><li>1. If no selection criteria is entered, all open items for the last 30 business days are displayed. Only items with an O (open) status can be updated.</li><li>2. If the Transaction ID is entered, the Direct Registration System Update Detail Screen (Figure 2) for that transaction appears after the 'ENTER' key is pressed.</li></ol>
<b>Step 2</b>	<p>Press the 'ENTER' key to access the Direct Registration System Profile Modification By Participant Transaction Summary List Screen (Figure 1).</p>



4.18.4 How To Update (continued)

0000219999 X&VC		DIRECT REGISTRATION SYSTEM PROFILE MODIFICATION BY PARTICIPANT TRANSACTION SUMMARY LIST				DATE: MM/DD/CCYY TIME: HH:MM:SS	
SEL	TRANS ID	TRANS DATE	CUSIP	QUANTITY	LPA NO	STATUS	STAT DATE
	P200003900009	02/08/2000	459200101	9999	00009999	0	02/08/2000
	P200003900010	02/08/2000	459200101	3333333	00009999	0	02/08/2000
	P200003900011	02/08/2000	459200101	999999	00009999	0	02/08/2000
	P200003900012	02/08/2000	459200101	888888	00009999	0	02/08/2000
ENTER "S" IN THE SELECT FIELD TO UPDATE A TRANSACTION							
PF7/19: MENU PF8/20: END FUNC PF9/21: SIGNOFF PF10/22: PG BWD PF11/23: PG FWD							

Figure 1. Direct Registration System Profile Modification By Participant Transaction Summary List Screen

**Note:** The data on the screen is displayed in transaction date order with the oldest transaction displayed first.

**Step 3**

Enter S in the Sel field next to the transaction you wish to update and press the 'ENTER' key. The Direct Registration System Profile Modification By Participant Update Detail Screen (Figure 2) appears displaying detail information for the selected transaction.



4.18.4 How To Update (continued)

```
0000219999          DIRECT REGISTRATION SYSTEM          DATE: MM/DD/CCYY
X$VC                PROFILE MODIFICATION BY PARTICIPANT  TIME: HH:MM:SS
                    UPDATE DETAIL

LPA NO : 00009999   LPA NAME: TEST
TRANS ID: P200003900009   STATUS: 0   STATUS DT: 02 / 08 / 2000
CUSIP: 459200101   DRS ACCT NO: 000009999999999888   TAX ID: 555555557

CUST REGISTRATION NAME(S)
1 1                               2 2
3                               4
5                               6

MEDALLION GUARANTEE FINS NO: C1234567
TRANSFER QUANTITY: 9999 (WHOLE SHARES ONLY)
PARTICIPANT NO: 00002199   CUST ACCT NO: 000009999999
BROKER/DEALER NAME: TEST

PF1/13: UPDATE          PF6/18: PREV SCREEN          PF9/21: SIGNOFF
PF7/19: MENU           PF8/20: END FUNCTION
```

Figure 2. Direct Registration System Profile Modification By Participant Update Detail Screen

**Step 4** The following fields can be updated:

- DRS Acct No
- Tax ID
- Cust Registration Name (s)
- Medallion Guarantee FINS No
- Transfer Quantity
- Cust Acct No.
- Broker/Dealer Name

**Step 5** Press the 'PF1/13' key to update.

or

Press any of the following:



**4.18.4 How To Update** *(continued)*

- 'PF6/18' key to return to the previous screen.
- 'PF 7/19' key to go to the Direct Registration System Profile Modification By Participant-Participant Menu Screen.
- 'PF8/20' key to change the function.
- 'PF 9/21' key to end the processing session.



#### 4.18.5 How To Delete (Participants only)

<u>Step</u>	<u>Action</u>
<b>Step 1</b>	<p>Enter the following on the Direct Registration System Profile Modification By Participant-Participant Menu Screen (Section 4.18.2, Figure 2):</p> <ul style="list-style-type: none"><li>• Option: enter 3 (Delete).</li><li>• Selection Criteria For Options 2, 3, 4: enter information in any of the following fields; optional:<ul style="list-style-type: none"><li>- Transaction ID: enter the unique identification number. No other search fields can be entered if the transaction ID is entered.</li><li>-Status (O/A/R/D): only items with a status of O (open) will be displayed.</li></ul></li></ul> <p><b>Note:</b> Transactions with statuses of A: approved, R: rejected, D: deleted, X: dropped, cannot be deleted.</p> <ul style="list-style-type: none"><li>- Tran Date From - To: enter a transaction date in the 'From' field or a range of transaction dates in the 'From' and 'To' fields to limit the search, in MM/DD/CCYY format. A maximum range of 30 business days can be entered.</li><li>- LPA Number: enter the Limited Participant Account number.</li><li>- Drop Status (X): enter X to indicate that the item has been dropped for more than 30 business days.</li></ul> <p><b>Note:</b></p> <ol style="list-style-type: none"><li>1. If no selection criteria is entered, all open items for the last 30 business days are displayed. Only items with an O (open) status can be deleted.</li><li>2. If the Transaction ID is entered, the Direct Registration System Delete Detail Screen (Figure 2) for that transaction appears after the 'ENTER' key is pressed.</li></ol>



4.18.5 How To Delete (continued)

**Step 2** Press the 'ENTER' key to access the Direct Registration System Profile Modification By Participant Transaction Summary List Screen (Figure 1).

0000219999 X\$VC	DIRECT REGISTRATION SYSTEM PROFILE MODIFICATION BY PARTICIPANT TRANSACTION SUMMARY LIST					DATE: MM/DD/CCYY TIME: HH:MM:SS	
SEL	TRANS ID	TRANS DATE	CUSIP	QUANTITY	LPA NO	STATUS	STAT DATE
	P200003900009	02/08/2000	459200101	9999	00009999	O	02/08/2000
	P200003900010	02/08/2000	459200101	3333333	00009999	A	02/08/2000
	P200003900011	02/08/2000	459200101	999999	00009999	X	02/08/2000
	P200003900012	02/08/2000	459200101	888888	00009999	R	02/08/2000
ENTER "S" IN THE SELECT FIELD TO UPDATE A TRANSACTION							
PF7/19: MENU PF8/20: END FUNC PF9/21: SIGNOFF PF10/22: PG BWD PF11/23: PG FWD							

Figure 1. Direct Registration System Profile Modification By Participant Transaction Summary List Screen

**Note:** The data on the screen is displayed in transaction date order with the oldest transaction displayed first.

**Step 3** Enter S in the Sel field next to the transaction you wish to delete and press the 'ENTER' key. The Direct Registration System Profile Modification By Participant Delete Detail Screen (Figure 2) appears displaying detail information for the selected transaction.



4.18.5 How To Delete (continued)

```
0000219999          DIRECT REGISTRATION SYSTEM          DATE: MM/DD/CCYY
X$VC                PROFILE MODIFICATION BY PARTICIPANT    TIME: HH:MM:SS

LPA NO : 00009999   LPA NAME: TEST
TRANS ID: P200003900009   STATUS: 0   STATUS DT: 02 / 08 / 2000
CUSIP: 459200101   DRS ACCT NO: 0000099999999999888   TAX ID: 555555557

CUST REGISTRATION NAME (S)
1 PP                2 PP
3 PP                4 PP
5 PP                6 PP

MEDALLION GUARANTEE FINS NO: C1234567
TRANSFER QUANTITY: 9999 (WHOLE SHARES ONLY)
PARTICIPANT NO: 00002199   CUST ACCT NO: 000009999999
BROKER/DEALER NAME: TEST

PF1/13: DELETE      PF6/18: PREV SCREEN
PF7/19: MENU        PF8/20: END FUNCTION      PF9/21: SIGNOFF
```

Figure 2. Direct Registration System Profile Modification By Participant Delete Detail Screen

**Note:** You cannot make changes to any field on this screen.

**Step 4** Press the 'PF1/13' key to delete the transaction.

or

Press any of the following:

- 'PF6/18' key to return to the previous screen.
- 'PF7/19' key to go to the Direct Registration System Profile Modification By Participant-Participant Menu Screen.
- 'PF8/20' key to change the function.
- 'PF 9/21' key to end the processing session.



4.18.6 How To Inquire (Participants only)

<u>Step</u>	<u>Action</u>
<b>Step 1</b>	<p>Enter the following on the Direct Registration System Profile Modification By Participant-Participant Menu Screen (Section 4.18.2, Figure 2):</p> <ul style="list-style-type: none"><li>• Option: enter 4 (Inquiry).</li><li>• Selection Criteria For Options 2, 3, 4: enter any of the following information; optional:<ul style="list-style-type: none"><li>- Transaction ID: enter the unique identification number. No other search fields can be entered if the transaction ID is entered.</li><li>- Status (O/A/R/D): enter one of the following: O: open, A: approved, R: rejected, D: deleted, X: dropped.</li><li>- Tran Date From - To: enter a transaction date in the 'From' field or a range of transaction dates in the 'From' and 'To' fields to limit the search in MM/DD/CCYY format. A maximum range of 30 business days can be entered.</li><li>- LPA Number: enter the Limited Participant Account number.</li><li>- Drop Status (X): enter X to indicate that the item has been dropped for 30 business days.</li></ul></li></ul> <p><b>Note:</b></p> <ol style="list-style-type: none"><li>1. If no selection criteria is entered, all items for the last 30 business days are displayed.</li><li>2. If the Transaction ID is entered, the Direct Registration System Inquiry Detail Screen (Figure 2) for that transaction appears after the 'ENTER' key is pressed.</li></ol>
<b>Step 2</b>	<p>Press the 'ENTER' key to access the Direct Registration System Profile Modification By Participant Transaction Summary List Screen (Figure 1).</p>



4.18.6 How To Inquire (continued)

0000219999		DIRECT REGISTRATION SYSTEM				DATE: MM/DD/CCYY	
X\$VC		PROFILE MODIFICATION BY PARTICIPANT				TIME: HH:MM:SS	
TRANSACTION SUMMARY LIST							
SEL	TRANS ID	TRANS DATE	CUSIP	QUANTITY	LPA NO	STATUS	STAT DATE
	P200003900009	02/08/2000	459200101	9999	00009999	D	02/08/2000
	P200003900010	02/08/2000	459200101	3333333	00009999	A	02/08/2000
	P200003900011	02/08/2000	459200101	999999	00009999	X	02/08/2000
	P200003900012	02/08/2000	459200101	888888	00009999	R	02/08/2000
ENTER "S" IN THE SELECT FIELD TO UPDATE A TRANSACTION							
PF7/19: MENU PF8/20: END FUNC PF9/21: SIGNOFF PF10/22: PG BWD PF11/23: PG FWD							

Figure 1. Direct Registration System Profile Modification By Participant Transaction Summary List Screen

**Step 3** Enter S in the Sel field next to the transaction(s) you wish to inquire about.

**Note:** You can select more than one transaction.

**Step 4** Press the 'ENTER' key. The Direct Registration System Profile Modification By Participant Inquiry Detail Screen (Figure 2) appears displaying detail information for the first selected transaction.



