



MT548 Settlement Status and Processing Advice for Funds (TA direct)

Description of most common Reason Codes

Accepted Orders

25D-Status: IPRC/PAK

Event	Reason 24B	Description (70D Text)	UBS Follow-Up Activity
Acknowledged	n/a	INSTRUCTION HAS BEEN ACKNOWLEDGED	n/a

Pending Orders

25D-Status: SETT/PEND or SETT/PENF or MTCH/NMAT

Event	Reason 24B	Description (70D Text)	UBS Follow-Up Activity
Fund restrictions were sent to you in order to complete and sent back to us	PENF//DOCY	WE ARE AWAITING YOUR FEEDBACK CONCERNING FUND RESTRICTIONS	Inquiry to Client after 10 business days -->PENF//NARR
Awaiting documents or information from C/P	PENF//DOCC	WE ARE AWAITING TRANSFER DOCUMENTS OR INFORMATION FROM COUNTERPARTY	Inquiry to Client after 10 business days -->PENF//DOCC
Awaiting documents or information from you	PENF//DOCY	WE ARE AWAITING TRANSFER DOCUMENTS OR INFORMATION FROM YOU	Inquiry to Client after 10 business days -->PENF//DOCC
Fund restrictions not received from you	PENF//NARR	WE HAVE NOT RECEIVED YOUR FEEDBACK CONCERNING FUND RESTRICTIONS. INSTRUCTION WILL BE CANCELLED IN 10 BUSINESS DAYS	Cancel after 10 business days if no feedback received --> CAND//EXPI
Feedback concerning fund restrictions received from you	PENF//NARR	WE HAVE RECEIVED YOUR FEEDBACK CONCERNING FUND RESTRICTIONS. TRANSFER DOCUMENTS WILL BE PREPARED TO CHECK WITH TA	UBS to prepare documents and check with TA
Documents received from C/P	PENF//NARR	TRANSFER DOCUMENTS HAVE BEEN RECEIVED FROM COUNTERPARTY	UBS to prepare documents and check with TA
Documents were sent to TA to pre-check	PENF//NARR	TRANSFER DOCUMENTS HAVE BEEN COMPLETED AND FORWARDED TO TRANSFER AGENT TO PRE-CHECK	Inquiry to TA after 5 business days if no new status update received --> PENF//CHAS
Documents need to be amended by UBS	PENF//NARR	TA REQUIRE DOCUMENTS OR INFORMATION. UBS WILL TAKE NECESSARY ACTION	n/a
Original documents were sent to TA	PENF//NARR	ORIGINAL TRANSFER DOCUMENTS HAVE BEEN COMPLETED AND FORWARDED TO TRANSFER AGENT BY COURIER	--> PENF//CYCL
STF filled, signed and forwarded to C/P	PENF//NARR	ORIGINAL STOCK TRANSFER FORM FILLED AND FORWARDED TO COUNTERPARTY FOR COUNTERSIGNING AND ONWARD TRANSMISSION TO THE TA	Inquiry to TA after 15 business days if no contract note received --> PENF//CHAS
Awaiting next settlement cycle	PENF//CYCL	TRANSFER IN PROCESS, EXPECTED SETTLEMENT DATE AFTER FINAL CALCULATION OF xx NAV	Inquiry to TA 10 business days after expected settlement date if no contract note received
Contract note not received by TA	PENF//CHAS	CONTRACT NOTE NOT RECEIVED FROM TRANSFER AGENT. INQUIRY HAS BEEN SENT	Inquiry to TA after 3 business days if no feedback received --> PENF//CHAS



Exceptions

23G:INST

Event	Reason 24B	Description (70D Text)	UBS Follow-Up Activity
Awaiting fund documents in order to set up the ISIN	PENF//NARR	FUND CURRENTLY NOT OPEN AT UBS. PLEASE PROVIDE FUND DOCUMENTS (PROSPECTUS, OFFERING MEMORANDUM, SUBSCRIPTION FORM) FOR OPENING	Inquiry to Client after 10 business days --> after further 10 business days UBS to cancel instruction --> CAND/EXPI
Check for TA-Direct access	PENF//NARR	FUND CURRENTLY UNDER UBS INTERNAL INVESTIGATION DUE TO POTENTIAL TA-DIRECT ACCESS	n/a
Additional information or documents received and forwarded to TA	PENF//NARR	FURTHER INFORMATION OR DOCUMENTATION RECEIVED AND FORWARDED TO TRANSFER AGENT	Inquiry to TA after 5 business days if no new status update received --> PENF/CHAS
TA awaiting documents or information from C/P	PENF//DOCC	TA AWAITING INFORMATION OR DOCUMENTATION FROM COUNTERPARTY. PLEASE CONTACT COUNTERPARTY	Inquiry to Client after 15 business days
Confirmation discrepancy	PENF//STCD	DISCREPANCY ON CONTRACT NOTE RECEIVED FROM TA. UNDER INVESTIGATION	Update to client after 5 business days --> PENF//NARR

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