

Automated Customer Account Transfer Service (ACATS) Activity History Inquiry

January, 2007

The Depository Trust & Clearing Corporation



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Clearing Corporation*

The primary purpose of this product guide is to familiarize members with the **Automated Customer Account Transfer Service (ACATS)**, **Activity History Inquiry function** offered by NSCC. This guide is not intended to serve as a legal document. No statement in this guide should be construed as a legally binding rule or regulation, or as creating an obligation on the part of **NSCC** or any person. In addition, any time schedules or time requirements set forth herein are subject to change without notice.

Participants should refer to the NSCC Rules & Procedures for the legal obligations of any party utilizing the Automated Customer Account Transfer Service (ACATS). The Rules & Procedures of **NSCC**, plus all updates and revisions, are available at www.nsc.com.

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Introduction to Automated Customer Account Transfer Service (ACATS)

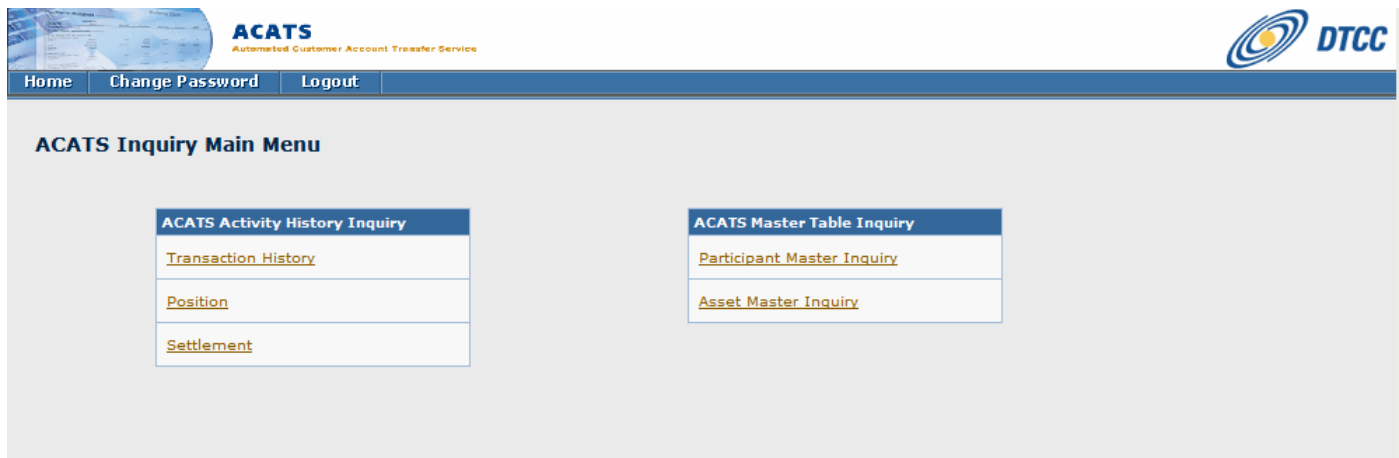
The Automated Customer Account Transfer Service (ACATS) is a system that automates and standardizes procedures for the transfer of assets in a customer account from one brokerage firm and/or bank to another.

About the ACATS Activity History Inquiry Pages

The ACATS Activity History Inquiry pages display information about transactions, positions and settlements. ACATS historical data is available for research from the time the transfer is initiated, until 10 days after it has reached final status (settled, purged or system rejected).

You can use the **ACATS Activity History Inquiry** pages to do all of the following:

- To check the status of a transaction
- To determine why an account item did not transfer
- To view a transaction's current position in the ACATS transfer process
- To view registration details associated with the transferred mutual fund or insurance products
- To determine where an item is staged to settle



General Procedures for the ACATS Activity History Inquiry Pages

Use the following procedures to research and review general information about the status, position, and settlement information for a transaction.

RESEARCHING STATUS INFORMATION FOR A TRANSACTION

The Transaction History page displays the ACATS control number, receiver number, deliverer number, transfer type, current transfer status and days in status.

1. On the ACATS Inquiry Main Menu page, click **Transaction History**.
The Transaction History page is displayed.
2. Type the ACATS control number in the **ACATS Control Number** field and click **Search**.
Note: You can also search by the receiver or deliverer account numbers.

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Home Change Password Logout

Transaction History

Jan 30, 2007 - 3:28 PM EST

Search Criteria * = Required

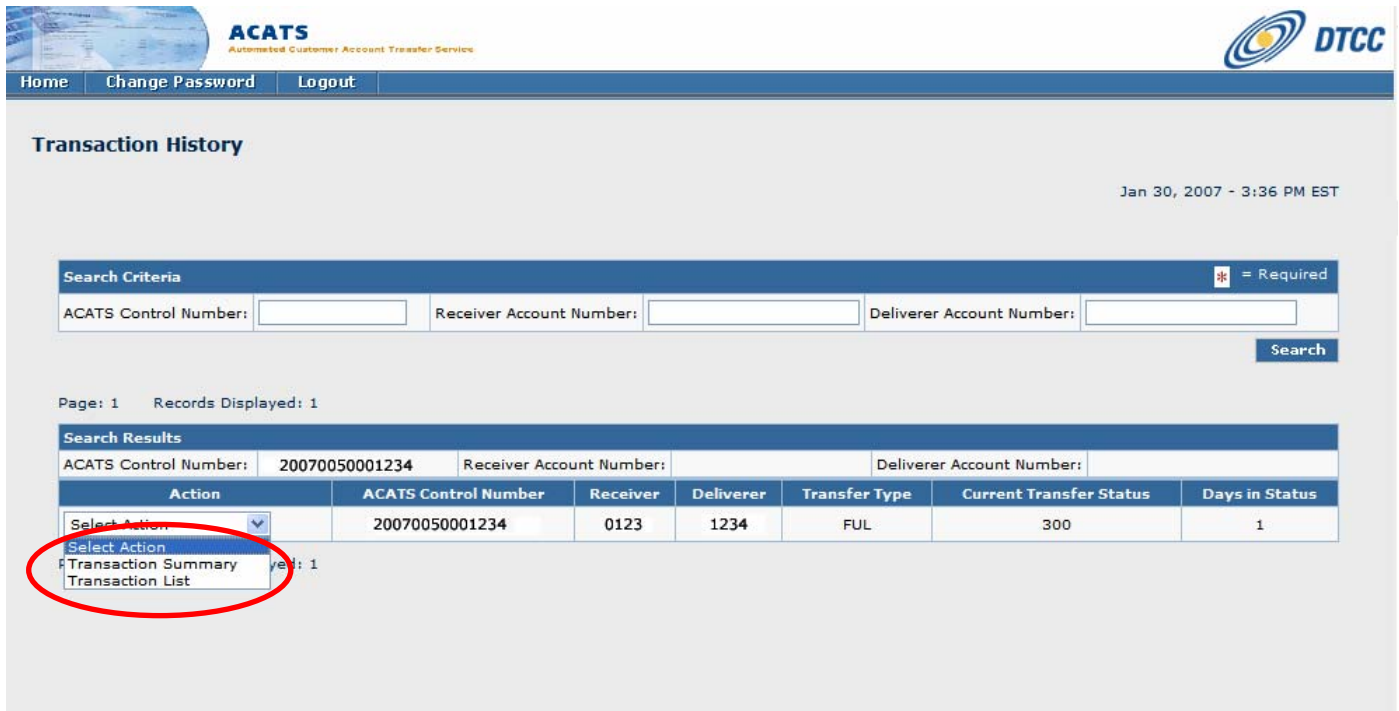
ACATS Control Number: Receiver Account Number: Deliverer Account Number:

Search

Your search results are displayed at the bottom of the Transaction History page.

3. In the Select Action field, choose **Transaction Summary** or **Transaction List**.

Note: The Transaction Summary displays transactions by Transaction Type and Action while the Transaction List displays all of the transactions for that transfer.



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Transaction History

Jan 30, 2007 - 3:36 PM EST

Search Criteria Ⓜ = Required

ACATS Control Number: Receiver Account Number: Deliverer Account Number:

Search

Page: 1 Records Displayed: 1

Search Results

ACATS Control Number: 20070050001234 Receiver Account Number: Deliverer Account Number:

Action	ACATS Control Number	Receiver	Deliverer	Transfer Type	Current Transfer Status	Days in Status
<div> <div>Select Action</div> <div> <div>Select Action</div> <div>Transaction Summary</div> <div>Transaction List</div> </div> </div>	20070050001234	0123	1234	FUL	300	1

4. If you selected Transaction Summary, the Transfer Transaction Summary page is displayed showing a list of transactions categorized by transaction type and action taken. Please go to step 5.
If you selected Transaction List, the Transaction List is displayed showing all the transactions for that transfer. Please go to step 6.
 5. On the Transfer Transaction Summary page, select the check boxes next to the transfer type(s) and action(s) you want to view and click **Search**. The Transaction List is displayed showing all the transactions for the transfer you selected.
- Note:** To locate a specific asset transaction, the asset sequence number, CUSIP, or option symbol may be entered.

Transfer Transaction Summary Jan 30, 2007 - 3:37 PM EST

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Transfer Information			
ACATS Control Number:	20070050001234	Receiver Account Number:	012345678
Transfer Type:	FUL	Receiver:	0123
Current Transfer Status:	300	Days in Status:	1
		Deliverer Account Number:	123456789
		Deliverer:	1234
		Settlement Date:	01/31/2007

Search

Select All	TransferType & Action	Transaction Count
<input type="checkbox"/>	TI ADD	1
<input type="checkbox"/>	TI CHG	0
<input type="checkbox"/>	TI ACL	0
<input type="checkbox"/>	TI REJ	0
<input checked="" type="checkbox"/>	AT ADD	69
<input type="checkbox"/>	AT CHG	0
<input type="checkbox"/>	AT DEL	0
<input type="checkbox"/>	FR ADD	0
<input type="checkbox"/>	IR ADD	0

Asset Sequence:

Cusip / Option Symbol:

Search [< Back](#)

The Transfer Transaction Summary page allows you to view either single or multiple transactions.

6. To see details, on the Transaction List, locate the transaction you want to review.

Tip: Notice the code displayed in the System Accepted/Rejected Column. The Data Field may be:

- Accepted (ACC)
- Modified (MOD) For example, an item may be accepted but ACATS has modified a field
- Rejected (REJ)

7. To see further details about the selected transaction, from the Transaction List, choose **Transaction Details** in the Select Action drop-down list.