4.18.6 How To Inquire (continued)

```
0000219999          DIRECT REGISTRATION SYSTEM          DATE: MM/DD/CCYY
X$VC                PROFILE MODIFICATION BY PARTICIPANT    TIME: HH:MM:SS
                    INQUIRY DETAIL                       PAGE: 1

LPA NO : 00009999          LPA NAME: TEST
TRANS ID: P200003900009    STATUS: 0          STATUS DT: 02 / 08 / 2000
CUSIP: 459200101    DRS ACCT NO: 0000099999999999888    TAX ID: 555555557

CUST REGISTRATION NAME (S)
1 PP                                2 PP
3 PP                                4 PP
5 PP                                6 PP

MEDALLION GUARANTEE FINS NO: C1234567
TRANSFER QUANTITY: 9999 (WHOLE SHARES ONLY)
PARTICIPANT NO: 00002199    CUST ACCT NO: 000009999999
BROKER/DEALER NAME: TEST

PF6/18: PREV SCREEN          PF10/22: PAGE BKW          PF11/23: PAGE FRW
PF7/19: MENU                 PF8/20:  END FUNCTION    PF9/21:  SIGNOFF
```

Figure 2. Direct Registration System Profile Modification By Participant Inquiry Detail Screen

**Note:** You cannot make changes to any field on this screen

**Step 5** Press the 'PF11/23' key to scroll to the next transaction if more than one was selected on the Direct Registration System Profile Modification By Participant Transaction Summary List Screen and the 'PF10/22' key to scroll backward.

or

Press any of the following:

- 'PF6/18' key to return to the previous screen.
- 'PF7/19' key to go to the Direct Registration System Profile Modification By Participant-Participant Menu Screen.
- 'PF8/20' key to change the function.
- 'PF9/21' key to end the processing session.



#### 4.18.7 How To Approve/Reject a Request (Transfer Agents only)

<u>Step</u>	<u>Action</u>
<b>Step 1</b>	<p>Enter the following on the Profile Modification By Participant Agent Menu Screen (Section 4.18.2, Figure 3):</p> <ul style="list-style-type: none"><li>• Option: enter 1 (Approve/Reject Request).</li><li>• Selection Criteria: enter information in any of the following fields:<ul style="list-style-type: none"><li>- Transaction ID: enter the unique transaction identification number. No other search fields can be entered if the transaction ID is entered.</li><li>- Status (O/A/R): enter O (open) for requests that have not been responded to by the agent and were created within the past 30 business days.</li></ul></li></ul> <p><b>Note:</b> Transactions with statuses of A: approved, R: rejected, D: deleted, X: dropped, cannot be updated.</p> <ul style="list-style-type: none"><li>- Status Dt From - To: enter a status date in the 'From' field or a range of dates in the 'From' and 'To' fields to narrow the search.</li><li>- Participant No: enter the Participant number.</li><li>- Drop Status (X): enter X to indicate that the item has been dropped for more than 30 business days.</li></ul> <p><b>Note:</b></p> <ol style="list-style-type: none"><li>1. If no selection criteria is entered, only open requests for the last 30 business days are displayed.</li><li>2. If the Transaction ID is entered, the Direct Registration System Profile Modification By Participant (Status Update) Detail Screen (Figure 2) for that transaction appears after the 'ENTER' key is pressed.</li></ol>
<b>Step 2</b>	<p>Press the 'ENTER' key to access the Direct Registration System Profile Modification By Participant Transaction Summary List Screen (Figure 1).</p>



4.18.7 How To Approve/Reject a Request (continued)

0000219999	DIRECT REGISTRATION SYSTEM					DATE: MM/DD/CCYY	
X\$VC	PROFILE MODIFICATION BY PARTICIPANT					TIME: HH:MM:SS	
TRANSACTION SUMMARY LIST							
SEL	TRANS ID	TRANS DATE	CUSIP	QUANTITY	PART NO	STATUS	STAT DATE
	P200003900009	02/08/2000	459200101	9999	00009999	O	02/08/2000
	P200003900010	02/08/2000	459200101	3333333	00009999	A	02/08/2000
	P200003900011	02/08/2000	459200101	999999	00009999	X	02/08/2000
	P200003900012	02/08/2000	459200101	888888	00009999	R	02/08/2000
ENTER "S" IN THE SELECT FIELD TO UPDATE A TRANSACTION							
PF7/19: MENU PF8/20: END FUNC PF9/21: SIGNOFF PF10/22: PG BWD PF11/23: PG FWD							

Figure 1. Direct Registration System Profile Modification By Participant Transaction Summary List Screen

**Step 3** Enter S in the Sel field next to the selected transaction and press the 'ENTER' key to access the Direct Registration System Profile Modification By Participant (Status Update) Detail Screen (Figure 2) displaying details for that transaction.



4.18.7 How To Approve/Reject a Request (continued)

```
00002199-99          DIRECT REGISTRATION SYSTEM          DATE: MM/DD/CCYY
X$VC                PROFILE MODIFICATION BY PARTICIPANT    TIME: HH:MM:SS
                    (STATUS UPDATE ) DETAIL

LPA NO: 00009999          LPA NAME: TEST
TRANS ID: P200003900009   STATUS: 0          STATUS DT: 02 / 08 / 2000
CUSIP: 459200101        DRS ACCT NO: 1000000000000000100    TAX ID: 11-0000001

CUST REGISTRATION NAME (S)
1 NAME                    2
3                          4
5                          6
CUST ACCOUNT NO:IIIIIIIIII
MEDALLION GUARANTEE FINS NO: M0000001
TRANSFER QUANTITY: 5      (WHOLE SHARES ONLY)
PARTICIPANT NO: 2199
BROKER/DEALER NAME: ABC SEC
REASON CODE:
AGENT CONTACT:           PHONE: - - -

PF1/13: UPDATE   PF2/14 HELP       PF6/18: PREV
PF7/19: MENU     PF8/20: END FUNC    PF9/21: SIGNOFF
```

Figure 2. Profile Modification By Participant (Status Update) Detail Screen

Step 4 Enter one of the following in the Status field:

- A: to approve the item
- R: to reject the item

**Note:** If R (reject) is entered, information must be entered in the Reason Code, Agent Contact and Phone fields. If the Reason Code is 99, enter a reject reason.

**Press the 'PF2/14' key to view a list of reject codes.**

Step 5 Press the 'PF1/13' key to update.

Step 6 Press any of the following:

- 'PF2/14' key to view valid reason codes.
- 'PF6/18' key to return to the previous screen.
- 'PF7/19' key to return to the Direct Registration System Profile Modification By Participant Agent Menu Screen.
- 'PF8/20' key to change the function.
- 'PF9/21' key to end the processing session.



#### 4.18.8 How To Inquire (Transfer Agents only)

<u>Step</u>	<u>Action</u>
<b>Step 1</b>	<p>Enter the following on the Direct Registration System Profile Modification By Participant Agent Menu Screen (Section 4.18.2, Figure 3):</p> <ul style="list-style-type: none"><li>• Option: enter 2 (Inquiry).</li><li>• Selection Criteria: enter information in any of the following fields:<ul style="list-style-type: none"><li>- Transaction ID: enter the unique transaction identification number. No other search fields can be entered if the transaction ID is entered.</li><li>- Status (O/A/R): enter one of the following; optional:<ul style="list-style-type: none"><li>O: (open) for requests that have not been responded to by the agent and were created within the past 30 business days.</li><li>A: (approved)</li><li>R: (rejected)</li></ul></li><li>- Status Dt From - To: enter a status date in the 'From' field or a range of dates in the 'From' and 'To' fields to narrow the search.</li><li>- Participant No: enter the Participant number.</li><li>- Drop Status (X): enter X to indicate that the item has been dropped for more than 30 business days; optional.</li></ul></li></ul> <p><b>Note:</b></p> <ol style="list-style-type: none"><li>1. If no selection criteria is chosen, all items for the last 30 business days are displayed.</li><li>2. If the Transaction ID is entered, the Direct Registration System Profile Modification By Participant (Status Inquiry) Detail Screen (Figure 2) for that transaction appears when the 'ENTER' key is pressed.</li></ol>
<b>Step 2</b>	<p>Press the 'ENTER' key to access the Direct Registration System Profile Modification By Participant Transaction Summary List Screen (Figure 1).</p>



4.18.8 How To Inquire (continued)

00000219999	DIRECT REGISTRATION SYSTEM					DATE: MM/DD/CCYY	
X\$VC	PROFILE MODIFICATION BY PARTICIPANT					TIME: HH:MM:SS	
TRANSACTION SUMMARY LIST							
SEL	TRANS ID	TRANS DATE	CUSIP	QUANTITY	PART NO	STATUS	STAT DATE
	P200003900009	02/08/2000	459200101	9999	00009999	O	02/08/2000
	P200003900010	02/08/2000	459200101	3333333	00009999	A	02/08/2000
	P200003900011	02/08/2000	459200101	999999	00009999	X	02/08/2000
	P200003900012	02/08/2000	459200101	888888	00009999	R	02/08/2000
ENTER "S" IN THE SELECT FIELDS TO VIEW MULTIPLE TRANSACTIONS							
PF7/19: MENU PF8/20: END FUNC PF9/21: SIGNOFF PF10/22: PG BWD PF11/23: PG FWD							

Figure 1. Direct Registration System Profile Modification By Participant Transaction Summary List

**Step 3** Enter S in the Sel field next to the selected transaction(s)

**Note:** You can select more than one transaction.

**Step 4** Press the 'ENTER' key to access the first Direct Registration System Profile Modification By Participant (Status Inquiry) Detail Screen (Figure 2).



