An Issuer's Journey Through DTCC

Creating liquidity and stability in the global capital markets





ATTORNEYS, AGENTS



Registered Holders

Submits new issues for DTC eligibility

Securities Processing

Safekeeps physical and electronic certificates on behalf of issuers' agents

via TRANSFER AGENTS

Deposits and Withdrawals

Processes deposits and withdrawals on behalf of institutional and beneficial owners

Custody

Stores and manages book-entry issues and physical certificates and restricted securities on behalf of institutional and beneficial owners

Underwriting

DTC

Makes issues DTC eligible



DTC Masterfile

DTC's nominee name Cede & Co. becomes holder of record



Institutional Investors and Beneficial Owners

Asset Servicing

Performs corporate actions processing on behalf of issuers

via PAYING AGENTS

Principal & Interest Processing

Announces, allocates, and pays on issues

Reorganization Events

Announces and processes tenders, mergers, warrants, puts, stock splits

Redemptions

Processes partial and full call events

Global Tax Services

Provides tax relief and multicurrency support for ADRs, global shares, equities and fixed income securities

via AGENTS, TABULATORS, SOLICITORS

Proxy

Provides Omnibus Proxy and information needed to contact shareholders on events such as annual meetings