Transaction List

Jan 30, 2007 - 3:29 PM EST

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Transfer Information					
ACATS Control Number:	20070050001234	Receiver Account Number:	012345678	Deliverer Account Number:	123456789
Transfer Type:	FUL	Receiver:	0123	Deliverer:	1234
Current Transfer Status:	300	Days in Status:	1	Settlement Date:	01/31/2007

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Action	Submitter	Process Date	Cycle #	Transaction Type	Transaction Action	Asset Sequence	Security ID	System Accepted/Rejected
Select Action	1234	01/26/2007	3	AT	A	000001		MOD
Select Action	0123	01/26/2007	3	AT	A	000002		MOD
Select Action	1234	01/26/2007	3	AT	A	000003	US00762W1071	MOD
Select Action Transaction Details	0123	01/26/2007	3	AT	A	000004	US02341W1036	MOD
Select Action	1234	01/26/2007	3	AT	A	000005	US00971T1016	MOD
Select Action	0123	01/26/2007	3	AT	A	000006	US0538931033	MOD
Select Action	1234	01/26/2007	3	AT	A	000007	US0162551016	MOD
Select Action	0123	01/26/2007	3	AT	A	000008	USG053841056	MOD
Select Action	1234	01/26/2007	3	AT	A	000009	US0292631001	MOD
Select Action	0123	01/26/2007	3	AT	A	000010	US1187591094	MOD


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The Asset Transfer Transaction Detail page is displayed.



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Asset Transfer Transaction Detail

Jan 30, 2007 - 3:41 PM EST

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Transfer Information					
ACATS Control Number:	20070050001234	Receiver Account Number:	012345678	Deliverer Account Number:	123456789
Transfer Type:	FUL	Receiver:	0123	Deliverer:	1234
Current Transfer Status:	300	Days in Status:	1	Settlement Date:	01/31/2007

Transaction Information					
Source:	CPU	Process Date:	01/26/2007	Cycle:	3
System Action:	MOD	System Reject Reason:		Transaction Transfer Status:	200

Asset Transfer Detail		
Field	Value	Status
Record Type:	AT	0
Record Length:	0431	0
Physical Sequence Number:	01	0
Logical Sequence Number:	01	0
Transaction Type:	A	0
ACATS Control Number:	20070050001234	0
Transfer Type:	FUL	0
Submitting Participant Number:	9999	0
Original Receiver Number:	0123	0
Original Deliverer Number:	1234	0
Transaction Reference ID:	2GP12345678	0
Asset Sequence Number:	000003	0
Asset Pricing Category:	EQU	0
Option Category:	00	0
Settling Location:	05	0
Settling Reason:		
Security Issue Country Code:	US	0
Security Issue ID:	12345W678	0
Security Issue Check Digit:	1	2
Asset Description:	ADVISORY BRD CO COM	2
Asset Quantity Request Indicator:		
Asset Request Transaction Code:		
Asset Quantity:	000000000000000035	0
Position Code:	L	0
ISO Currency Code:	USD	0
Asset Amount:	00000000001891,75	2
Bearer Bond:	N	0
Cash/Margin/Short Code:	C	0
When Issued Indicator:	N	0
Transfer Type Reason Code:		
MBS Serial Note:		
Asset Comment:	00762W107002F5 2GP1858810101002F5	0

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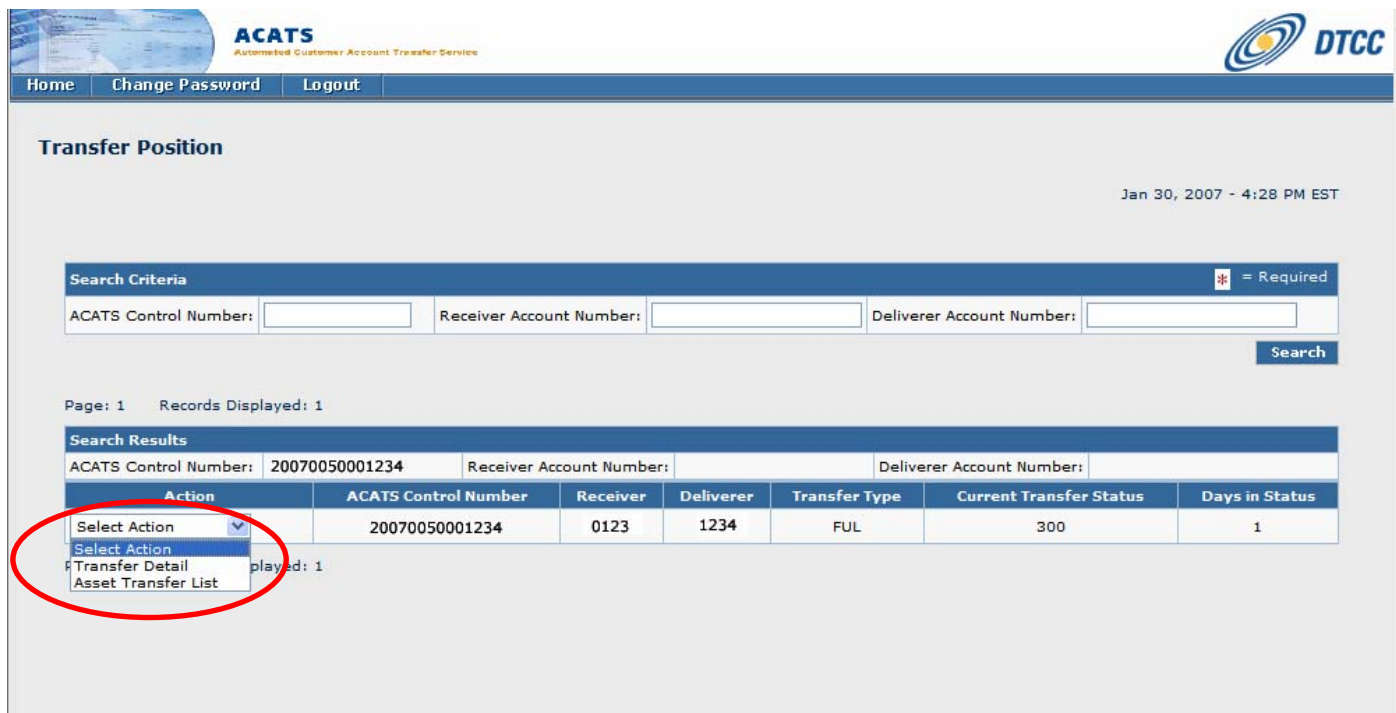
The Asset Transfer Transaction Detail page displays selected transactions with the associated values and statuses. Refer to your Multi Cycle ACATS Record Layouts to review status codes and values.

Note: On any Transaction Detail page, you can hover over items in the **Field** Column to view business rules associated with each type of transaction.

RESEARCHING POSITION INFORMATION FOR A TRANSFER

The Transfer Position page displays the ACATS control number, receiver number, deliverer number, transfer type, current transfer status and days in status.

1. On the ACATS Inquiry Main Menu page, click **Position**.
The Transfer Position page appears.
2. Type the ACATS control number in the **ACATS Control Number** field and click **Search**.
Note: You can also search by the receiver or deliverer account numbers.
Your search results appear at the bottom of the Transfer Position page.



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Transfer Position

Jan 30, 2007 - 4:28 PM EST

Search Criteria * = Required

ACATS Control Number: Receiver Account Number: Deliverer Account Number:

Search

Page: 1 Records Displayed: 1

Search Results

ACATS Control Number: 20070050001234 Receiver Account Number: Deliverer Account Number:

Action	ACATS Control Number	Receiver	Deliverer	Transfer Type	Current Transfer Status	Days in Status
<div style="border: 1px solid black; padding: 2px;"> Select Action Select Action Transfer Detail Asset Transfer List </div>	20070050001234	0123	1234	FUL	300	1


played: 1

The Transfer Position page allows you to view either the TIF-related details of the transfer or the list of assets associated with the transfer


3. In the Select Action drop-down list, choose either
 - Transfer Detail to view Transfer Initiation Form (TIF) related details, or
 - Asset Transfer List to view a list of the assets involved in the transfer.

Depending on your choice, either the Transfer Detail page or the Asset Transfer List page appears.

If you clicked **Transfer Detail**, the TIF related details are displayed.



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Transfer Detail

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Transfer Information					
ACATS Control Number:	20070050001234	Receiver Account Number:	012345678	Deliverer Account Number:	123456789
Transfer Type:	FUL	Receiver:	0123	Deliverer:	1234
Current Transfer Status:	300	Days in Status:	1	Settlement Date:	01/31/2007


Transfer Detail	
Field	Value
Submitting Participant Number:	9999
Original Receiver Customer Account Name:	Customer XYZ
Original Receiver Customer SS Number/Tax ID Primary:	999999999
Original Receiver Customer SS Number/Tax ID Secondary:	
Original Receiver Customer Account Type:	IR
Original Receiver OCC Broker Number:	
Original Receiver Correspondent:	T123
Transfer Type Reject:	
Associated ACATS Transfer Control Number:	
Associated Settlement Date:	
Transaction Reference ID:	123456789
Comments:	FAXED TIF , ATTN ACATS

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If you clicked Asset Transfer List, asset descriptions, settling locations, asset sequence numbers, and options categories for the individual assets are displayed.



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Asset Transfer List

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Transfer Information					
ACATS Control Number:	20070050001234	Receiver Account Number:	012345678	Deliverer Account Number:	123456789
Transfer Type:	FUL	Receiver:	0123	Deliverer:	1234
Current Transfer Status:	300	Days in Status:	1	Settlement Date:	01/31/2007


Page: 1 Records Displayed: 1 to 4 of 4

Action	Asset Sequence	Option Category	Actual Settling Location & Reason	Security ID	Asset Description
Select Action	1	00	40 CRED		CREDIT CASH BALANCE
Select Action	2	00	10	US5440011006	LORD ABBETT AFFILIATED FD INC CL A
Select Action	3	00	10	US6630388758	NORTH TRACK FDS INC NYSE ARCA TECH 100 INDEX FD CLA
Select Action	4	00	10	US68380D1081	OPPENHEIMER MAIN STR FDS INC CL A


Page: 1 Records Displayed: 1 to 4 of 4 [< Back](#)

- To see details for a particular asset, in the Asset Transfer List locate the asset you want to view and choose **Asset Transfer Details**, **FR Details** (ACATS Fund/SERV Processing), or **IR Details** (ACATS/IPS Processing) from the Select Action drop-down list.

The Asset Transfer Detail, Mutual Fund Registration Detail, or Insurance Registration Detail page is displayed.