4.18.8 How To Inquire (continued)

```
00002199-99          DIRECT REGISTRATION SYSTEM          DATE: MM/DD/CCYY
X$VC                 PROFILE MODIFICATION BY PARTICIPANT    TIME: HH:MM:SS
                    (STATUS INQUIRY ) DETAIL                PAGE: 01

LPA NO: 7803          LPA NAME: FIRST CHICAGO TRUST
TRANS ID: P200003900009  STATUS: A          STATUS DT: 02 / 08 / 2000
CUSIP: 459200101     DRS ACCT NO: 00000000000000000020  TAX ID: 11-1111120

CUST REGISTRATION NAME (S)
1 QQQQQ              2 AAAAAA
3                    4
5                    6
CUST ACCOUNT NO:IIIIIIIIII
MEDALLION GUARANTEE FINS NO: M0000020
TRANSFER QUANTITY: 20      (WHOLE SHARES ONLY)
PARTICIPANT NO: 2199
BROKER/DEALER NAME: ABC SEC
REASON CODE:
AGENT CONTACT:          PHONE: - - -

PF6/18: PREV          PF10/22: PG BWD          PF11/23: PG FWD
PF7/19: MENU          PF8/20:  END FUNC          PF9/21:  SIGNOFF
```

Figure 2. Direct Registration System Profile Modification By Participant (Status Inquiry) Detail Screen

**Note:** You cannot make changes to any field on this screen.

**Step 5.** Press the 'PF11/23' key to scroll to the next detail screen if more than one transaction was selected on the Direct Registration System Profile Modification By Participant Transaction Summary List Screen and the 'PF10/22' key to scroll backward.

or

- 'PF6/18' key to return to the previous screen.
- 'PF7/19' key to return to Direct Registration System Profile Modification By Participant Agent Menu Screen.
- 'PF8/20' key to change the function.
- 'PF9/21' key to end the processing session.

**4.18.9 Messages And Corrections**

<u>Message</u>	<u>Reason</u>	<u>Corrective Action</u>
* UPDATE CANCELLED* PCCYYDDD99999 HAS BEEN APPROVED ALREADY	The User tried to update an item that was already approved.	No action needed.
* UPDATE CANCELLED* PCCYYDDD99999 HAS BEEN DELETED BY PARTICIPANT	The User tried to update an item that was already deleted.	No action needed.
* UPDATE CANCELLED* PCCYYDDD99999 HAS BEEN REJECTED ALREADY	The User tried to update an item that was rejected.	No action needed.
* UPDATE CANCELLED * TRANSACTION WAS CHANGED PLEASE REVIEW AND UPDATE AGAIN	The User tried to update an item after it was changed.	Review the changes and try to update again.
DROPPED ITEMS MUST BE AT LEAST 30 BUSINESS DAYS OLD	The User entered X in the Drop Status (X) field but entered a date that is less than 30 business days old.	Delete the X or change the date.
AGENT CONTACT IS REQUIRED FOR REJECT STATUS	The User did not enter the contact name after entering R in the Status field.	Enter the contact name.
AGENT PHONE IS REQUIRED FOR REJECT STATUS	The User did not enter the contact phone number after entering R in the Status field.	Enter the contact phone number.

4.18.9 Messages And Corrections *(continued)*

<u>Message</u>	<u>Reason</u>	<u>Corrective Action</u>
ALL DATA IS VALIDATED PRESS PF1/PF13 TO UPDATE	The data the User entered has been validated.	Press the 'PF1/13' key to update.
ALREADY ON FIRST PAGE	The User tried to scroll backward from the first page of data.	Press the 'PF11/23' key to scroll forward.
ALREADY ON LAST PAGE	The User tried to scroll forward from the last page of data.	Press the 'PF10/22' key to scroll backward.
AT LEAST 1 CUSTOMER REGISTRATION LINE IS REQUIRED	The User did not enter one line of customer registration information.	Enter at least one line of customer registration information.
COMMENTS ARE REQUIRED FOR REJECT STATUS	The User did not enter any comments after entering R in the Status field.	Enter the appropriate comments.
CUSIP IS NOT ASSOCIATED WITH ANY VALID LPA NUMBER	The User entered a CUSIP number that is not being handled by any LPA in the system.	Check the CUSIP number again.
CUSIP IS NOT ELIGIBLE FOR DRS	The User entered a CUSIP number that is not a valid DRS CUSIP number.	Enter a valid DRS CUSIP number.
DATABASE IN USE, TRY AGAIN LATER	A system problem occurred.	Try the function at a later time.
DATE FROM GREATER THAN DATE TO	The User entered a date in the 'From' field that is after the date in the 'To' field.	Enter a date that is lower than the date in the 'To' field.

**4.18.9 Messages And Corrections** *(continued)*

<u>Message</u>	<u>Reason</u>	<u>Corrective Action</u>
DB2 UNAVAILABLE AT THIS TIME, TRY AGAIN LATER	A system problem occurred.	Try the function at a later time.
ENTER 'S' TO SELECT	The User did not enter S.	Enter S to select.
ENTER A CUSIP NUMBER	Self-explanatory.	Enter a valid DRS CUSIP number.
ENTER BROKER/DEALER NAME	The User did not enter the broker/dealer name.	Enter the broker/dealer name.
ENTER CUSTOMER ACCOUNT NUMBER	The customer account number was not entered.	Enter the customer account number.
ENTER CUSTOMER REGISTRATION LINE 1	The User did not enter the customer registration information.	Enter the customer registration information.
ENTER DATA	No data was entered.	Enter the required data.
ENTER DATE FROM	The User did not enter a date in the 'From' field but entered one in the 'To' field.	Enter a valid 'From' date in MM/DD/CCYY format.
ENTER MEDALLION GUARANTEE FINS NO	Self-explanatory.	Enter the medallion guarantee FINS number.
ENTER OPTION	No option was selected.	Enter a selection.
ENTER TAX ID	Self-explanatory.	Enter a valid tax ID or enter NRA (non-resident alien).

**4.18.9 Messages And Corrections** *(continued)*

<b>Message</b>	<b>Reason</b>	<b>Corrective Action</b>
FUTURE DATE IS NOT ALLOWED	The User entered a date that is in the future.	Enter a valid date in MM/DD/CCYY format.
INVALID DROPPED VALUE	The User entered an invalid value in the Aged (X) field.	Enter X or leave blank.
INVALID CUSIP	Self-explanatory.	Enter a valid DRS CUSIP number.
INVALID DATE FROM	The User entered an invalid 'From' date.	Enter a valid 'From' date in MM/DD/CCYY format.
INVALID DATE TO	The User entered an invalid 'To' date.	Enter a valid 'To' date in MM/DD/CCYY format.
INVALID KEY	The User pressed an invalid key.	Press a valid key.
INVALID KEY PRESSED	The User pressed an invalid key.	Press a valid key.
INVALID LPA NUMBER	The User entered an invalid agent number.	Enter a valid LPA number.
INVALID MEDALLION GUARANTEE FINS NO	The User entered an invalid number.	Enter a valid medallion guarantee FINS number.
INVALID OPTION	The User selected an invalid Option.	Enter a valid selection.
INVALID PARTICIPANT NUMBER FOR THIS CUSIP	The User entered an invalid Participant number.	Enter a valid Participant number.
INVALID STATUS	The User entered an invalid status.	Enter O, A, R or D.

4.18.9 Messages And Corrections *(continued)*

<u>Message</u>	<u>Reason</u>	<u>Corrective Action</u>
INVALID TRANSACTION ID	The User entered an invalid transaction ID	Enter a valid transaction ID.
MASTER TABLE DOES NOT HAVE TA FOR THIS CUSIP	The User entered a CUSIP number that is not a valid DRS CUSIP number.	Enter a valid DRS CUSIP number.
NO DATA FOUND	Self-explanatory.	No action needed.
ALREADY ON FIRST PAGE	The User tried to scroll backward after the first page of data.	Press the 'PF11/23' key to scroll forward.
ALREADY ON LAST PAGE	The User tried to scroll forward after the last page of data was reached.	Press the 'PF10/22' key to scroll backward.
NO ITEMS FOR MORE THAN 30 BUSINESS DAYS	The User entered X in the Drop Status (X) field but there are no items over 30 days old.	No action needed.
NO ITEMS FROM MM/DD/CCYY TO MM/DD/CCYY	There is no data for the range of dates indicated by the User.	No action needed.



