

Bold, underlined text indicates proposed added language.

~~Bold, strikethrough text~~ indicates proposed deleted language.

[WINS FUNCTION GUIDE]

WINS:

Overview

~~The Web Inquiry Notification System (WINS) allows you to notify DTC of differences between your records and ours regarding a specific activity. In turn, WINS allows DTC to send replies back to you. Notifications are currently handled for:~~

- ~~• Dividends~~
- ~~• Stock Dividends~~
- ~~• Redemptions~~
- ~~• Custody~~
 - ~~Reorg Mandatory~~
 - ~~Reorg Voluntary~~
 - ~~Reorg Announcements~~
 - ~~Securities Processing~~

When to Use

~~Use WINS when you want to:~~

- ~~• Add notifications to the system, report activity differences to DTC. See Create New Inquiry.~~
- ~~• Inquire about the status of an existing notification. See Research Recent Inquiries.~~
- ~~• Browse lists of open, closed, and interim notifications. See Interim Responses. Search for an inquiry that has been archived. See Inquiry Archive Research.~~
- ~~• Reopen closed notifications. See Reopen an inquiry.~~
- ~~• Cancel previously entered notifications. See Cancel an Inquiry.~~

Creating a New Inquiry

~~Use the following procedure to notify DTC of a difference between your records and ours regarding a specific activity.~~

- ~~1. Select WINS from the Participant Browser Home page~~
- ~~2. Click Create new Inquiry tab—This will bring you to the ENTER Inquiry Details screen.~~

-
- ~~1. Select the Department.~~
 - ~~2. Select the Product.~~

-
- ~~3. Select the Issue.~~
 - ~~4. Type the CUSIP number. It must be a 9 character alphanumeric value.~~
-

~~Click Continue on the screen where you selected the Inquiry Type.~~

- ~~▪ Depending on the Inquiry Type, the options you can select in the Additional Inquiry Details table will be different.~~
- ~~▪ Click the Continue button to go to the Review and Submit Your Inquiry screen.~~

- ~~1. To submit the inquiry, click the Submit Inquiry button.~~
- ~~2. A message will display at the top of the screen to notify you that the inquiry has been successfully created.~~
- ~~3. Click the Return Home button to head back to the home page~~

~~Cancel an Inquiry~~

- ~~1. Click the Cancel button on the row of the inquiry that you wish to cancel. A pop-up appears asking you to confirm that you would like to cancel the inquiry.~~
- ~~2. On the pop-up, click the Cancel Inquiry button.~~

~~Click the View button on the row of the inquiry that you wish to cancel. This will open an overview page of that inquiry.~~

~~Click the Cancel Inquiry button. A pop-up appears asking you to confirm that you would like to cancel the inquiry.~~

~~On the pop-up, click the Cancel Inquiry button.~~

~~After confirming that you wanted to cancel that inquiry, a message is displayed indicating that the inquiry has successfully been canceled.~~

~~Click the Return Home button to head back to the home page. The inquiry is no longer listed on that page.~~

~~Research Recent Inquiries~~

~~The WINS System allows you to search for inquiries previously entered in the system right from the home page.~~

~~Searching Archived Inquiries~~

- ~~1. Select or type your search criteria below:~~

~~Creation Mode – Specify if the inquiry you are searching for was submitted over the phone or via the Web.~~

~~CUSIP – Type the CUSIP number you associated with the inquiry.~~

~~Ticket Number – Type the ticket number assigned to the inquiry.~~

~~Inquiry Type – Select the type of inquiry.~~

~~Inquiry Date Range – Type or select the timeframe in which the inquiry was created.~~

~~Created By – Select the user who created the inquiry.~~

~~Status – Indicate whether the inquiry you are searching for is opened or closed.~~

~~Click Apply Filters to search for inquiries that meet those specifications. The page will refresh and display only the inquiries that match all the filters you selected.~~

~~Interim Response Notification~~

~~Next to the status of an inquiry on your home page, you might see an envelope icon. If this appears, that means you have a message related to that inquiry (“interim response”).~~

~~Viewing an Interim Response~~

- ~~1. Click the View button. The Open Inquiry page appears.~~
- ~~2. You can view the message in the DTCC Response section of the page.~~

~~Click the Return Home button to head back to the home page. The envelope indicating that there was an interim response is no longer present.~~

~~Reopening a Closed Inquiry~~

~~In the status column of your home page, an inquiry can be labeled either Open or Closed.~~

- ~~1. Click the View button. The Closed Inquiries page appears displaying the details of that inquiry.~~
- ~~2. In the DTCC Response section, the top response relates to the inquiry being closed. Click the Reopen Inquiry button in that response. The screen will then refresh.~~
- ~~3. In the Comments field, enter the reason why you are reopening the inquiry.~~
- ~~4. Click the Submit Inquiry button.~~
- ~~5. Here you are asked to confirm that you want to reopen this inquiry. Click the Continue button to proceed.~~

~~Accessing the Archive~~

- ~~1. Click either the Inquiry Archive tab or the Inquiry Archive link (on home page only) to access the archive. Once the archive is open, you will be able to see all the options you can use to search.~~

~~Searching Archived Inquiries~~

~~Select or type your search criteria in any of the fields below:~~

~~Creation Mode – Specify if the inquiry you are searching for was submitted over the phone or via the Web.~~

~~CUSIP – Type the CUSIP number you associated with the inquiry.~~

~~Ticket Number – Type the ticket number assigned to the inquiry.~~

~~Inquiry Type – Select the type of inquiry.~~

~~Inquiry Date Range – Type or select the timeframe in which the inquiry was created.~~

[DEPOSITS SERVICE GUIDE]

Deposits Checklist for DAMP Deposits

Participants can ~~call the Customer Help Center at (888) 360-3822, option 4 then option 3, reach customer support~~ or submit an WINS inquiry through the DTCC Client Center if a problem arises.

[DTC CORPORATE ACTIONS DISTRIBUTIONS SERVICE GUIDE]

SUPPORT FOR DISTRIBUTIONS INQUIRIES

DTC provides ~~you~~ Participants with resources for solving the day-to-day questions and/or problems associated with Distributions event processing. Common inquiries via CA Web or ~~WINS~~ the DTCC Client Center include but are not limited to the categories listed below. Note that ~~you~~ Participants can submit ~~an event-specific automated inquiry~~ automated inquiries concerning specific Distribution events to DTC directly from CA Web.

Information on or questions about the accuracy of:

- Record dates
- Payable dates
- Ex dates
- Rates
- Pool factors
- Calculation methods
- Payment frequency or mode of payment
- Claims
- Adjustments
- Amount of dividend or interest paid

~~Participants can submit automated inquiries concerning specific Distribution events directly from CA Web or via the PTS/PBS Web Inquiry Notification System (WINS).~~