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Asset Transfer Detail

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Transfer Information			
ACATS Control Number:	20070050001234	Receiver Account Number:	012345678
Transfer Type:	FUL	Receiver:	0123
Current Transfer Status:	300	Days in Status:	1
		Deliverer Account Number:	123456789
		Deliverer:	1234
		Settlement Date:	01/31/2007

Asset Detail	
Field	Value
Asset Sequence Number:	2
Security Issue Country Code:	US
Security Issue ID:	544001100
Security Issue Check Digit:	6
Asset Description:	LORD ABBETT AFFILIATED FD INC CL A
Requested Settling Location:	10
Requested Settling Reason:	
Actual Settling Location:	10
Actual Settling Reason:	
Asset Pricing Category:	MFNM
Option Category:	00
Asset Quantity Request Indicator:	
Asset Request Transaction Code:	
Asset Quantity:	411.003



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Mutual Fund Registration Detail

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Transfer Information			
ACATS Control Number:	20070050001234	Receiver Account Number:	012345678
Transfer Type:	FUL	Receiver:	0123
Current Transfer Status:	300	Days in Status:	1
		Deliverer Account Number:	123456789
		Deliverer:	1234
		Settlement Date:	01/31/2007

Mutual Fund Registration Detail	
Field	Value
Default Registration Indicator:	P
Asset Sequence Number:	2
Security Issue Country Code:	US
Security Issue ID:	544001100
Security Issue Check Digit:	
MF Transaction Type:	2
Fraction Indicator:	1
NRA Tax Percentage:	0
Account Transfer Disbursement - Accruals Code:	2
Account Transfer Disbursement - Fractional/Cash-in-Lieu Code:	1
Account Transfer Disbursement - Residuals Code:	1
Book/Physical Share Indicator:	0
PI Delivery Indicator:	
TPA Number:	



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Insurance Registration Detail


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Transfer Information			
ACATS Control Number:	20070050001234	Receiver Account Number:	012345678
Transfer Type:	FUL	Receiver:	0123
Current Transfer Status:	900	Days in Status:	17
		Deliverer Account Number:	123456789
		Deliverer:	1234
		Settlement Date:	01/04/2007

Insurance Registration Detail	
Field	Value
Asset Sequence Number:	5
Security Issue Country Code:	US
Security Issue ID:	416594877
Security Issue Check Digit:	3
Insurance Transfer Type:	01
Contract Number:	
Associated Firm ID:	1234
Owner Natural/Non-Natural Indicator:	
Owner Name:	
Owner ID:	
Owner ID Qualifier:	
Owner Address Line 1:	
Owner Address Line 2:	
Owner City :	

5. If the value in the Security Issue ID or Receiver / Deliverer field is underlined (hyperlinked) you can click the link to display the Asset Master Inquiry page or Participant Master Inquiry page.



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Asset Master Inquiry

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Search Results				
Cusip:	544001100		Option Symbol:	
Security ID	Asset Description	Price	IPO Indicator	Settlement Location
US5440011006	LORD ABBETT AFFILIATED FD INC CL A	15.25	0	10

Page: 1 Records Displayed: 1

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Participant Master Inquiry

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Search Results						
Participant Number:	0123		Description:	XYZ, INC.		
Participant Information						
Participant Type:	BKR					
TIF Block Indicator:	0					
Participant Tax ID:	123456789					
SRO Code:	1					
Cost Basis Indicator:	Y					
Cost Basis Effective Date:	10/17/2003					
Participant Settling Information						
Organization Number	Organization Name	Initiation Number	Deliverer Block Indicator	Receiver Block Indicator	Start Date	End Date
05	CNS	0161	N	N	05/01/1998	12/31/9999
10	F/S	0161	N	N	05/01/1998	12/31/9999
25	DTC	0161	Y	N	05/01/1998	12/31/9999
35	OCC	00161	N	N	05/01/1998	12/31/9999
60	IPS	0161	N	N	06/22/2005	12/31/9999
Participant Fund Registration Instructions						
Network Control Indicator:	0					
Dividend Code:	1					
Firm Membership Indicator:						
Customer Account Prefix:						
Customer Account Suffix:						
Customer Zip Code:	32246					
Customer Name/Address 5:	XYZ, INC. 55 WATER STREET					
Customer Name/Address 6:	NEW YORK, NY 10041					

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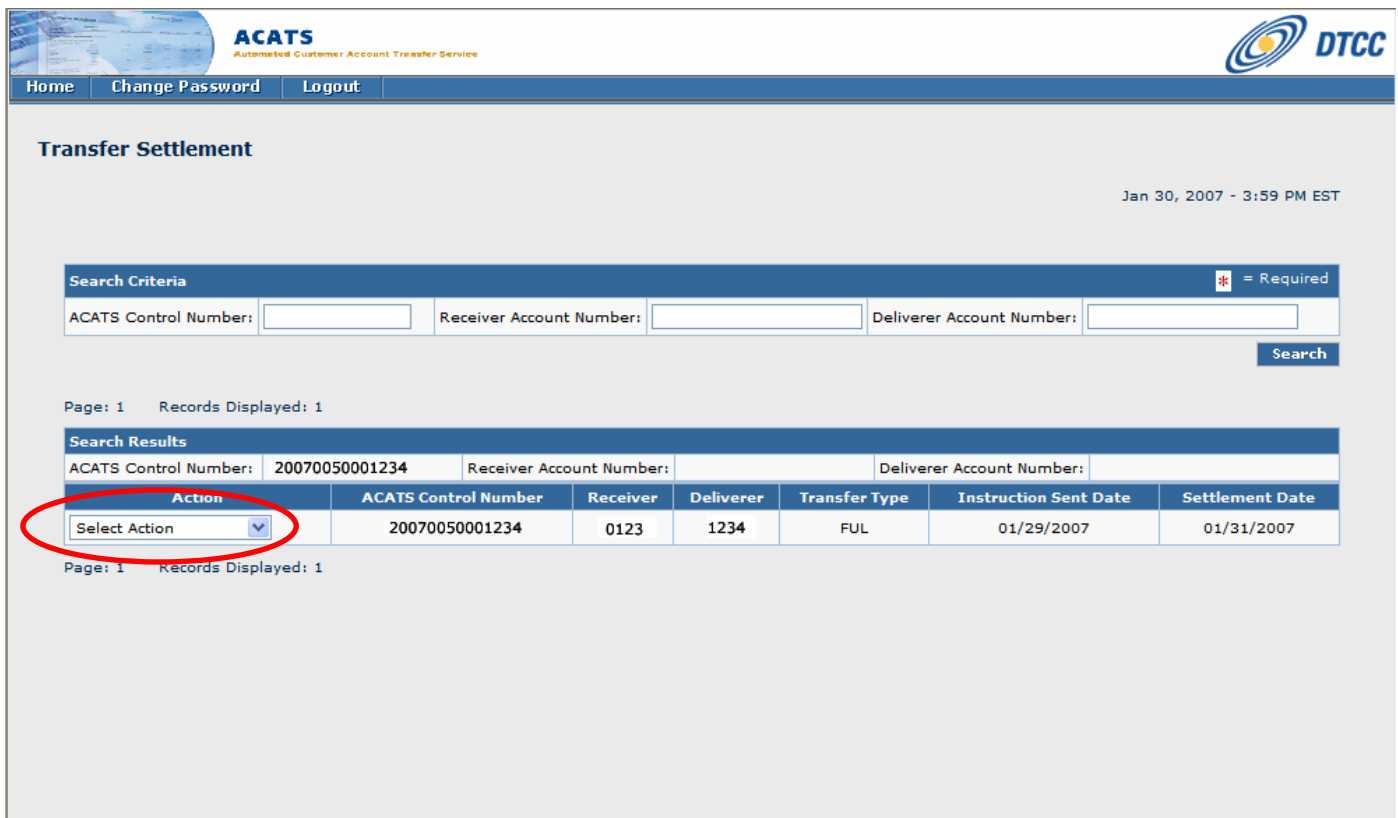
RESEARCHING SETTLEMENT INFORMATION FOR A TRANSFER

The Settlement Asset List page displays all assets associated with the selected ACATS Control Number. For each asset, the page displays the asset sequence number, actual settling location and reason, security ID, and asset description. This page displays only the assets which were included in the transfer that have reached settlement.

1. On the ACATS Inquiry Main Menu page, click **Settlement**.
The Transfer Settlement page appears.
2. Type the ACATS control number in the **ACATS Control Number** field and click **Search**.

Note: You can search by the receiver or deliverer account numbers.

Your search results appear at the bottom of the Transfer Settlement page.



The screenshot shows the ACATS Transfer Settlement page. At the top, there is a navigation bar with links: Home, Change Password, and Logout. The ACATS logo and DTCC logo are also present. The page title is "Transfer Settlement". Below the title, the date and time "Jan 30, 2007 - 3:59 PM EST" are displayed. A "Search Criteria" section contains three input fields: "ACATS Control Number", "Receiver Account Number", and "Deliverer Account Number". A "Search" button is located to the right of these fields. Below the search criteria, the page indicates "Page: 1 Records Displayed: 1". A "Search Results" table is shown with the following data:

Action	ACATS Control Number	Receiver	Deliverer	Transfer Type	Instruction Sent Date	Settlement Date
Select Action	20070050001234	0123	1234	FUL	01/29/2007	01/31/2007

Below the table, it indicates "Page: 1 Records Displayed: 1". A red circle highlights the "Select Action" dropdown menu in the first row of the table.

3. In the Select Action drop-down list, choose **Settlement Asset List**.

The Settlement Asset List page appears with transactions listed by asset sequence.