## 4.18.9 Messages And Corrections (continued)

<u>Message</u>	<u>Reason</u>	<u>Corrective Action</u>
NO MORE DATA AVAILABLE	Self-explanatory.	No action needed.
PCCYYDDDD99999 HAS BEEN APPROVED ALREADY	Self-explanatory.	No action needed.
PCCYYDDDD99999 HAS BEEN DELETED BY PARTICIPANT	Self-explanatory.	No action needed.
PCCYYDDDD99999 HAS BEEN HAS BEEN REJECTED ALREADY	Self-explanatory.	No action needed.
PCCYYDDDD9999 IS ALREADY APPROVED	The User tried to update an item that was already approved.	No action needed.
PCCYYDDDD9999 IS DELETED BY PARTICIPANT	The User tried to update an item that was already deleted.	No action needed.
PCCYYDDDD9999 IS REJECTED	The User tried to update an item that was rejected.	No action needed.
PHONE NUMBER IS NOT NUMERIC	The User entered an invalid phone number.	Enter a valid numeric phone number.
PLEASE ENTER LINE(S) COMMAND	The User pressed the 'ENTER' key without selecting an item.	Select one item.
PRESS PF1/PF13 TO ADD A RECORD	The User did not press the 'PF1/13' key to add the record.	Press the 'PF1/13' key.



4.18.9 Messages And Corrections (continued)

<u>Message</u>	<u>Reason</u>	<u>Corrective Action</u>
PRESS PF1/PF13 TO UPDATE THE RECORD	Self-explanatory.	Press the 'PF1/13' key to update.
RANGE IS GREATER THAN 30 BUSINESS DAYS	The range of dates between the 'From' and 'To' dates is more than 30 days.	Enter a range of dates of 30 or less business days.
RECORD ADDED SUCCESSFULLY. TRAN ID = XXXXXXXXXXXXX	Informational only.	No action needed.
SELECT ONLY ONE ITEM	More than one item was selected.	Select only one item.
SELECTION CRITERIA IS ONLY FOR OPTIONS 2, 3, 4	The User entered selection criteria with Option 1.	Delete the selection criteria entered.
STATUS MUST BE "A" OR "R"	The User did not select a status.	Enter A or R.
STATUS MUST BE OPEN FOR AGED CRITERIA	The User entered an invalid status with the 'Drop Status' criteria.	Enter O (open).
STATUS MUST BE OPEN FOR UPDATE/DELETE	The User entered a status other than O (open).	Enter O (open).
TAX ID IS INVALID	The User entered an invalid tax ID number.	Enter a valid tax ID or enter NRA (non-resident alien).
TRANSACTION ID CANNOT BE COMBINED WITH ANY OTHER SELECTION CRITERIA	The User entered other selection criteria after entering the transaction ID.	Delete the selection criteria entered, or delete the transaction ID.

4.18.9 Messages And Corrections *(continued)*

<u>Message</u>	<u>Reason</u>	<u>Corrective Action</u>
TRANSACTION INFORMATION CHANGED DURING PAGING, REVIEW AGAIN	The User tried to update an item after it was changed.	Review the changes and try to update again.
TRANSACTION INFORMATION IS CHANGED REVIEW AGAIN	The User tried to update an item after it was changed.	Review the changes and try to update again.
TRANSACTION IS ASSIGNED TO A DIFFERENT AGENT	An unauthorized person tried to access data.	Contact your Participant Services Representative.
TRANSACTION NOT FOUND	Self-explanatory.	No action needed.
TRANSACTION P999999999999 BELONGS TO A DIFFERENT PARTICIPANT	An unauthorized person tried to access information.	Contact your Participant Services Representative.
TRANSACTION P999999999999 HAS BEEN SUCCESSFULLY DELETED	Self-explanatory.	No action needed.
TRANSACTION P999999999999 HAS BEEN SUCCESSFULLY UPDATED	Self-explanatory.	No action needed.
TRANSACTION P999999999999 IS NOT FOUND	The User entered an invalid CUSIP number.	Enter a valid CUSIP number.

**4.18.9 Messages And Corrections** *(continued)*

<u>Message</u>	<u>Reason</u>	<u>Corrective Action</u>
TRANSACTION P999999999999 WAS ALREADY APPROVED BY AN AGENT	Self-explanatory.	No action needed.
TRANSACTION P999999999999 WAS DELETED ALREADY	Self-explanatory.	No action needed.
TRANSACTION P999999999999 WAS REJECTED BY AN AGENT	Self-explanatory.	No action needed.
TRANSACTION WAS CHANGED, REVIEW AGAIN BEFORE UPDATE	The User tried to update a transaction that was changed.	Review the transaction again before trying to update.
TRANSFER QUANTITY MUST BE NUMERIC	The User entered an invalid transfer quantity.	Enter a valid numeric transfer quantity.
UPDATE SUCCESSFUL FOR TRANSACTION PCCYYDDD9999	The update was successful.	No action needed.
NO DROPPED ITEM FOR MORE THAN 30 BUSINESS DAYS	The User entered X in the Drop Status (X) field, but there are no items dropped for more than 30 days.	Delete the X or change the date.
PLEASE PRESS ANY KEY TO RETURN	Self-explanatory.	Press any key.





## 4.19 DIRECT REGISTRATION SYSTEM PROFILE MODIFICATION BY TRANSFER AGENT (LPA) (DRST)

### 4.19.1 Overview

The Direct Registration System Profile Modification By Transfer Agent (LPA) (DRST) function allows a Participant's customer to request the Transfer Agent of a DRS eligible issue to have the customer's shares at the Participant transferred to the Agent.

The Participant, upon viewing the request, can either approve or reject the transaction. If the request is approved, the Participant initiates a normal WT request to have the shares withdrawn using either the NWT1 *PTS* function (Section 4.07 of the *PTS* Manual) or CCF/CF2 WT transmission file.

**Note:** The 'DRS Indicator' on the NWT1 screen or on the CCF/CCF2 record should be set to S or Y for DRS statement. The current values are S (DRS statement), Y (Third Party DRS statement), C (Certificate) and X (Cancel previous S or Y request).



4.19.2 How To Access

Step	Action
Step 1	Enter 'DRST' on the Enter Function Prompt Screen (Figure 1).

```
X$VC          D E P O S I T O R Y   T R U S T          MM/DD/YY
00002199 - 01    PARTICIPANT TERMINAL SYSTEM        HH:MM:SS

ENTER FUNCTION: DRST
```

Figure 1. DRST Enter Function Prompt Screen

Step 2 Press the 'ENTER' key. Dependent on the sign-on one of the following menu screens appear:

- Direct Registration System Profile Modification By Agent (LPA) Agent Menu Screen (Figure 2).
- Direct Registration System Profile Modification By Agent (LPA) Participant Menu Screen (Figure 3).

```
00002199-01          DIRECT REGISTRATION SYSTEM          DATE: MM/DD/CCYY
X$VC                PROFILE MODIFICATION BY AGENT (LPA)  TIME: HH:MM:SS
                    AGENT MENU

                    1) ENTER REQUEST
                    2) UPDATE
                    3) DELETE
                    4) INQUIRY

                    OPTION:

SELECTION CRITERIA FOR OPTIONS 2,3,4:

TRANSACTION ID:
STATUS (O/A/R/D):
TRAN DATE FROM:  /  /          (MM/DD/CCYY)
                  TO:  /  /      (MM/DD/CCYY)
PART NUMBER:
DROP STATUS (X):

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

Figure 2. Direct Registration System Profile Modification By Agent (LPA) Agent Menu Screen



#### 4.19.2 How To Access

```
00002199-01          DIRECT REGISTRATION SYSTEM          DATE: MM/DD/YYYY
X$VC                PROFILE MODIFICATION BY AGENT (LPA)    TIME: HH:MM:SS
                   PARTICIPANT MENU

                   1) APPROVE/REJECT REQUEST
                   2) INQUIRY

                   OPTION:

                   SELECTION CRITERIA:

                   TRANSACTION ID:
                   STATUS (O/A/R):
                   STATUS DT FROM:  /  /                (MM/DD/CCYY)
                   TO:             /  /                (MM/DD/CCYY)
                   LPA NUMBER:
                   DROP STATUS (X)

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

*Figure 3. Direct Registration System Profile Modification By Agent (LPA) Participant Menu Screen*

- Step 3** Select any Option on the Direct Registration System Profile Modification By Agent (LPA) Agent Menu Screen (Figure 2) or the Direct Registration System Profile Modification By Agent (LPA) Participant Menu Screen (Figure 3).
- Step 4** Enter the required information in the Selection Criteria fields; optional.
- Step 5** Press any of the following:
- 'ENTER' key to continue processing.
  - 'PF8/20' key to change the function.
  - 'PF9/21' key to end the processing session.



