

DWAC Quick Guide

General Processing Information

- Exhibit pulled from website
- Request should be posted to DTCC
- Exhibit along with Letter of Instruction submitted
- Request reviewed, determined if In Good Order (IGO) or Not In Good Order (NIGO)
- IGO request is added to processing que / NIGO is rejected back to requestor via a corrections email
- Approved on DTCC (if not posted within the three-day standard request is cancelled)

If a request is cancelled, it is closed completely on our end. Once (re)submitted IGO, the three-day standard processing time begins again. **There are no exceptions to this as a cancellation is due to the requestor's error and/or missed function(s).**

To Submit an DWAC Request

E-mail BNYBrokerRequests@bnymellon.com.

We make every effort to process requests as quickly as possible. We must process DWACs in the order they are received. Please allow up to three full business days for your DWAC to be completed.

Please note, we do not advise when to post DWACs. As stated, requests should be posted prior to submitting and also remain posted until settled for your records.

Escalation

For status and/or escalation issues, please contact our DWAC Exhibit mailbox at ExhibitRequests@BNYMellon.com once the three standard processing days have passed.

We respond to requests as soon as possible, in the order your request was received. Please allow up to one full business day for a response.

Please Note

- New issue(s) may take up to 10-15 business days for our Original Issuance team to update.
- We cannot advise on how to fill out exhibits.
- Exhibits can NEVER be altered.