Settlement Asset List

Jan 30, 2007 - 4:04 PM EST

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Settlement Asset List					
ACATS Control Number:	20070050001234	Receiver Account Number:	012345678	Deliverer Account Number:	123456789
Transfer Type:	FUL	Receiver:	0123	Deliverer:	1234
Current Transfer Status:	300	Instruction Sent Date:	01/29/2007	Settlement Date:	01/31/2007

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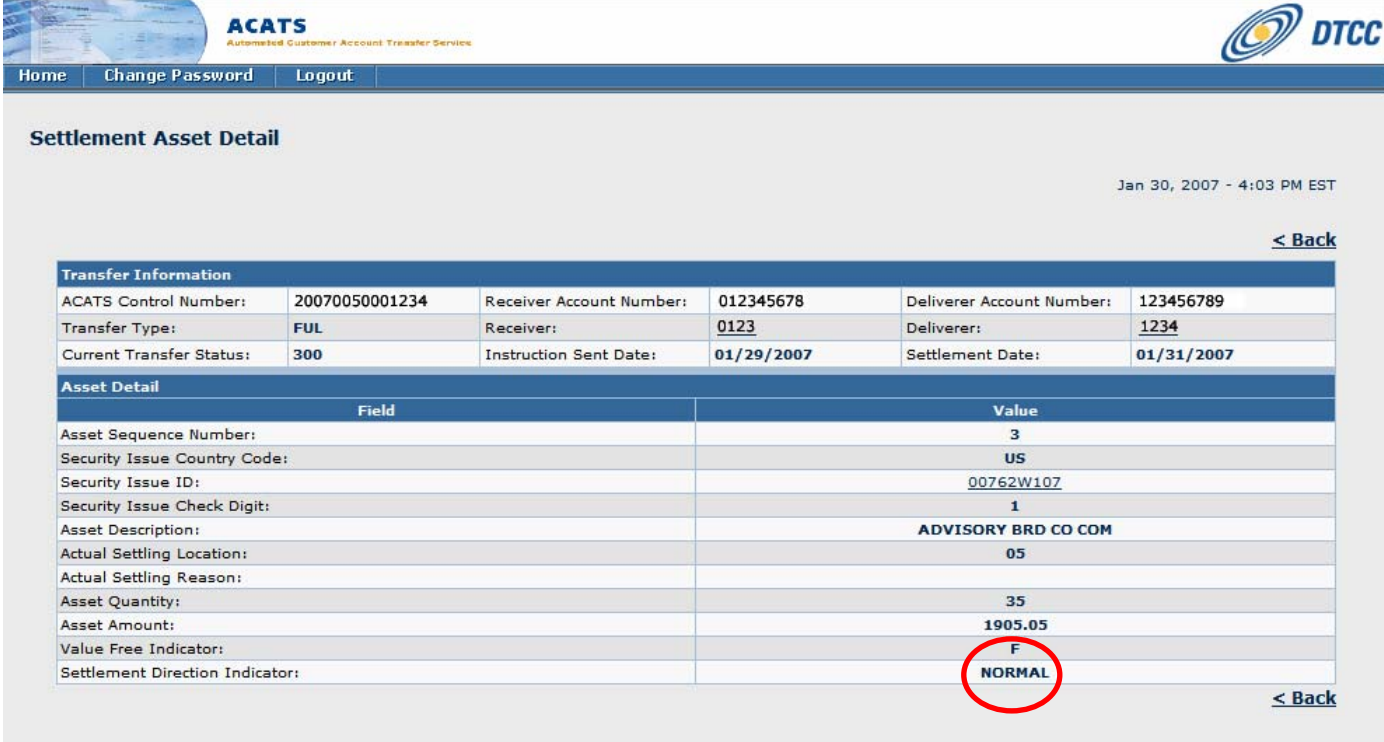
Action	Asset Sequence	Actual Settling Location & Reason	Security ID	Asset Description
Select Action ▼	1	45 COMT		*CASH* ,FOR95.0000 ,HELD BACKTO COVER FEES
Select Action ▼	2	40 CRED		CREDIT CASH BALANCE
Select Action ▼	3	05	US00762W1071	ADVISORY BRD CO COM
Select Action ▼ Settlement Asset Details	4	05	US02341W1036	AMCOL INTL CORP COM
Select Action ▼	5	05	US00971T1016	AKAMAI TECHNOLOGIES INC COM
Select Action ▼	6	05	US0538931033	AVOCENT CORP COM
Select Action ▼	7	05	US0162551016	ALIGN TECHNOLOGY INC COM
Select Action ▼	8	05	USG053841056	ASPEN INSURANCE HOLDINGS LTD ORD
Select Action ▼	9	05	US0292631001	AMERICAN REPROGRAPHICS CO COM
Select Action ▼	10	05	US1187591094	BUCYRUS INTL INC NEW CL A

Page: 1 Records Displayed: 1 to 10 of 69

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- In the Select Action drop-down list, locate the asset you want to view and choose **Settlement Asset Details**.

The Settlement Asset Details page appears.



The screenshot shows the ACATS Settlement Asset Detail page. At the top, there is a navigation bar with links: Home, Change Password, and Logout. The ACATS logo and DTCC logo are also present. The page title is "Settlement Asset Detail". The date and time are "Jan 30, 2007 - 4:03 PM EST". There is a "< Back" link in the top right corner.

Transfer Information

ACATS Control Number:	20070050001234	Receiver Account Number:	012345678	Deliverer Account Number:	123456789
Transfer Type:	FUL	Receiver:	0123	Deliverer:	1234
Current Transfer Status:	300	Instruction Sent Date:	01/29/2007	Settlement Date:	01/31/2007

Asset Detail

Field	Value
Asset Sequence Number:	3
Security Issue Country Code:	US
Security Issue ID:	00762W107
Security Issue Check Digit:	1
Asset Description:	ADVISORY BRD CO COM
Actual Settling Location:	05
Actual Settling Reason:	
Asset Quantity:	35
Asset Amount:	1905.05
Value Free Indicator:	F
Settlement Direction Indicator:	NORMAL

There is a red circle around the "NORMAL" value in the Settlement Direction Indicator field. A "< Back" link is located at the bottom right of the page.

The Settlement Asset Detail page allows you to view the sequence number for individual assets, descriptions, and other values associated with the asset.

Note: The Settlement Direction Indicator displays Normal or Reverse to indicate which party will be credited or debited as part of the delivery incentive charges in ACATS.

Case Studies

Detailed below are several case studies to help you learn about common scenarios for which you will need to research status, position, and settlement information for a transaction using the ACATS Activity History Inquiry pages. Below each case study, you will see the procedure to research the ACATS transaction.

STATUS CASE STUDY 1

Rejecting a Residual Credit (RCR) transaction using an invalid reject code.

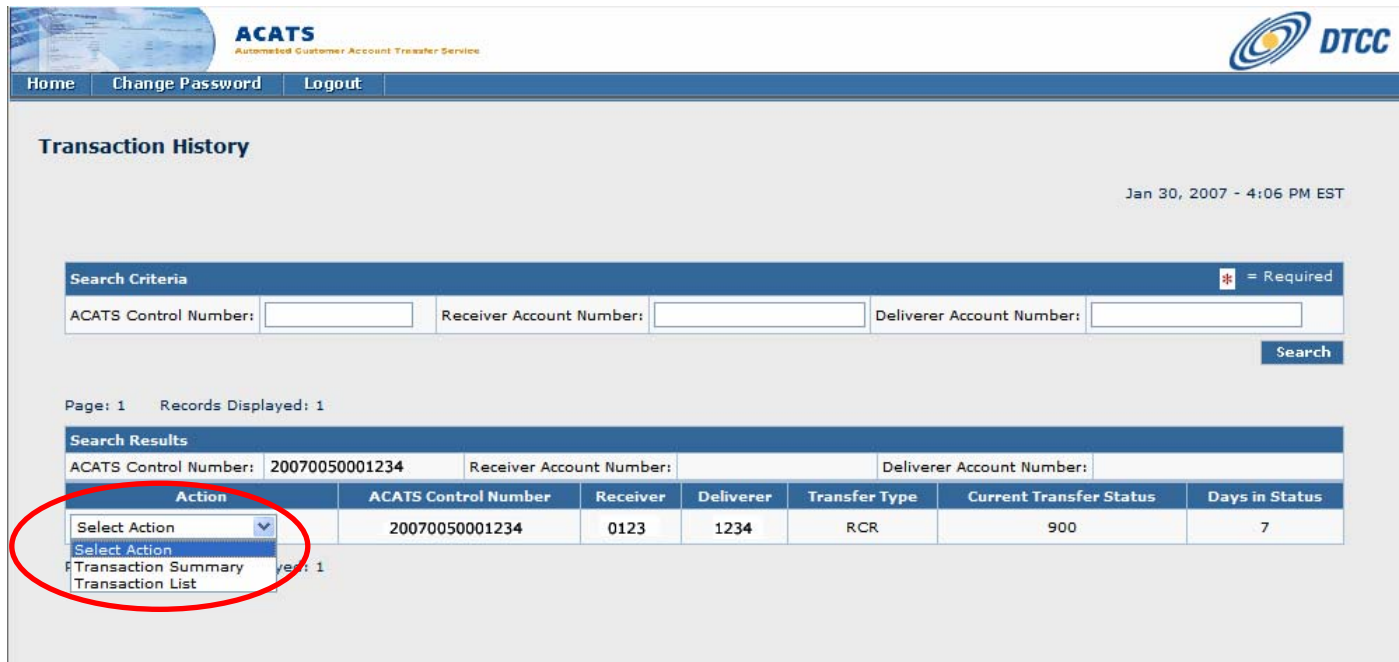
Resolution of Status Case Study 1

In this example, the asset's status is 'Rejected'. A Residual Credit transfer was entered and the receiving firm attempted to reject the transfer using code 21 (which is invalid). The transfer should have been rejected using the correct code (which, in this instance, is 22).

1. On the ACATS Inquiry Main Menu, click **Transaction History**.
The Transaction History page is displayed.
2. Type the ACATS control number in the **ACATS Control Number** field and click **Search**.
Note: You can also search by the receiver or deliverer account numbers.

The screenshot displays the ACATS Transaction History page. At the top, there is a navigation bar with links for Home, Change Password, and Logout. The ACATS logo is on the left, and the DTCC logo is on the right. The main heading is "Transaction History". Below this, the date and time "Jan 30, 2007 - 3:28 PM EST" are shown. The search criteria section is highlighted with a red circle. It contains three input fields: "ACATS Control Number" (with the value "20070050001234"), "Receiver Account Number", and "Deliverer Account Number". To the right of these fields is a "Search" button, also circled in red. A legend indicates that an asterisk (*) denotes a required field.

Your search results are displayed at the bottom of the Transaction History page.



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Transaction History

Jan 30, 2007 - 4:06 PM EST

Search Criteria * = Required


ACATS Control Number: Receiver Account Number: Deliverer Account Number:

Search

Page: 1 Records Displayed: 1

Search Results

ACATS Control Number: 20070050001234 Receiver Account Number: Deliverer Account Number:

Action	ACATS Control Number	Receiver	Deliverer	Transfer Type	Current Transfer Status	Days in Status
Select Action 	20070050001234	0123	1234	RCR	900	7

Select Action
Transaction Summary
Transaction List

Page: 1

3. In the Select Action field, click **Transaction List**.

The Transaction List is displayed.