4.19.3 How To Add A Request (Transfer Agents only)

Step	Action
Step 1	Enter 1 on the Direct Registration System Profile Modification By Agent (LPA) Agent Menu Screen (Section 4.19.2, Figure 2):
Step 2	Press the 'ENTER' key. The Direct Registration System (DRS) Profile Modification By Agent (LPA) Disclaimer Screen appears (Figure 1).

```
00002199-01          DIRECT REGISTRATION SYSTEM (DRS)          MM/DD/CCYY
X$VC                PROFILE MODIFICATION BY AGENT (LPA)      HH:MM:SS
                   DISCLAIMER

(1) TRANSFER AGENT REPRESENTS THAT IT HAS AUTHORITY AND CONSENT FOR THE REQUEST
    APPEARING ON THE FOLLOWING SCREEN FROM EITHER (a) THE REGISTERED OWNER ON THE
    TRANSFER AGENT'S RECORDS OR (b) A THIRD PARTY WHO HAS ACTUAL AUTHORITY
    TO ACT ON BEHALF OF THE REGISTERED OWNER ON THE TRANSFER AGENT'S RECORDS,
    AND THAT ALL INFORMATION SHOWN IS ACCURATE AND COMPLETE, EXCEPT THAT,
    WITH RESPECT TO THE TAXPAYER IDENTIFICATION NUMBER INCLUDED IN SUCH
    INFORMATION, TO THE BEST KNOWLEDGE OF TRANSFER AGENT, SUCH INFORMATION
    IS ACCURATE AND COMPLETE;

(2) TRANSFER AGENT INDEMNIFIES THE PARTICIPANT AND ITS OFFICERS, DIRECTORS,
    SHAREHOLDERS, EMPLOYEES, AGENTS, REPRESENTATIVES, SUBSIDIARIES, PARENTS,
    AFFILIATES, SUCCESSORS AND ASSIGNS AGAINST ANY BREACH OF SUCH REPRESENTATIONS
    IN CONNECTION WITH THE TRANSACTION THAT IS THE SUBJECT OF SUCH REQUEST.

** PRESS ENTER TO CONTINUE **

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

Figure 1. Direct Registration System (DRS) Profile Modification By Agent (LPA) Disclaimer Screen

Step 3	Press the 'ENTER' key to access the Direct Registration System Profile Modification By Agent (LPA) Add Request Screen (Figure 2).
--------	---



4.19.3 How To Add A Request (continued)

00002199-99 XSVC	DIRECT REGISTRATION SYSTEM PROFILE MODIFICATION BY AGENT (LPA) ADD REQUEST	MM/DD/CCYY HH:MM:SS
CUSIP: _____ TAX ID: _____	CUST ACCT NO: _____	
CUST REGISTRATION NAME(S)		
1 _____	2 _____	
3 _____	4 _____	
5 _____	6 _____	
MEDALLION GUARANTEE FINS NO: _____		
PARTICIPANT NO: _____		
BROKER/DEALER NAME: _____ (OPTIONAL)		
TRANSFER QUANTITY: _____ (WHOLE SHARES ONLY)		
PF1/13: ADD	PF7/19: MENU	PF8/20: END FUNC PF9/21: SIGNOFF

Figure 2. Direct Registration System Profile Modification By Agent (LPA) Add Request Screen

**Step 4** Enter the following information on the Direct Registration System Profile Modification By Agent (LPA) Add Request Screen:

- CUSIP: enter a DRS eligible CUSIP number.
- Cust Acct No: enter the customer account number at the Participant's firm.
- Tax ID: enter the tax identification number in 999999999 or 99-9999999 format *or* enter NRA(non-resident alien)
- Cust Registration Name (s): enter the customer name (s). A maximum of 35 characters per line can be entered.



**4.19.3 How To Add A Request (continued)**

- Medallion Guarantee FINS No: enter the Medallion Guarantee FINS number in A9999999 format. The first character must be alpha. The following seven must be numeric.

**Note:** Medallion FINS numbers will not be required while discussions continue among members of the STA, SIA, and Program Administrators to reach agreement on the indemnification language in the Medallion agreement.

DTC will notify Transfer Agents through an Important Notice when the Medallion field will be a required field. Then only Medallion numbers assigned by Program Administrators will be acceptable.

- Participant No: enter the Participant number.
- Broker/ Dealer Name: system generated. The Broker/Dealer number can be overtyped
- Transfer Quantity: enter the transfer quantity.

**Step 5** Press the 'ENTER' key to validate the data.

**Step 6** Press the 'PF1/13' key to update.

**Step 7** Press any of the following:

- 'PF7/19' key to return to the Direct Registration System Profile Modification By Agent (LPA) Agent Menu Screen.
- 'PF8/20' key to change the function.
- 'PF9/21' key to end the processing session.



#### 4.19.4 How To Update (Transfer Agents only)

<u>Step</u>	<u>Action</u>
<b>Step 1</b>	<p>Enter the following on the Direct Registration System Profile Modification By Agent (LPA) Agent Menu Screen (Section 4.19.2, Figure 2):</p> <ul style="list-style-type: none"><li>• Option: enter 2 (Update).</li><li>• Selection Criteria For Options 2, 3, 4: enter information in any of the following fields; optional:<ul style="list-style-type: none"><li>- Transaction ID: enter the unique identification number. No other search criteria can be entered if the transaction ID is entered.</li><li>-Status (O/A/R/D): only items with a status of O (open) will be displayed.</li></ul></li></ul> <p><b>Note:</b> Transactions with statuses of A: approved, R: rejected or D: deleted cannot be updated.</p> <ul style="list-style-type: none"><li>- Tran Date From - To: enter a transaction date in the 'From' field or a range of transaction dates in the 'From' and 'To' fields to limit the search, in MM/DD/CCYY format. A maximum range of 30 business days can be entered.</li><li>- Part Number: enter the Participant number.</li><li>- Drop Status (X): enter X to indicate that the item has been dropped for 30 business days or more.</li></ul> <p><b>Note:</b></p> <ol style="list-style-type: none"><li>1. If no selection criteria is entered, all open items for the last 30 business days are displayed. (Only items with an O (open) status can be updated.)</li><li>2. If the Transaction ID is entered, the Direct Registration System Update Detail Screen (Figure 2) for that transaction appears after the 'ENTER' key is pressed.</li></ol>
<b>Step 2</b>	<p>Press the 'ENTER' key to access the Direct Registration System Profile Modification By Agent (LPA) Transaction Summary List Screen (Figure 1).</p>



4.19.4 How To Update (continued)

00002199-99		DIRECT REGISTRATION SYSTEM				DATE: MM/DD/CCYY	
X\$VC		PROFILE MODIFICATION BY AGENT (LPA)				TIME: HH:MM:SS	
TRANSACTION SUMMARY LIST							
SEL	TRANS ID	TRANS DATE	CUSIP	QUANTITY	PART NO	STATUS	STAT DATE
	T200003900009	02/08/2000	459200101	9999	00009999	0	02/08/2000
	T200003900010	02/08/2000	459200101	3333333	00009999	0	02/08/2000
	T200003900011	02/08/2000	459200101	999999	00009999	0	02/08/2000
	T200003900012	02/08/2000	459200101	888888	00009999	0	02/08/2000
ENTER "S" IN THE SELECT FIELD TO UPDATE A TRANSACTION							
PF7/19: MENU PF8/20: END FUNC PF9/21: SIGNOFF PF10/22: PG BWD PF11/23: PG FWD							

Figure 1. Direct Registration System Profile Modification By Agent Transaction Summary List Screen

**Note:** The data on the screen is displayed in transaction date order with the oldest transaction displayed first.

**Step 3** Enter S in the Sel field next to the transaction you wish to update and press the 'ENTER' key. The Direct Registration System Profile Modification By Agent (LPA) Update Detail Screen (Figure 2) appears displaying detail information for the selected transaction.



4.19.4 How To Update (continued)

```
00002199-99          DIRECT REGISTRATION SYSTEM          DATE: MM/DD/CCYY
X$VC                PROFILE MODIFICATION BY AGENT (LPA)    TIME: HH:MM:SS
                   UPDATE DETAIL

TRANS ID: T19973390012      STATUS: 0      STATUS DT: 12 / 05 / 1999
CUSIP: 459200101      CUST ACCT NO: YYYYYYYYYYYYYYYYYY      TAX ID: 11-9999555

CUST REGISTRATION NAME (S):
1 SSSSSSSS                2 WWWWWW
3                          4
5                          6

MEDALLION GUARANTEE FINS NO: M0777777
TRANSFER QUANTITY: 44444444 (WHOLE SHARES ONLY)
PARTICIPANT NO: 00002199
BROKER/DEALER NAME: ABC SEC

