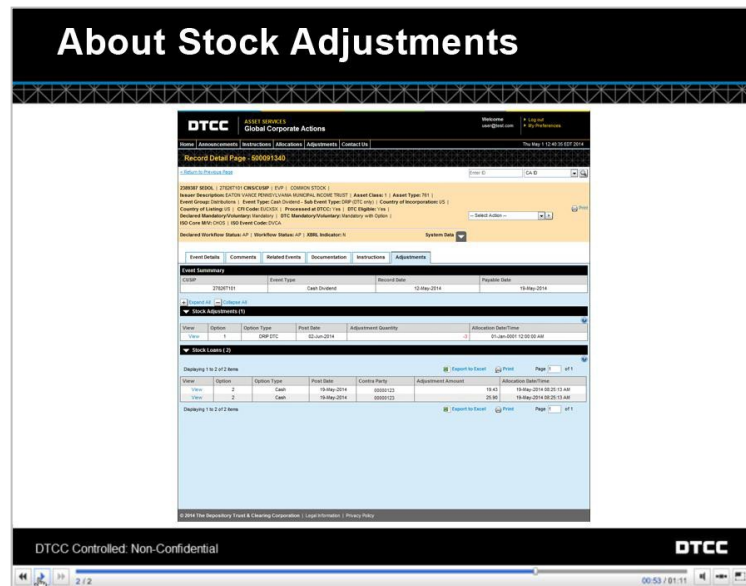


## ASSET SERVICES

### ABOUT STOCK ADJUSTMENTS



Stock adjustments are individual dividend share adjustments that create debits or credits to your account.

A stock distribution event can include stock adjustments for a number of reasons, such as a rate change or other situation in which a *manual* debit or credit is made to your account.

Stock adjustments that are pending or allocated appear under the **Stock Adjustments** twisty on the **Adjustments** tab.

An **Event Summary** at the top of the Adjustments tab shows the **CUSIP**, **Event Type**, **Record Date**, and **Payable Date** for the distribution.

The area under the Event Summary lists all adjustments to the event. You can see more than one adjustment type here, listed out in separate tables.

This example shows you two types of stock adjustments, but if there were other adjustments to this event, you'd see those in this space as well. These tables contain slightly different information, depending on the adjustment type.

For stock adjustments, you can see information about the option on the event that the adjustment applies to, as well as when the adjustment is scheduled to pay.

Specifically, this information includes:

- The **Option** number.
- The **Option Type**.
- The **DTC Post Date**, or the date on which DTC is scheduled to make the adjustment to your account.
- The **Adjustment Quantity**, and
- The **Allocation Date/Time**.

Please note that the **Post Date** may not reflect the event's **Payable Date**: the post date is when DTC anticipates applying the adjustment to your account.

To see additional information regarding debits and credits to be applied, click any of the **View** hyperlinks. Each link opens a window that shows details of a stock adjustment.

For these adjustments, you will notice that the "prepared by" field will often read "Customer Service." The Customer Help Center's phone number is provided here – you can call for more information if you need it.

Here, we see that on June 2nd, your firm was debited three shares due to a manual allocation adjustment.

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