Transaction List

Jan 30, 2007 - 4:07 PM EST

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Transfer Information			
ACATS Control Number:	20070050001234	Receiver Account Number:	012345678
Transfer Type:	RCR	Receiver:	0123
Current Transfer Status:	900	Deliverer Account Number:	123456789
		Deliverer:	1234
		Days in Status:	7
		Settlement Date:	01/19/2007

Page: 1 Records Displayed: 1 to 3 of 3

Action	Submitter	Process Date	Cycle #	Transaction Type	Transaction Action	Asset Sequence	Security ID	System Accepted/Rejected
Select Action	0123	01/18/2007	1	TI	A	000000		ACC
Select Action	0123	01/18/2007	1	TI	A	000000		MOD
Select Action	0123	01/18/2007	5	TI	R	000000		REJ

Transaction Details played: 1 to 3 of 3

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4. Locate the transaction which has been rejected.

Tip: Notice the code displayed in the System Accepted/Rejected Column.

5. In the Select Action drop-down list, choose **Transaction Details** to see further details about the selected transaction.

The Transfer Transaction Detail page is displayed.

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Transfer Transaction Detail

Jan 30, 2007 - 4:08 PM EST

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Transfer Information			
ACATS Control Number:	2007005001234	Receiver Account Number:	012345678
Transfer Type:	RCR	Receiver:	0123
Current Transfer Status:	900	Days in Status:	7
		Settlement Date:	01/19/2007
Transaction Information			
Source:	CPU	Process Date:	01/18/2007
System Action:	REJ	System Reject Reason:	01
		Transaction Transfer Status:	
Field	Value	Status	
Record Type:	TI	0	
Record Length:	0356	0	
Physical Sequence Number:	01	0	
Logical Sequence Number:	01	0	
Transaction Type:	R	0	
ACATS Control Number:	2007005001234	0	
Transfer Type:	RCR	0	
Submitting Participant Number:	9999	0	
Original Receiver Number:	0123	0	
Original Deliverer Number:	1234	0	
Original Receiver Customer Account Number:	PT 03859	0	
Original Receiver Customer Account Name:	CUSTOMER XYZ	0	
Original Receiver Customer SS Number/Tax ID Primary:	999999999	0	
Original Receiver Customer SS Number/Tax ID Secondary:		0	
Original Receiver Customer Account Type:	JT	0	
Original Receiver OCC Broker Number:			
Original Receiver Correspondent:		0	
Original Deliverer Customer Account Number:		0	
Transfer Type Reject:	21	3	
Associated ACATS Transfer Control Number:		0	
Associated Settlement Date:			
Transaction Reference ID:	X12345678	0	
Comments:	CASE 99999 **	1	

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The Receiver attempted to reject the RCR transaction using Reject Code 21. The only valid Reject Code that can be used to reject a RCR transaction is Reject Code 22. The ACATS system did not accept this reject transaction submitted by the ACATS Receiving Participant.

STATUS CASE STUDY 2

The option asset was rejected because the symbol was not found in the Asset Master Database.

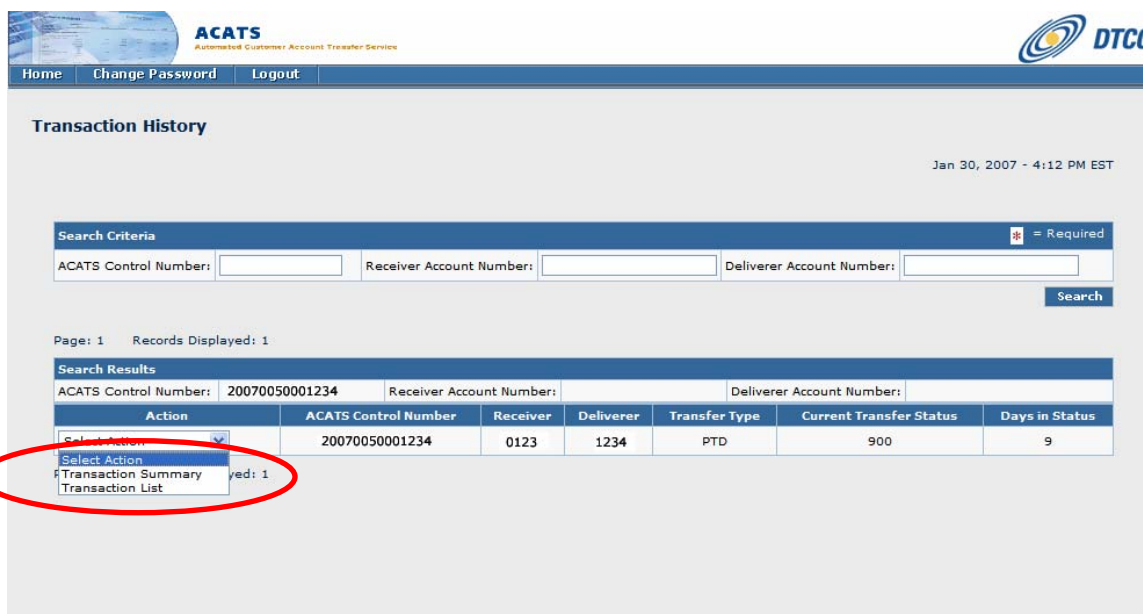
Resolution of Status Case Study 2

In this example, the option symbol was input incorrectly. The combination of the option symbol, expiration date, and strike price does not exist in the Asset Master Database.

1. On the ACATS Inquiry Main Menu page, click **Transaction History**. The Transaction History page is displayed.
2. Type the ACATS control number into the **ACATS Control Number** field and click **Search**.

Note: You can also search by the receiver or deliverer account numbers.

Your search results are displayed at the bottom of the Transaction History page.




The screenshot displays the ACATS Transaction History page. At the top, there is a navigation bar with links: Home, Change Password, and Logout. The page title is 'Transaction History' and the date/time is 'Jan 30, 2007 - 4:12 PM EST'. Below the title is a 'Search Criteria' section with three input fields: 'ACATS Control Number', 'Receiver Account Number', and 'Deliverer Account Number'. A 'Search' button is located to the right of these fields. Below the search criteria is a 'Search Results' section. It shows the search criteria used: 'ACATS Control Number: 20070050001234', 'Receiver Account Number: 0123', and 'Deliverer Account Number: 1234'. Below this is a table with the following columns: Action, ACATS Control Number, Receiver, Deliverer, Transfer Type, Current Transfer Status, and Days in Status. The table contains one row of data. The 'Action' column has a dropdown menu open, showing three options: 'Select Action', 'Transaction Summary', and 'Transaction List'. The 'Transaction Summary' option is highlighted. The table data is as follows:

Action	ACATS Control Number	Receiver	Deliverer	Transfer Type	Current Transfer Status	Days in Status
Select Action Transaction Summary Transaction List	20070050001234	0123	1234	PTD	900	9


3. In the Select Action drop-down list, choose **Transaction Summary**.

The **Transfer Transaction Summary** page is displayed showing a list of transactions categorized by transaction type and action taken.

4. Select the check box next to the value **AT ADD** in the Transfer Type & Action column, and click **Search**.



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Transfer Transaction Summary

Jan 30, 2007 - 4:13 PM EST

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Transfer Information			
ACATS Control Number:	20070050001234	Receiver Account Number:	012345678
Transfer Type:	PTD	Receiver:	0123
Current Transfer Status:	900	Days in Status:	9
		Deliverer Account Number:	123456789
		Deliverer:	1234
		Settlement Date:	

Select All	TransferType & Action	Transaction Count
<input type="checkbox"/>	TI ADD	1
<input type="checkbox"/>	TI CHG	0
<input type="checkbox"/>	TI ACL	0
<input type="checkbox"/>	TI REJ	0
<input checked="" type="checkbox"/>	AT ADD	4
<input type="checkbox"/>	AT CHG	0
<input type="checkbox"/>	AT DEL	0
<input type="checkbox"/>	FR ADD	0
<input type="checkbox"/>	IR ADD	0

Asset Sequence:

Cusip / Option Symbol:

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The Transaction List is displayed.

Transaction List

Jan 30, 2007 - 4:14 PM EST

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Transfer Information					
ACATS Control Number:	20070050001234	Receiver Account Number:	012345678	Deliverer Account Number:	123456789
Transfer Type:	PTD	Receiver:	0123	Deliverer:	1234
Current Transfer Status:	900	Days in Status:	9	Settlement Date:	

Page: 1 Records Displayed: 1 to 4 of 4

Action	Submitter	Process Date	Cycle #	Transaction Type	Transaction Action	Asset Sequence	Security ID	System Accepted/Rejected
Select Action	0123	01/17/2007	3	AT	A	000001		REJ
Select Action	0123	01/17/2007	3	AT	A	000002		REJ
Select Action	0123	01/17/2007	3	AT	A	000003		REJ
Select Action Transaction Details	0123	01/17/2007	3	AT	A	000004		REJ

Page: 1 Records Displayed: 1 to 4 of 4

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5. Locate the transaction you want to review and choose **Transaction Details** in the Select Action drop-down list.

The Asset Transfer Transaction Detail page is displayed.


Cash/Margin/Short Code:	M	0
When Issued Indicator:		
Transfer Type Reason Code:		
MBS Serial Note:		
Asset Comment:	0003	0
Option Buy - Sell Indicator:	S	0
Option Put - Call Indicator:	P	0
Option Open - Close Indicator:	C	0
Option Symbol:	LSY	3
Option Expiration Date:	120520	3
Option Strike Price Integer:	00100	3
Option Strike Price Fraction/Decimal:	00	3
Option Decimal Fraction Indicator:		N/A
Option OCC Deliverer Number:		
Option Account Type:	C	0
Sub Account ID:		
Option Comment:		


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The option asset, which was loaded in ACATS by the Deliverer, contained an invalid Option Symbol. The Option Symbol was not recognized as a valid symbol in the ACATS Master Database.

- On the Asset Transfer Transaction Detail page, in the Option Symbol Value Column, click the hyperlink to view a list of options available for this symbol.

The Asset Master Inquiry page is displayed.


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Asset Master Inquiry

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Page: 1 Records Displayed: 0

Search Results			
Cusip:		Option Symbol:	LSY
Security ID	Price	Option Decimal/Fraction Indicator	Settlement Location
No records were found matching your request.			

Page: 1 Records Displayed: 0

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In this example, no options are available for this symbol because the option symbol was input incorrectly.

STATUS CASE STUDY 3

A participant has submitted an incorrect expiration date for an option asset.