PF1/13: UPDATE          PF6/18: PREV SCREEN
PF7/19: MENU           PF8/20: END FUNCTION      PF9/21: SIGNOFF
```

Figure 2. Direct Registration System Profile Modification By Agent (LPA) Update Detail Screen

**Step 4** The following fields can be updated:

- Cust Acct No
- Tax ID
- Cust Registration Name (s)
- Medallion Guarantee FINS No
- Transfer Quantity
- Broker/Dealer Name

**Step 5** Press the 'PF1/13' key to update.

or



4.19.4 How To Update *(continued)*

Press any of the following:

- 'PF6/18' key to return to the previous screen.
- 'PF 7/19' key to go to the Direct Registration System Profile Modification By Agent (LPA) Agent Menu Screen.
- 'PF8/20' key to change the function.
- 'PF 9/21' key to end the processing session.



4.19.5 How To Delete (Transfer Agents only)

<u>Step</u>	<u>Action</u>
<b>Step 1</b>	<p>Enter the following on the Direct Registration System Profile Modification By Agent (LPA) Agent Menu Screen (Section 4.19.2, Figure 2):</p> <ul style="list-style-type: none"><li>• Option: enter 3 (Delete).</li><li>• Selection Criteria For Options 2, 3, 4: enter any of the following information; optional:<ul style="list-style-type: none"><li>- Transaction ID: enter the unique identification number. No other search criteria can be entered if this field is filled.</li><li>- Status (O/A/R/D): only items with a status of O (open) will be displayed.</li></ul></li></ul> <p><b>Note:</b> Transactions with statuses of A: approved, R: rejected or D: deleted cannot be updated.</p> <ul style="list-style-type: none"><li>- Tran Date From - To: enter a transaction date in the 'From' field or a range of dates in the 'From' and 'To' fields to limit the search, in MM/DD/CCYY format.</li><li>- Part Number: enter the Participant number.</li><li>- Drop Status (X): enter X to indicate that the item has been dropped for 30 business days or more.</li></ul> <p><b>Note:</b></p> <ol style="list-style-type: none"><li>1. If no selection criteria is entered, all open items for the last 30 business days are displayed. Only items with an O (open) status can be deleted.</li><li>2. If the Transaction ID is entered, the Direct Registration System Delete Detail Screen (Figure 2) for that transaction appears after the 'ENTER' key is pressed.</li></ol>
<b>Step 2</b>	<p>Press the 'ENTER' key to access the Direct Registration System Profile Modification By Agent (LPA) Transaction Summary List Screen (Figure 1).</p>



4.19.5 How To Delete (continued)

00002199-99	DIRECT REGISTRATION SYSTEM				DATE: MM/DD/CCYY		
X\$VC	PROFILE MODIFICATION BY AGENT (LPA)				TIME: HH:MM:SS		
TRANSACTION SUMMARY LIST							
SEL	TRANS ID	TRANS DATE	CUSIP	QUANTITY	PART NO	STATUS	STAT DATE
	T200003900009	02/08/2000	459200101	9999	00009999	0	02/08/2000
	T200003900010	02/08/2000	459200101	3333333	00009999	0	02/08/2000
	T200003900011	02/08/2000	459200101	999999	00009999	0	02/08/2000
	T200003900012	02/08/2000	459200101	888888	00009999	0	02/08/2000
ENTER "S" IN THE SELECT FIELD TO DELETE A TRANSACTION							
PF7/19: MENU PF8/20: END FUNC PF9/21: SIGNOFF PF10/22: PG BWD PF11/23: PG FWD							

Figure 1. Direct Registration System Profile Modification By Agent (LPA) Transaction Summary List Screen

**Note:** The data on the screen is displayed in transaction date order with the oldest transaction displayed first.

- Step 3** Enter S to in the Sel field next to the transaction you wish to delete and press the 'ENTER' key. The Direct Registration System Profile Modification By Agent (LPA) Delete Detail Screen (Figure 2) appears displaying detail information for the selected transaction.



4.19.5 How To Delete (continued)

```
00002199-99          DIRECT REGISTRATION SYSTEM          DATE: MM/DD/CCYY
X$VC                PROFILE MODIFICATION BY AGENT (LPA)    TIME: HH:MM:SS
                   DELETE DETAIL

TRANS ID: T19973390014      STATUS: 0      STATUS DT: 12 / 05 / 1999
CUSIP: 459200101      CUST ACCT NO: JJJJJJJJJJJJJJJJJJ      TAX ID: 11-7777777

CUST REGISTRATION NAME(S)
1 FFFFFFFFFFFFFFFFFFFFFF          2 SSSSSSSSSSS
3                                  4
5                                  6

MEDALLION GUARANTEE FINS NO: M0333333
TRANSFER QUANTITY: 888888      (WHOLE SHARES ONLY)
PARTICIPANT NO: 00002199
BROKER/DEALER NAME: ABC SEC

PF1/13: DELETE          PF6/18: PREV SCREEN
PF7/19: MENU           PF8/20: END FUNCTION          PF9/21: SIGNOFF
```

Figure 2. Direct Registration System Profile Modification By Agent (LPA) Delete Detail Screen

**Note:** You cannot make changes to any field on this screen.

**Step 4** Press the 'PF1/13' key to delete the transaction.

or

Press any of the following:

- 'PF6/18' key to return to the previous screen.
- 'PF 7/19' key to go to the Direct Registration System Profile Modification By Agent (LPA) Agent Menu Screen.
- 'PF8/20' key to change the function.
- 'PF 9/21' key to end the processing session.



4.19.6 How To Inquire (Transfer Agents only)

<u>Step</u>	<u>Action</u>
<b>Step 1</b>	<p>Enter the following on the Direct Registration System Profile Modification By Agent (LPA) Agent Menu Screen (Section 4.19.2, Figure 2):</p> <ul style="list-style-type: none"><li>• Option: enter 4 (Inquiry).</li><li>• Selection Criteria For Options 2, 3, 4: enter information in any of the following fields; optional:<ul style="list-style-type: none"><li>- Transaction ID: enter the unique identification number. No other search fields can be filled if the transaction ID is entered.</li><li>- Status (O/A/R/D): enter the status.; O: open, A: approved, R: rejected, D: deleted.</li><li>- Tran Date From - To: enter a transaction date in the 'From' field or a range of transaction dates in the 'From' and 'To' fields to limit the search, in MM/DD/CCYY format. A maximum range of 30 business days can be entered.</li><li>- Part Number: enter the Participant number.</li><li>- Drop Status (X): enter X to indicate that the item has been dropped for 30 business days or more.</li></ul></li></ul> <p><b>Note:</b></p> <ol style="list-style-type: none"><li>1. If no selection criteria is entered, all items for the last 30 business days are displayed.</li><li>2. If the Transaction ID is entered, the Direct Registration System Inquiry Detail Screen (Figure 2) for that transaction appears after the 'ENTER' key is pressed.</li></ol>
<b>Step 2</b>	<p>Press the 'ENTER' key to access the Direct Registration System Profile Modification By Agent (LPA) Transaction Summary List Screen (Figure 1).</p>



4.19.6 How To Inquire (continued)

00002199-99		DIRECT REGISTRATION SYSTEM				DATE: MM/DD/CCYY	
X\$VC		PROFILE MODIFICATION BY AGENT (LPA)				TIME: HH:MM:SS	
TRANSACTION SUMMARY LIST							
SEL	TRANS ID	TRANS DATE	CUSIP	QUANTITY	PART NO	STATUS	STAT DATE
	T200003900009	02/08/2000	459200101	9999	00009999	O	02/08/2000
	T200003900010	02/08/2000	459200101	3333333	00009999	O	02/08/2000
	T200003900011	02/08/2000	459200101	999999	00009999	O	02/08/2000
	T200003900012	02/08/2000	459200101	888888	00009999	O	02/08/2000
ENTER "S" IN THE SELECT FIELDS TO VIEW MULTIPLE TRANSACTIONS							
PF7/19: MENU PF8/20: END FUNC PF9/21: SIGNOFF PF10/22: PG BWD PF11/23: PG FWD							

Figure 1. Direct Registration System Profile Modification By Agent (LPA) Transaction Summary List Screen

**Step 3** Enter S in the Sel field next to the transaction(s) you wish to inquire about

**Note:** You can select more than one transaction.

**Step 4** Press the 'ENTER' key. The Direct Registration System Profile Modification By Agent (LPA) Inquiry Detail Screen (Figure 2) appears displaying detail information for the first selected transaction.



## 4.19.6 How To Inquire (continued)

00002199-99 X\$VC	DIRECT REGISTRATION SYSTEM PROFILE MODIFICATION BY AGENT (LPA) INQUIRY DETAIL	DATE: MM/DD/CCYY TIME: HH:MM:SS PAGE: 1
TRANS ID: T19973380003 CUSIP: 459200101	STATUS: D CUST ACCT NO: HIS	STATUS DT: 12 / 24 / 1997 TAX ID: NRA
CUST REGISTRATION NAME(S)		
1 INTC	2 JJJJ	
3	4	
5	6	
MEDALLION GUARANTEE FINS NO: A1111111		
TRANSFER QUANTITY: 80 (WHOLE SHARES ONLY)		
PARTICIPANT NO: 00002199		
BROKER/DEALER NAME: ABC SEC		
PF6/18: PREV SCREEN PF7/19: MENU	PF10/22: PAGE BKW PF8/20: END FUNCTION	PF11/23: PAGE FRW PF9/21: SIGNOFF

Figure 2. Direct Registration System Profile Modification By Agent (LPA) Inquiry Detail Screen

**Note:** You cannot make changes to any field on this screen

**Step 5** Press the 'PF11/23' key to scroll to the next transaction if more than one was selected from the Transaction Summary List Screen and the 'PF10/22' key to scroll backward.

or

Press any of the following:

- 'PF6/18' key to return to the previous screen.
- 'PF7/19' key to go to the Direct Registration System Profile Modification By Agent (LPA) Agent Menu Screen.
- 'PF8/20' key to change the function.
- 'PF 9/21' key to end the processing session.



#### 4.19.7 How To Approve/Reject a Request (Participants only)

<u>Step</u>	<u>Action</u>
<b>Step 1</b>	<p>Enter the following on the Direct Registration System Profile Modification By Agent (LPA) Participant Menu Screen (Section 4.19.2, Figure 3):</p> <ul style="list-style-type: none"><li>• Option: enter 1 (Approve/Reject Request).</li><li>• Selection Criteria: enter information in any of the following fields:<ul style="list-style-type: none"><li>- Transaction ID: enter the unique transaction identification number. No other search fields can be filled if the transaction ID is entered.</li><li>- Status (O/A/R): enter O (open) for requests that have not been responded to by the agent and were created within the past 30 business days.</li></ul></li></ul> <p><b>Note:</b> Transactions with statuses of A: approved, R: rejected cannot be approved or rejected.</p> <ul style="list-style-type: none"><li>- Status Dt From - To: enter a status date in the 'From' field or a range of dates in the 'From' and 'To' fields to narrow the search. A maximum range of 30 business days can be entered.</li><li>- LPA Number: enter the Limited Participant account number.</li><li>- Drop Status (X): enter X to indicate that the item has been dropped for more than 30 business days or more.</li></ul> <p><b>Note:</b> If no selection criteria is entered, only open requests for the last 30 business days are displayed.</p>
<b>Step 2</b>	<p>Press the 'ENTER' key to access the Direct Registration System Profile Modification By Agent (LPA) Transaction Summary List Screen (Figure 1).</p>



4.19.7 How To Approve/Reject a Request (continued)

0000219999	DIRECT REGISTRATION SYSTEM				DATE: MM/DD/CCYY		
X\$VC	PROFILE MODIFICATION BY AGENT (LPA)				TIME: HH:MM:SS		
TRANSACTION SUMMARY LIST							
SEL	TRANS ID	TRANS DATE	CUSIP	QUANTITY	LPA NO	STATUS	STAT DATE
	T200003900009	02/08/2000	459200101	9999	00009999	0	02/08/2000
	T200003900010	02/08/2000	459200101	3333333	00009999	0	02/08/2000
	T200003900011	02/08/2000	459200101	999999	00009999	0	02/08/2000
	T200003900012	02/08/2000	459200101	888888	00009999	0	02/08/2000
ENTER "S" IN THE SELECT FIELD TO UPDATE A TRANSACTION							
PF7/19: MENU PF8/20: END FUNC PF9/21: SIGNOFF PF10/22: PG BWD PF11/23: PG FWD							

Figure 1. Direct Registration System Profile Modification By Agent (LPA Transaction Summary List Screen)

- Step 3** Enter S in the Sel field next to the selected transaction and press the 'ENTER' key to access the Direct Registration System Profile Modification By Agent (LPA) (Status Update) Detail Screen (Figure 2) displaying details for that transaction.



4.19.7 How To Approve/Reject a Request (continued)

