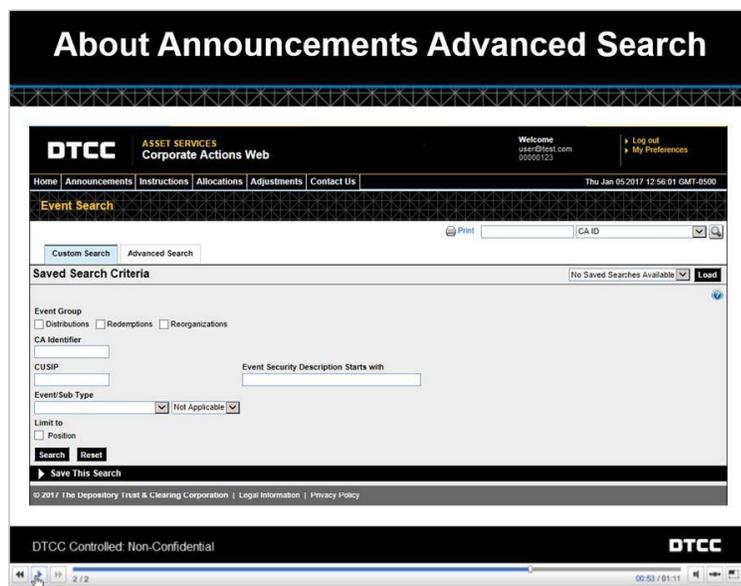


## ASSET SERVICES

### ANNOUNCEMENTS ADVANCED SEARCH



The CA Web includes an Advanced search you can use to search for corporate actions event announcements.

We'll look at tips for working with some of the most useful advanced search fields, as well as outline best practices to achieve successful search results.

When you first open the Event Search, the **Custom** tab is selected.

Click the **Advanced Search** tab.

The Advanced Search page contains all of the fields located on the **Custom Search** tab, as well as asset type selection, mandatory and voluntary indicators, date fields, and more search criteria.

The Advanced Search fields allow you to narrow your search even more.

A successful CA Web search requires you to combine several search fields from across the page.

The **Asset Type** allows you to narrow by asset – for example, common stock.

**Caution:** Be careful not to search for asset types that will never apply to an event type, such as an interest event on an ADR, or a CD early redemption event on a warrant security.

Unless you are completely certain of the asset type you are looking for, leave it out of your initial search.

**Best Practice:** If you have an **Event Type** selected, be careful that any **Asset Type** you select is applicable to that type of event.

To the right of **Asset Type** is the **Country of Incorporation** field. You can search for events by the country where the security was incorporated.

Click the magnifier icon to do a quick look-up. For example, click “Canada” to search for a Canadian security.

Event workflow statuses show where an event is in its processing. You can hover your mouse over the checkboxes to see the full name of each status.

For example, “AP” for “Approved” means that DTC has verified that the event is taking place and DTC has received all the pertinent information needed to process it. When an event is in “Conditionally Approved -- CA” status, DTC has verified that the event is taking place; however, DTC is still waiting on pertinent information about it such as the ex-date or DTC cash rate.

**Best Practice:** Be certain you understand the difference between AP (Approved) and CA (Conditionally Approved) statuses.

The next section of the advanced search contains **DTC Mandatory / Voluntary** indicators. These indicators tell you how DTC characterizes an event.

For example, an event that is mandatory in the market may at DTC have TaxRelief options that you can instruct on such as your unfavorable, favorable, and exempt tax rates. To search for these options, you would select the **Mandatory with Options** checkbox.

To broaden your search for the largest event results, select **All**.

**Best Practice:** To broaden your **Mandatory / Voluntary** indicators for the largest event results, select **All**.

It's best to try to include some form of date criteria in your search. There are two ways you can narrow a search by date.

You can narrow by critical dates in the lifecycle of an event (such as the payable date) or you can narrow by system dates (such as the date the event information was last updated). The range you specify can be plus or minus 90 days from a starting date.

Select "Key Data Updated Date and Time" to find events for which key information has changed. See the "Searching for Events with Key Data Updated" Help topic for more information.

For example, to search for an event that will pay out in 15 days from today, select **Declared Payable Date**, select today's date, select the plus sign to search forward, and enter the number of days--in this case, 15.

Specific date selection fields appear when you select a type of date criteria.

Now, let's say it's mid-December and the event we are looking for occurred about two to four months ago. However, we don't know when exactly. Because we want to search beyond the 90-day increment allowed by the CA Web, we'll start our search in the past. By doing this, our search results will show events from September through November, the likely timeframe when the event occurred.

To do a search beginning in the past, we select the start date in the past, then we select the minus sign, and finally we enter the number of days to search back. We could also have started in the past and searched forward. The day count here refers to calendar days, which includes weekends and holidays.

You can search by the last updated date by using the **System Date** drop-down. To see events updated today, click the empty box under the calendar. The word "Today" appears. If you enter a date you can also specify a time range.

Remember that the date criteria we are highlighting here allow you to search over a 90-day time span into the future or the past. So, if you wanted to search over a 6 month period, you would enter two 90- day searches.

You don't have to enter dates in both the **Date criteria** and the **System Date criteria** fields. You can enter one and not the other, or you can enter both. But be careful entering both – the more specific your search criteria, the less likely your search will return results.

**Best Practice:** Whenever possible, include some form of date criteria in your search.

The last area on the **Advanced Search** tab contains fields you can use to limit your view to events modified today or yesterday, active events, and events processed at DTC.

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#### Note

That if you've set up a Watchlist, you can limit your search exclusively to those securities, too. See the Help for instructions on setting up a Watchlist to use with your search.

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Finally, if this is a search you'll use again, it's best to name it and save it. That way, you can reload it later and avoid having to re-enter your search criteria.

Any date criteria must be set to today in order to save the search.

After you are satisfied that you've entered all of your search criteria, click the **Search** button at the bottom of the page.

Your search criteria now appear underneath your search results along with the criteria you've already specified, so it's very easy to modify it if you'd like to. Here, you can change, broaden, or narrow your search further.

Let's see what happens when we modify our search. Here, we're limiting it to common stock issues by specifying common stock in the **asset type** dropdown.

You can see how the addition of the **asset type** "Common Stock" substantially narrows your search results.

There are some overall best practices to keep in mind for performing an advanced search.

- It's best to add a combination of criteria to broaden your results as well as narrow them.
- If you don't receive any results, try broadening your search by deselecting or removing criteria.

**Best Practice:** Sometimes, unchecking selected search criteria returns more results.

All of these fields are here for your optional use. You can always keep it simple and add criteria as you need them.

**Best Practice:** Start simple and add criteria as needed.

Remember to save searches you'll be performing frequently.

**Best Practice:** Save frequently used searches.

Most importantly, think in terms of building an effective search by using at least four pieces of search criteria before you click **Search**.

**Best Practice:** For best results, enter at least four pieces of search criteria from different sections of the Advanced Search tab.

For example, this search for a cash dividend with an opt-out is an effective search that uses the following five criteria:

- Event Information,
- Status Information,
- Mandatory/Voluntary Information,
- Date Information, and
- Processing/Eligibility Information.

And remember, after performing a search: if you do not receive the results you are looking for, and especially if you receive no results, check every piece of criteria you entered to be sure the combination you've selected makes sense. You can also uncheck any criteria that may be preventing a successful search before performing a new search.

**Best Practice:** Remember to uncheck old search criteria before submitting a new search.

We hope this overview encourages you to try some advanced CA Web searches. Don't forget to save your best combinations!

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