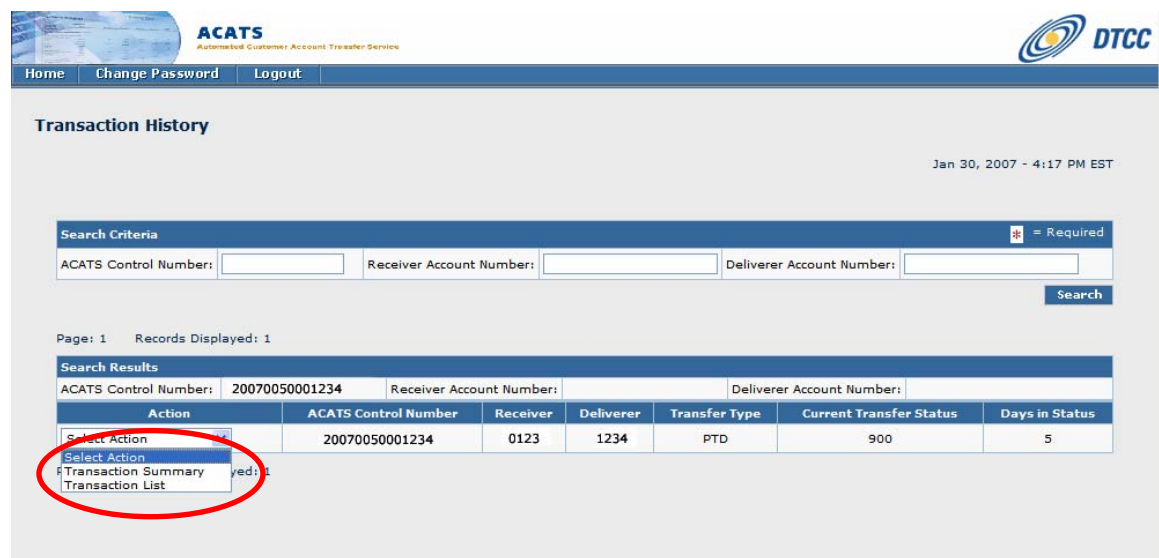
Resolution of Status Case Study 3

In this example, the expiration date of the option asset is incorrect. You should review the details of the option's symbol, strike price, and expiration date on the Transaction List screen to determine that all items are correct.

1. On the ACATS Inquiry Main Menu page, click **Transaction History**.
The Transaction History page is displayed.
2. Type the ACATS control number into the **ACATS Control Number** field and click **Search**.

Note: You can also search by the receiver or deliverer account numbers.

Your search results are displayed at the bottom of the Transaction History page.



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Transaction History

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Search Criteria * = Required

ACATS Control Number: Receiver Account Number: Deliverer Account Number:

Search

Page: 1 Records Displayed: 1

Search Results

Action	ACATS Control Number	Receiver	Deliverer	Transfer Type	Current Transfer Status	Days in Status
Select Action	20070050001234	0123	1234	PTD	900	5

Select Action
Transaction Summary
Transaction List

3. In the Select Action drop-down list, choose **Transaction Summary**.

The **Transfer Transaction Summary** page is displayed showing a list of transactions categorized by transaction type and action taken.

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Transfer Transaction Summary

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Transfer Information			
ACATS Control Number:	20070050001234	Receiver Account Number:	012345678
Transfer Type:	PTD	Receiver:	0123
Current Transfer Status:	900	Days in Status:	5
		Deliverer Account Number:	123456789
		Deliverer:	1234
		Settlement Date:	

Search

Select All	TransferType & Action	Transaction Count
<input type="checkbox"/>	TI ADD	1
<input type="checkbox"/>	TI CHG	0
<input type="checkbox"/>	TI ACL	0
<input type="checkbox"/>	TI REJ	0
<input checked="" type="checkbox"/>	AT ADD	3
<input type="checkbox"/>	AT CHG	0
<input type="checkbox"/>	AT DEL	0
<input type="checkbox"/>	FR ADD	0
<input type="checkbox"/>	IR ADD	0

Asset Sequence:

Cusip / Option Symbol:

Search

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4. Select the check box next to the value **AT ADD** in the Transfer Type & Action column and click **Search**.

The Transaction List is displayed.

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Transaction List

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Transfer Information			
ACATS Control Number:	20070050001234	Receiver Account Number:	012345678
Transfer Type:	PTD	Receiver:	0123
Current Transfer Status:	900	Days in Status:	5
		Deliverer Account Number:	123456789
		Deliverer:	1234
		Settlement Date:	

Page: 1 Records Displayed: 1 to 3 of 3

Action	Submitter	Process Date	Cycle #	Transaction Type	Transaction Action	Asset Sequence	Security ID	System Accepted/Rejected
Select Action	0123	01/23/2007	3	AT	A	000001		REJ
Select Action	0123	01/23/2007	3	AT	A	000002		REJ
Select Action	0123	01/23/2007	3	AT	A	000003		REJ

Page: 1 Records Displayed: 1 to 3 of 3

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- Locate the transaction you want to review

Tip: Notice the code displayed in the System Accepted / Rejected Column.

To see further details about the selected transaction, choose **Transaction Details** in the Select Action drop-down list

The Asset Transfer Transaction Detail page is displayed.

Security Issue ID:		
Security Issue Check Digit:		
Asset Description:		
Asset Quantity Request Indicator:		
Asset Request Transaction Code:		
Asset Quantity:	000000000000000002	0
Position Code:		2
ISO Currency Code:	USD	0
Asset Amount:	000000000000000000	2
Bearer Bond:		2
Cash/Margin/Short Code:		
When Issued Indicator:		2
Transfer Type Reason Code:		
MBS Serial Note:		
Asset Comment:		
Option Buy - Sell Indicator:	S	0
Option Put - Call Indicator:	C	0
Option Open - Close Indicator:	C	0
Option Symbol:	WXO	3
Option Expiration Date:	010720	3
Option Strike Price Integer:	00075	3
Option Strike Price Fraction/Decimal:	00	3
Option Decimal Fraction Indicator:		N/A
Option OCC Deliverer Number:		
Option Account Type:	C	0
Sub Account ID:		
Option Comment:		

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- To research why the option asset was rejected, click on the Option Symbol hyperlink to view a list of valid options available on the ACATS Asset Master Database.

The Asset Master Inquiry page is displayed.

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Asset Master Inquiry

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Page: 1 Records Displayed: 1 to 10 of 15

Search Results

Cusip: Option Symbol: WXO

Security ID	Price	Option Decimal/Fraction Indicator	Settlement Location
WXO 2008010003500	35.000	F	35
WXO 2008010004000	40.000	F	35
WXO 2008010004500	45.000	F	35
WXO 2008010005000	50.000	F	35
WXO 2008010005500	55.000	F	35
WXO 2008010006000	60.000	F	35
WXO 2008010006500	65.000	F	35
WXO 2008010006704	67.500	F	35
WXO 2008010007000	70.000	F	35
WXO 2008010007204	72.500	F	35

Page: 1 Records Displayed: 1 to 10 of 15

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The Asset Master Inquiry page reflects the correct price and expiration date for this option symbol. The information that was submitted for this option (symbol, expiration date, and strike price) does not match any options displayed on this screen, and this is why the option was rejected. The Deliverer submitted an expiration date of 01/2007 with a strike price of 75 dollars. In the example above, the expiration date is out of range.

POSITION CASE STUDY

The receiving firm did not submit a Fund Registration (FR) record. Therefore, default registration processing occurred.

Resolution of Position Case Study

In this example, you want to view Default Fund Registration details.

1. On the ACATS Inquiry Main Menu page, click **Position**.
The Transfer Position page appears.
2. Type the ACATS control number in the **ACATS Control Number** field and click **Search**.

Note: You can also search by the receiver or deliverer account numbers.
Your search results appear at the bottom of the Transfer Position page.

The screenshot shows the ACATS Transfer Position page. At the top, there is a navigation bar with links: Home, Change Password, and Logout. The ACATS logo and DTCC logo are also present. The page title is "Transfer Position". Below the title, there is a search criteria section with three input fields: "ACATS Control Number", "Receiver Account Number", and "Deliverer Account Number". A "Search" button is located to the right of these fields. Below the search criteria, there is a "Search Results" section. It shows a table with one record. The "Action" column has a drop-down menu with options: "Select Action", "Transfer Detail", and "Asset Transfer List". The "Asset Transfer List" option is highlighted with a red circle. The table columns are: Action, ACATS Control Number, Receiver, Deliverer, Transfer Type, Current Transfer Status, and Days in Status. The record shows ACATS Control Number 20070050001234, Receiver 0123, Deliverer 1234, Transfer Type FUL, Current Transfer Status 300, and Days in Status 1.

Action	ACATS Control Number	Receiver	Deliverer	Transfer Type	Current Transfer Status	Days in Status
Select Action	20070050001234	0123	1234	FUL	300	1

3. To view a list of the assets involved in the transfer, in the Select Action drop-down list, choose **Asset Transfer List**.

The Asset Transfer List is displayed showing the settling locations, sequence and options categories for the individual assets.

4. Locate the asset you want to view in the list and choose **FR Details** in the Select Action drop-down list.

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Asset Transfer List

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Transfer Information			
ACATS Control Number:	20070050001234	Receiver Account Number:	012345678
Transfer Type:	FUL	Receiver:	0123
Current Transfer Status:	300	Deliverer Account Number:	123456789
		Deliverer:	1234
		Days in Status:	1
		Settlement Date:	01/31/2007


Page: 1 Records Displayed: 1 to 6 of 6

Action	Asset Sequence	Option Category	Actual Settling Location & Reason	Security ID	Asset Description
Select Action	1	00	40 DEB		DEBIT CASH BALANCE
Select Action	2	00	10	US1405411034	CAPITAL WORLD BD FD SH BEN INT
Select Action	3	00	10	US2987061023	EUROPAC GROWTH FD SH BEN INT
Select Action	4	00	10	US3608021024	FUNDAMENTAL INVS INC CL A
Select Action	5	00	10	US3998741066	GROWTH FD AMER INC CL A
Select Action	6	00	10	US8316811012	SMALLCAP WORLD FD INC COM


Asset Transfer Details
FR Details

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The Mutual Fund Registration Detail page is displayed.