```
00002199-99          DIRECT REGISTRATION SYSTEM          DATE: MM/DD/CCYY
X$VC                 PROFILE MODIFICATION BY AGENT (LPA)    TIME: HH:MM:SS
                     (STATUS UPDATE ) DETAIL

LPA NO: 00009999     LPA NAME: ABC TRUST
TRANS ID: T19973640036  STATUS: 0          STATUS DT: 01 / 02 / 1999
CUSIP: 459200101    CUST ACCT NO: 00000000000000001111  TAX ID: 11-000000

CUST REGISTRATION NAME(S)
1 QQQQQQQQQQQQ          2 WWWWWW
3                          4
5                          6

CUST ACCOUNT NO: 1111111111
MEDALLION GUARANTEE FINS NO: M0000020
TRANSFER QUANTITY: 400      (WHOLE SHARES ONLY)
PARTICIPANT NO: 00002199
BROKER/DEALER NAME: DEALER
REASON CODE:
PARTICIPANT CONTACT:          PHONE: - -

PF1/13: UPDATE          PF2/14 HELP          PF6/18: PREV
PF7/19: MENU           PF8/20: END FUNC          PF9/21: SIGNOFF
```

Figure 2. Direct Registration System Profile Modification By Agent (LPA) (Status Update) Detail Screen

**Step 4** Enter one of the following in the Status field:

- A: to approve the item
- R: to reject the item

**Note:** If R (reject) is entered, information must be entered in the Reason Code, Participant Contact and Phone fields. If Reason Code 99 is entered, enter a reject reason.

**Press the PF2/14' key to view a list of reject codes.**

**Step 5** Press the 'PF1/13' key to update.

**Step 6** Press any of the following:

- 'PF6/18' key to return to the previous screen.
- 'PF7/19' key to return to the Direct Registration System Profile Modification By Agent (LPA) Participant Menu Screen.
- 'PF8/20' key to change the function.
- 'PF9/21' key to end the processing session.



4.19.8 How To Inquire (Participants only)

<u>Step</u>	<u>Action</u>
<b>Step 1</b>	<p>Enter the following on the Direct Registration System Profile Modification By Agent (LPA) Participant Menu Screen (Section 4.19.2, Figure 3):</p> <ul style="list-style-type: none"><li>• Option: enter 2 (Inquiry).</li><li>• Selection Criteria: enter information in any of the following fields:<ul style="list-style-type: none"><li>- Transaction ID: enter the unique transaction identification number. No other search fields can be filled if the transaction ID is entered.</li><li>- Status (O/A/R): enter one of the following optional:<ul style="list-style-type: none"><li>O: (open) for requests that have not been responded to by the agent and were created within the past 30 business days.</li><li>A: (approved)</li><li>R: (rejected)</li></ul></li><li>- Status Dt From - To: enter a status date in the 'From' field or a range of dates in the 'From' and 'To' fields to narrow the search.</li><li>- LPA Number: enter the Limited Participant account number.</li><li>- Drop Status (X): enter X to indicate that the item has been dropped for 30 business days or more; optional.</li></ul></li></ul> <p><b>Note:</b></p> <ol style="list-style-type: none"><li>1. If no selection criteria is entered, only open requests for the last 30 business days are displayed.</li><li>2. If the Transaction ID is entered, the Direct Registration System (Status Inquiry) Detail Screen (Figure 2) for that transaction appears when the 'ENTER' key is pressed.</li></ol>
<b>Step 2</b>	<p>Press the 'ENTER' key to access the Direct Registration System Profile Modification By Agent (LPA) Transaction Summary List Screen (Figure 1).</p>



4.19.8 How To Inquire (continued)

0000219999	DIRECT REGISTRATION SYSTEM					DATE: MM/DD/CCYY	
X\$VC	PROFILE MODIFICATION BY AGENT (LPA)					TIME: HH:MM:SS	
	TRANSACTION SUMMARY LIST						
SEL	TRANS ID	TRANS DATE	CUSIP	QUANTITY	LPA NO	STATUS	STAT DATE
	T200003900009	02/08/2000	459200101	9999	00009999	O	02/08/2000
	T200003900010	02/08/2000	459200101	3333333	00009999	O	02/08/2000
	T200003900011	02/08/2000	459200101	999999	00009999	O	02/08/2000
	T200003900012	02/08/2000	459200101	888888	00009999	O	02/08/2000
ENTER "S" IN THE SELECT FIELDS TO VIEW MULTIPLE TRANSACTIONS							
PF7/19: MENU PF8/20: END FUNC PF9/21: SIGNOFF PF10/22: PG BWD PF11/23: PG FWD							

Figure 1. Direct Registration System Profile Modification By Agent (LPA) Transaction Summary List

**Step 3** Enter S in the Sel field next to the selected transaction(s)

**Note:** You can select more than one transaction.

**Step 4** Press the 'ENTER' key to access the first Direct Registration System Profile Modification By Agent (LPA) (Status Inquiry) Detail Screen (Figure 2).



4.19.8 How To Inquire (continued)

```
00002199-01          DIRECT REGISTRATION SYSTEM          DATE: MM/DD/CCYY
X$VC                PROFILE MODIFICATION BY AGENT (LPA)    TIME: HH:MM:SS
                   (STATUS INQUIRY ) DETAIL              PAGE: 01

LPA NO: 00009999     LPA NAME: ABC TRUST
TRANS ID: T19973390014  STATUS: A          STATUS DT: 12 / 29 / 1999
CUSIP: 459200101    CUST ACCT NO: JJJJJJJJJJJJJJJJJJJJ  TAX ID: 11-777777

CUST REGISTRATION NAME(S):
1 FFFFFFFFFFFFFFFFFF          2 SSSSSSSSSS
3                               4
5                               6
CUST ACCOUNT NO: 11111111111
MEDALLION GUARANTEE FINS NO: M0333333
TRANSFER QUANTITY: 888888      (WHOLE SHARES ONLY)
PARTICIPANT NO: 00002199
BROKER/DEALER NAME:
REASON CODE:
PARTICIPANT CONTACT:          PHONE: - - -

PF6/18: PREV                PF10/22: PG BWD          PF11/23: PG FWD
PF7/19: MENU                PF8/20:  END FUNC        PF9/21:  SIGNOFF
```

Figure 2. Direct Registration System Profile Modification By Agent (LPA) (Status Inquiry) Detail Screen

**Note:** You cannot make changes to any field on this screen

**Step 5** Press the 'PF11/23' key to scroll to the next transaction if more than one was selected from the Transaction Summary List Screen and the 'PF10/22' key to scroll backward.

or

Press any of the following:

- 'PF6/18' key to return to the previous screen.
- 'PF7/19' key to return to the Direct Registration System Profile Modification By Agent (LPA) Participant Menu Screen.
- 'PF8/20' key to change the function.
- 'PF9/21' key to end the processing session.



## 4.19.9 Messages And Corrections

<u>Message</u>	<u>Reason</u>	<u>Corrective Action</u>
* UPDATE CANCELLED* PCCYYDDD9999 HAS BEEN APPROVED ALREADY	The User tried to update an item that was already approved.	No action needed.
* UPDATE CANCELLED* PCCYYDDD9999 HAS BEEN DELETED BY PARTICIPANT	The User tried to update an item that was already deleted.	No action needed.
* UPDATE CANCELLED* PCCYYDDD9999 HAS BEEN REJECTED ALREADY	The User tried to update an item that was rejected.	No action needed.
*UPDATE CANCELLED * TRANSACTION WAS CHANGED PLEASE REVIEW AND UPDATE AGAIN	The User tried to update an item after it was changed.	Review the changes and try to update again.
DROPPED ITEMS MUST BE AT LEAST 30 BUSINESS DAYS OLD	The User entered X in the Drop Status (X) field but entered a date is lower than 30 business days.	Delete the X or change the date.
AGENT CONTACT IS REQUIRED FOR REJECT STATUS	The User did not enter the contact name after entering R in the Status field.	Enter the contact name.
AGENT PHONE IS REQUIRED FOR REJECT STATUS	The User did not enter the contact phone number after entering R in the Status field.	Enter the contact phone number.

4.19.9 Messages And Corrections *(continued)*

<u>Message</u>	<u>Reason</u>	<u>Corrective Action</u>
ALL DATA IS VALIDATED PRESS PF1/PF13 TO UPDATE	The data the User entered has been validated.	Press the 'PF1/13' key to update.
ALREADY ON FIRST PAGE	The User tried to scroll backward from the first page of data.	Press the 'PF11/23' key to scroll forward.
ALREADY ON LAST PAGE	The User tried to scroll forward from the last page of data.	Press the 'PF10/22' key to scroll backward
AT LEAST 1 CUSTOMER REGISTRATION LINE IS REQUIRED	The User did not enter one line of customer registration information.	Enter at least one line of customer registration information.
COMMENTS ARE REQUIRED FOR REJECT STATUS	The User did not enter any comments after entering R in the Status field	Enter the appropriate comments.
CUSIP IS NOT ASSOCIATED WITH ANY VALID LPA NUMBER	The User entered a CUSIP number that is not being handled by any LPA in the system.	Check the CUSIP number again.
CUSIP IS NOT ELIGIBLE FOR DRS	The User entered a CUSIP number that is not a valid DRS CUSIP number.	Enter a valid DRS CUSIP number.
DATABASE IN USE, TRY AGAIN LATER	A system problem occurred.	Try the function at a later time.
DATE FROM GREATER THAN DATE TO	The User entered a date in the 'From' field that is after the date in the 'To' field.	Enter a date that is lower than the date in the 'To' field.

4.19.9 Messages And Corrections *(continued)*

<u>Message</u>	<u>Reason</u>	<u>Corrective Action</u>
DB2 UNAVAILABLE AT THIS TIME, TRY AGAIN LATER	A system problem occurred.	Try the function at a later time.
ENTER 'S' TO SELECT	The User did not enter S.	Enter S to select.
ENTER A CUSIP NUMBER	Self-explanatory.	Enter a valid DRS CUSIP number.
ENTER BROKER/DEALER NAME	The User did not enter a broker/dealer name.	Enter the broker/dealer name.
ENTER CUSTOMER ACCOUNT NUMBER	The User did not enter a customer account number.	Enter the customer account number.
ENTER CUSTOMER REGISTRATION LINE 1	The User did not enter the customer registration information.	Enter the customer registration information.
ENTER DATA	No data was entered.	Enter the required data.
ENTER DATE FROM	The User did not enter a date in the 'From' field but entered one in the 'To' field.	Enter a valid 'From' date in MM/DD/CCYY format.
ENTER MEDALLION GUARANTEE FINS NO	Self-explanatory.	Enter the medallion guarantee FINS number.
ENTER OPTION	No option was selected.	Enter a selection.
ENTER TAX ID	Self-explanatory.	Enter a valid tax ID or enter NRA (non-resident alien).

**4.19.9 Messages And Corrections** *(continued)*

<u>Message</u>	<u>Reason</u>	<u>Corrective Action</u>
FUTURE DATE IS NOT ALLOWED	The User entered a date that is in the future.	Enter a valid date in MM/DD/CCYY format.
INVALID AGED VALUE	The User entered an invalid value in the Aged (X) field.	Enter X or leave blank.
INVALID CUSIP	Self-explanatory.	Enter a valid DRS CUSIP number.
INVALID DATE FROM	The User entered an invalid 'From' date.	Enter a valid 'From' date in MM/DD/CCYY format.
INVALID DATE TO	The User entered an invalid 'To' date.	Enter a valid 'To' date in MM/DD/CCYY format.
INVALID KEY	The User pressed an invalid key.	Press a valid key.
INVALID KEY PRESSED	The User pressed an invalid key.	Press a valid key.
INVALID LPA NUMBER	The User entered an invalid agent number.	Enter a valid LPA number.
INVALID MEDALLION GUARANTEE FINS NO	The User entered an invalid FINS number.	Enter a valid medallion guarantee FINS number.
INVALID OPTION	The User selected an invalid Option.	Enter a valid selection.
INVALID PARTICIPANT NUMBER FOR THIS CUSIP	The User entered an invalid Participant number.	Enter a valid Participant number.
INVALID STATUS	The User entered an invalid status.	Enter O, A, R or D.



4.19.9 Messages And Corrections *(continued)*

<u>Message</u>	<u>Reason</u>	<u>Corrective Action</u>
INVALID TRANSACTION ID	The User entered an invalid transaction ID	Enter a valid transaction ID.
MASTER TABLE DOES NOT HAVE TA FOR THIS CUSIP	The User entered a CUSIP number that is not a valid DRS CUSIP number.	Enter a valid DRS CUSIP number.
NO DATA FOUND	Self-explanatory.	No action needed.
NO FORWARD SCROLLING AVAILABLE	The User tried to scroll forward from the last page of data.	No action needed.
ALREADY ON FIRST PAGE	The User tried to scroll backward after the first of data.	Press the 'PF11/23' key to scroll forward.
ALREADY ON LAST PAGE	The User tried to scroll forward after the last page of data was reached.	Press the 'PF10/22' key to scroll backward.
NO ITEMS FROM MM/DD/CCYY TO MM/DD/CCYY	There is no data for the range of dates indicated by the User.	No action needed.



## 4.19.9 Messages And Corrections (continued)

<u>Message</u>	<u>Reason</u>	<u>Corrective Action</u>
NO MORE DATA AVAILABLE	Self-explanatory.	No action needed.
PCCYYDDD9999 HAS BEEN APPROVED ALREADY	Self-explanatory.	No action needed.
PCCYYDDD9999 HAS BEEN DELETED BY PARTICIPANT	Self-explanatory.	No action needed.
PCCYYDDD9999 HAS BEEN HAS BEEN REJECTED ALREADY	Self-explanatory.	No action needed.
PCCYYDDDD999 IS ALREADY APPROVED	The User tried to update an item that was already approved.	No action needed.
PCCYYDDDD999 IS DELETED BY PARTICIPANT	The User tried to update an item that was already deleted.	No action needed.
PCCYYDDDD999 IS REJECTED	The User tried to update an item that was rejected.	No action needed.
PHONE NUMBER IS NOT NUMERIC	The User entered an invalid phone number.	Enter a valid numeric phone number.
PLEASE ENTER LINE(S) COMMAND	The User pressed the 'ENTER' key without selecting an item.	Select one item.
PRESS PF1/PF13 TO ADD A RECORD	The User did not press the 'PF1/13' key to add the record.	Press the 'PF1/13' key.

4.19.9 Messages And Corrections *(continued)*

<u>Message</u>	<u>Reason</u>	<u>Corrective Action</u>
PRESS PF1/PF13 TO UPDATE THE RECORD	Self-explanatory.	Press the 'PF1/13' key to update.
RANGE IS GREATER THAN 30 BUSINESS DAYS	The range of dates between the 'From' and 'To' dates is more than 30 days.	Enter a range of dates of 30 or less business days.
RECORD ADDED SUCCESSFULLY. TRAN ID = XXXXXXXXXXXXXX	Informational only.	No action needed.
SELECT ONLY ONE ITEM	More than one item was selected.	Select only one item.
SELECTION CRITERIA IS ONLY FOR OPTIONS 2, 3, 4	The User entered selection criteria with Option 1.	Delete the selection criteria entered.
STATUS MUST BE "A" OR "R"	The User did not select a status.	Enter A or R.
STATUS MUST BE OPEN FOR DROPPED CRITERIA	The User entered an invalid status with the 'Drop Status' criteria.	Enter O (open).
STATUS MUST BE OPEN FOR UPDATE/DELETE	The User entered a status other than O (open).	Enter O (open).
TAX ID IS INVALID	The User entered an invalid tax ID number.	Enter a valid tax ID or NRA (non-resident alien).
TRANSACTION ID CANNOT BE COMBINED WITH ANY OTHER SELECTION CRITERIA	The User entered selection criteria after entering the transaction ID.	Delete the selection criteria entered, or delete the transaction ID.

4.19.9 Messages And Corrections *(continued)*

<u>Message</u>	<u>Reason</u>	<u>Corrective Action</u>
TRANSACTION INFORMATION CHANGED DURING PAGING, REVIEW AGAIN	The User tried to page but the previous information changed while paging.	Review the information again.
TRANSACTION INFORMATION IS CHANGED REVIEW AGAIN	The User tried to page but the previous information changed while paging.	Review the information again.
TRANSACTION IS ASSIGNED TO A DIFFERENT AGENT	An unauthorized person tried to access data.	Contact your Participant Services Representative.
TRANSACTION NOT FOUND	Self-explanatory.	No action needed.
TRANSACTION P999999999999 BELONGS TO A DIFFERENT LPA	An unauthorized person tried to access information.	Contact your Participant Services Representative.
TRANSACTION P999999999999 HAS BEEN SUCCESSFULLY DELETED	Self-explanatory.	No action needed.
TRANSACTION P999999999999 HAS BEEN SUCCESSFULLY UPDATED	Self-explanatory.	No action needed.
TRANSACTION P999999999999 IS NOT FOUND	The User entered an invalid CUSIP number.	Enter a valid CUSIP number.



4.19.9 Messages And Corrections (continued)

<u>Message</u>	<u>Reason</u>	<u>Corrective Action</u>
TRANSACTION P999999999999 IS ALREADY APPROVED	Self-explanatory.	No action needed.
TRANSACTION P999999999999 WAS DELETED ALREADY	Self-explanatory.	No action needed.
TRANSACTION P999999999999 WAS REJECTED BY PARTICIPANT	Self-explanatory.	No action needed.
TRANSACTION WAS CHANGED, REVIEW AGAIN BEFORE UPDATE	The User tried to update an item but the previous information changed while scrolling.	Review the information and try again to update.
TRANSFER QUANTITY MUST BE NUMERIC	The User entered an invalid transfer quantity.	Enter a valid numeric transfer quantity.
UPDATE SUCCESSFUL FOR TRANSACTION PCCYYDDD9999	The update was successful.	No action needed.