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Mutual Fund Registration Detail

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Transfer Information			
ACATS Control Number:	20070050001234	Receiver Account Number:	012345678
Transfer Type:	FUL	Receiver:	0123
Current Transfer Status:	300	Days in Status:	1
		Deliverer Account Number:	123456789
		Deliverer:	1234
		Settlement Date:	01/31/2007

Mutual Fund Registration Detail	
Field	Value
Default Registration Indicator:	D
Asset Sequence Number:	6
Security Issue Country Code:	US
Security Issue ID:	12345W678
Security Issue Check Digit:	2
MF Transaction Type:	1
Fraction Indicator:	1
NRA Tax Percentage:	0
Account Transfer Disbursement - Accruals Code:	4
Account Transfer Disbursement - Fractional/Cash-in-Lieu Code:	4
Account Transfer Disbursement - Residuals Code:	4
Book/Physical Share Indicator:	0
PI Delivery Indicator:	

In this example, the value of 'D' in the Default Registration Indicator field indicates that default Fund Registration Instructions were sent to the Fund and not Participant instructions. This information is displayed only on the Fund Registration Detail page.

SETTLEMENT CASE STUDY

The participant expects the security to settle in ACATS settling location CNS (05); however, the security is not eligible to settle in CNS and will be settled via Receiver and Deliverer (R&D) instructions.

Resolution of Settlement Case Study

In this example, the settlement location for the asset differs from what the participant expected. You should check that the asset is eligible to settle at the expected location.

1. On the ACATS Inquiry Main Menu page, click **Settlement**.
The Transfer Settlement page appears.
2. Type the ACATS control number in the **ACATS Control Number** field and click **Search**.

Note: You can search by the receiver or deliverer account numbers.

Your search results appear at the bottom of the Transfer Settlement page.

The screenshot shows the ACATS Transfer Settlement page. At the top, there is a navigation bar with links: Home, Change Password, and Logout. The ACATS logo and DTCC logo are also present. The page title is "Transfer Settlement" and the timestamp is "Jan 30, 2007 - 4:31 PM EST".

Search Criteria

ACATS Control Number: Receiver Account Number: Deliverer Account Number: # = Required

Search

Page: 1 Records Displayed: 1

Search Results


Action	ACATS Control Number	Receiver	Deliverer	Transfer Type	Instruction Sent Date	Settlement Date
<div style="border: 2px solid red; border-radius: 50%; padding: 2px;"> Select Action Select Action Settlement Asset List </div>	20070050001234	0123	1234	FUL	01/12/2007	01/17/2007

Settlement Asset List: 1


3. To view a list of assets involved in the transfer, in the Select Action drop-down list, choose **Settlement Asset List**.

The Settlement Asset List page appears with transactions listed by asset sequence.

4. Locate the asset you want to view and choose **Settlement Asset Details** in the Select Action drop-down list.



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Automated Customer Account Transfer Service



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Settlement Asset List

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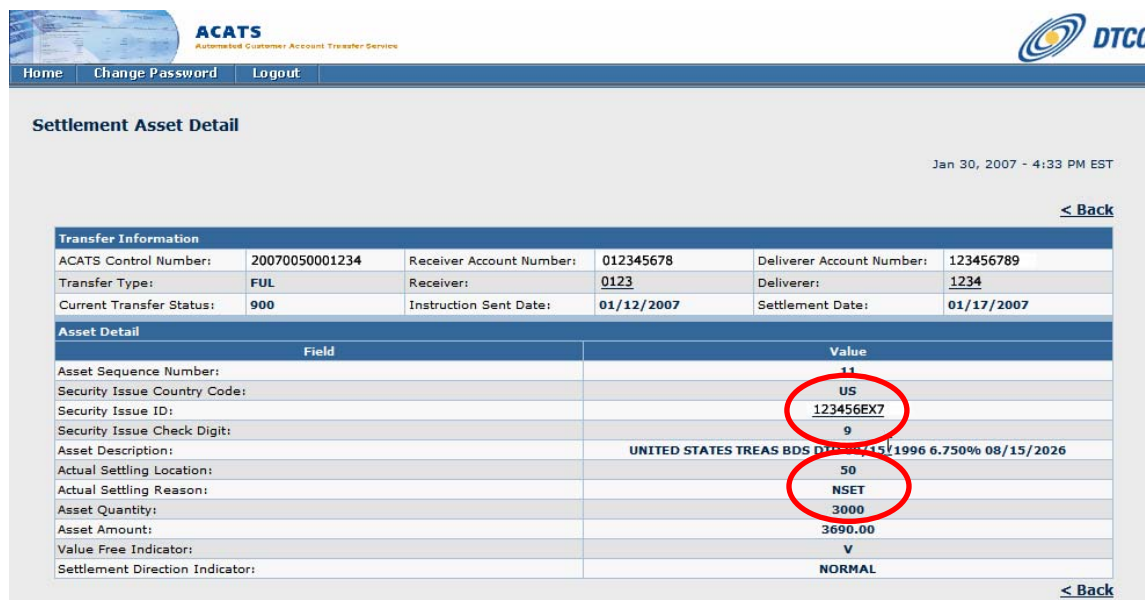
Settlement Asset List					
ACATS Control Number:	20070050001234	Receiver Account Number:	012345678	Deliverer Account Number:	123456789
Transfer Type:	FUL	Receiver:	0123	Deliverer:	1234
Current Transfer Status:	900	Instruction Sent Date:	01/12/2007	Settlement Date:	01/17/2007

Page: 2 Records Displayed: 11 to 20 of 80

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Action	Asset Sequence	Actual Settling Location & Reason	Security ID	Asset Description
Select Action	11	50 NSET	US912810EX29	UNITED STATES TREAS BDS DTD 08/15/1996 6.750% 08/15/2026
Select Action	12	50 NSET	US912810FJ26	UNITED STATES TREAS BDS DTD 08/16/1999 6.125% 08/15/2029
Select Action	13	50 NSET	US912810EG95	UNITED STATES TREAS BDS DTD 08/15/1990 8.750% 08/15/2020
Select Action	14	50 NSET	US31359MJH79	FEDERAL NATL MTG ASSN DTD 05/25/2001 6.000% 05/15/2011
Select Action	15	50 NSET	US31402QYS47	06.500FNMS350101BE#MBS FIXED RATE
Select Action	16	50 NSET	US31376KNN27	05.500FNMS350601BE#MBS FIXED RATE
Select Action	17	50 NSET	US31406VCA26	05.500FNMS350401BE#MBS FIXED RATE
Select Action	18	50 NSET	US31402RDP10	06.500FNMS350401BE#MBS FIXED RATE
Select Action	19	50 NSET	US31371MLB18	05.500FNMS351101BE#MBS FIXED RATE
Select Action	20	05	US00206R1023	AT&T INC COM

The Settlement Asset Detail page appears.



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Settlement Asset Detail

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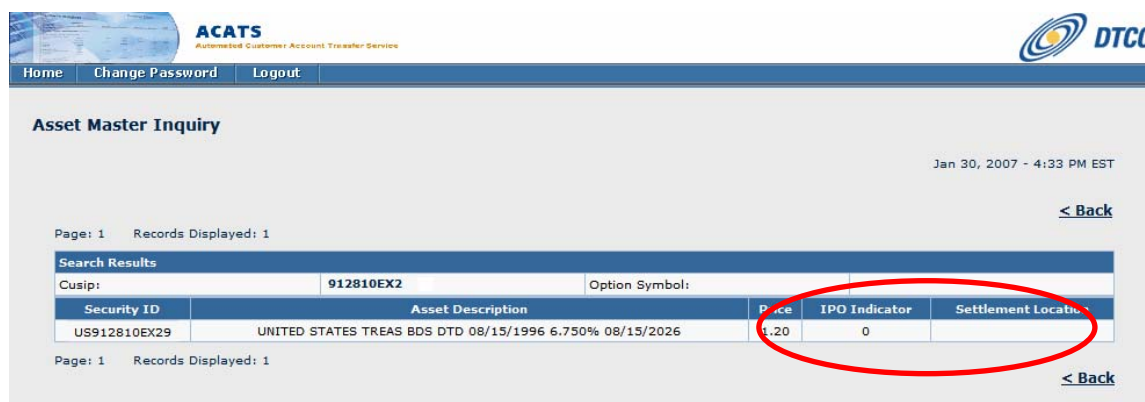
Transfer Information			
ACATS Control Number:	20070050001234	Receiver Account Number:	012345678
Transfer Type:	FUL	Receiver:	0123
Current Transfer Status:	900	Instruction Sent Date:	01/12/2007
		Deliverer Account Number:	123456789
		Deliverer:	1234
		Settlement Date:	01/17/2007

Asset Detail	
Field	Value
Asset Sequence Number:	11
Security Issue Country Code:	US
Security Issue ID:	123456EX7
Security Issue Check Digit:	9
Asset Description:	UNITED STATES TREAS BDS DTD 08/15/1996 6.750% 08/15/2026
Actual Settling Location:	50
Actual Settling Reason:	NSET
Asset Quantity:	3000
Asset Amount:	3690.00
Value Free Indicator:	V
Settlement Direction Indicator:	NORMAL

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The ACATS Asset editing process determined the security was not CNS eligible. The ACATS settling location was modified to location (50) R&D and given a reason code of NSET.

- To view further details about the asset, click the Security Issue ID hyperlink
The Asset Master Inquiry page is displayed.



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Asset Master Inquiry

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Search Results					
Cusip:	912810EX2	Option Symbol:			
Security ID	Asset Description	Price	IPO Indicator	Settlement Location	
US912810EX29	UNITED STATES TREAS BDS DTD 08/15/1996 6.750% 08/15/2026	1.20	0		

Page: 1 Records Displayed: 1

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Note: Because the settlement Location field is empty, this security is not eligible to settle through automated settlement interfaces (such as, CNS, DTC, or Fund/SERV, etc.)

The example below displays a security that has been set up with a valid settling location.

The screenshot shows the ACATS (Automated Customer Account Transfer Service) interface. At the top, there are logos for ACATS and DTCC, and navigation links: Home, Change Password, and Logout. The main heading is "Asset Master Inquiry". On the right, the date and time are displayed as "Jan 30, 2007 - 4:37 PM EST". Below this, there is a "< Back" link. The search results section shows "Page: 1" and "Records Displayed: 1". A search bar contains "Cusip: 00206R102" and "Option Symbol:". Below the search bar is a table with the following data:

Security ID	Asset Description	Price	IPO Indicator	Settlement Location
US00206R1023	AT&T INC COM	36.51	0	25

Below the table, it again shows "Page: 1" and "Records Displayed: 1", followed by another "< Back" link. The "Settlement Location" value "25" in the table is circled in red.

Note: This security is eligible to settle in CNS (05) and DTC (25).

6. To research and view the settling location requested by the participant, CNS (05), use the Position option on the ACATS Inquiry Main Menu.

About the ACATS Master Inquiry Pages

The ACATS Master Table Inquiry pages enable you to research the participant and asset information. This will allow you to view how participants and securities are set up on the ACATS Master Database.

YOU SHOULD USE THE PARTICIPANT MASTER INQUIRY PAGES TO DO THE FOLLOWING:

- To tell a participant what settling locations they are eligible for
- To see if a participant is eligible for the CBRS (Cost Basis Reporting Service)
- To see whether the participant is set up as a Broker or as a Bank.

YOU SHOULD USE THE ASSET MASTER INQUIRY PAGES TO DO THE FOLLOWING:

- To see the price of a security
- To see the description of a security
- To see what settling locations a security is eligible for.

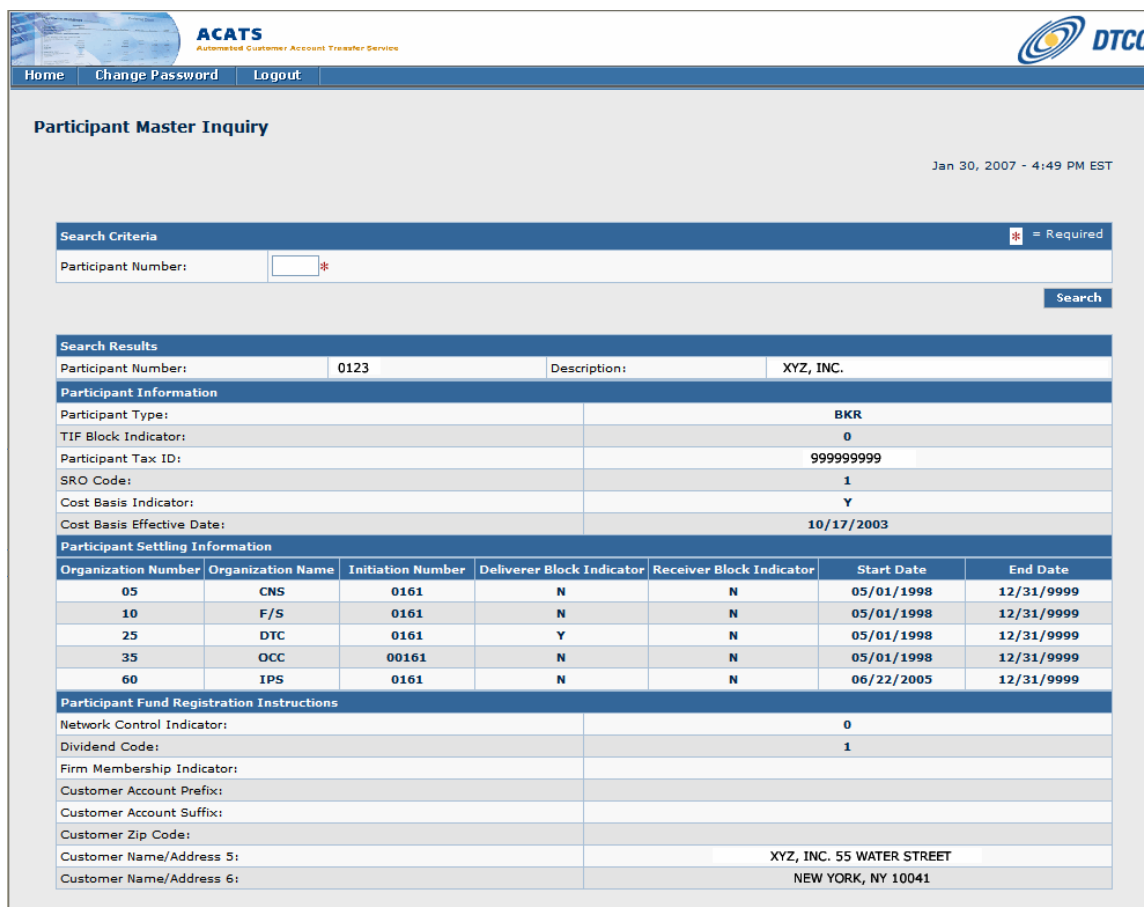
GENERAL PROCEDURES FOR THE ACATS MASTER INQUIRY PAGES

Researching Participant Information Using the Participant Master Inquiry

The Participant Master Inquiry page provides certain information about the participant (for example, participant type, settling location, etc).

1. On the ACATS Inquiry Main Menu page, click **Participant Master Inquiry**.
The Participant Master Inquiry page appears.
2. Type the participant number into the **Participant Number** field and click **Search**.
Your search results appear at the bottom of the Participant Master Inquiry page.

Note: Participants researching other participant numbers will be unable to view certain data elements on this page (such as, Tax ID number and Participant Fund Registration Instructions).



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Participant Master Inquiry

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Search Criteria * = Required

Participant Number: *

Search

Search Results

Participant Number: 0123 Description: XYZ, INC.

Participant Information

Participant Type:	BKR
TIF Block Indicator:	0
Participant Tax ID:	999999999
SRO Code:	1
Cost Basis Indicator:	Y
Cost Basis Effective Date:	10/17/2003

Participant Settling Information

Organization Number	Organization Name	Initiation Number	Deliverer Block Indicator	Receiver Block Indicator	Start Date	End Date
05	CNS	0161	N	N	05/01/1998	12/31/9999
10	F/S	0161	N	N	05/01/1998	12/31/9999
25	DTC	0161	Y	N	05/01/1998	12/31/9999
35	OCC	00161	N	N	05/01/1998	12/31/9999
60	IPS	0161	N	N	06/22/2005	12/31/9999

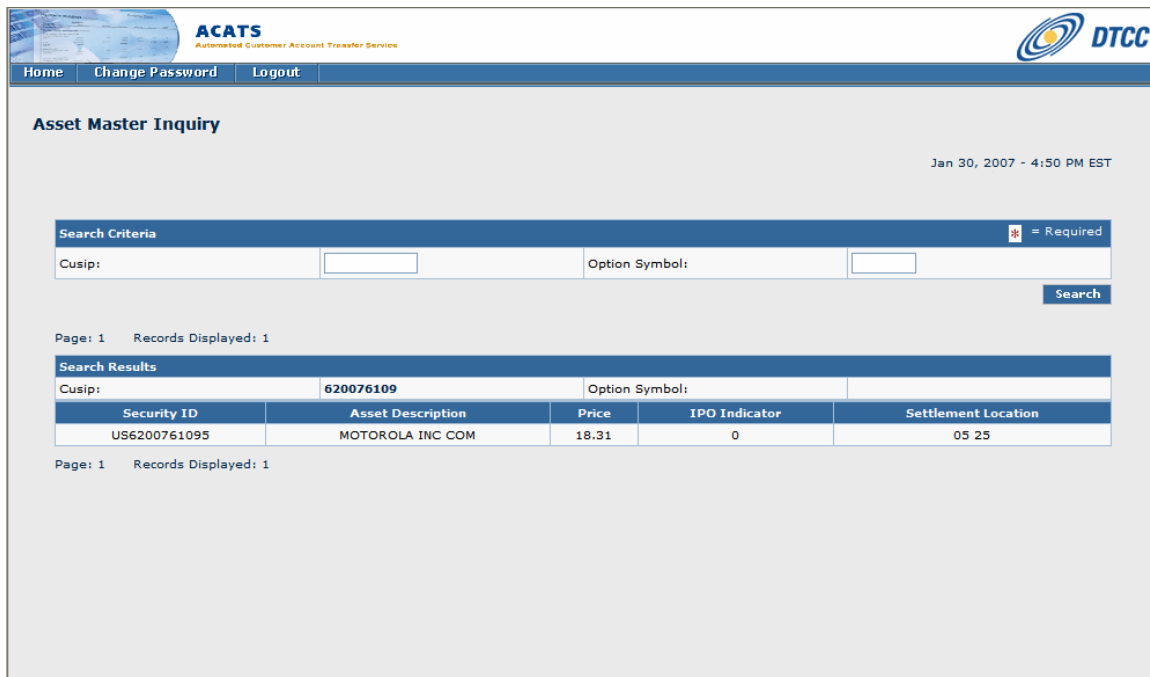
Participant Fund Registration Instructions

Network Control Indicator:	0
Dividend Code:	1
Firm Membership Indicator:	
Customer Account Prefix:	
Customer Account Suffix:	
Customer Zip Code:	
Customer Name/Address 5:	XYZ, INC. 55 WATER STREET
Customer Name/Address 6:	NEW YORK, NY 10041

Researching Asset Information Using the Asset Master Inquiry

The Asset Master Inquiry page provides you with specific information on the security (for example, security description, price, settlement location(s), etc).

1. On the ACATS Inquiry Main Menu page, click **Asset Master Inquiry**.
The Asset Master Inquiry page is displayed.
2. Type the CUSIP that you are researching in the **CUSIP** field and click **Search**.
Note: You can also type the Option Symbol in the Option Symbol field.
Your search results appear at the bottom of the Asset Master Inquiry page.



ACATS
Automated Customer Account Transfer Service

DTCC

Home Change Password Logout

Asset Master Inquiry

Jan 30, 2007 - 4:50 PM EST

Search Criteria * = Required

Cusip: Option Symbol:

Search


Page: 1 Records Displayed: 1

Search Results


Security ID	Asset Description	Price	IPO Indicator	Settlement Location
US6200761095	MOTOROLA INC COM	18.31	0	05 25

Page: 1 Records Displayed: 1

Note: The example below shows eligible settlement location and price for an option.



ACATS
Automated Customer Account Transfer Service



[Home](#)
[Change Password](#)
[Logout](#)

Asset Master Inquiry

Jan 30, 2007 - 4:52 PM EST

Search Criteria

Page: 1 Records Displayed: 1 to 10 of 42 [Next >](#)

Search Results			
Cusip:	Option Symbol:	MDT	
Security ID	Price	Option Decimal/Fraction Indicator	Settlement Location
MDT 2007020003500	35.000	F	35
MDT 2007020003704	37.500	F	35
MDT 2007020004000	40.000	F	35
MDT 2007020004204	42.500	F	35
MDT 2007020004500	45.000	F	35
MDT 2007020004704	47.500	F	35
MDT 2007020005000	50.000	F	35
MDT 2007020005204	52.500	F	35
MDT 2007020005500	55.000	F	35
MDT 2007020005704	57.500	F	35

Page: 1 Records Displayed: 1 to 10 of 42 [Next >](#)