

ASSET SERVICES

ABOUT THE ADJUSTMENTS TAB

About the Adjustments Tab

The screenshot shows the DTCC Global Corporate Actions Record Detail Page for record ID 60998295. The 'Adjustments' tab is selected, displaying a table of adjustments. The table has columns for View, Option, Option Type, Pmt Date, Adjustment Amount, Allocation Date/Time, and BEFO Status. Two adjustments are visible:

View	Option	Option Type	Pmt Date	Adjustment Amount	Allocation Date/Time	BEFO Status
View	0	Cash	15-Apr-2014	0.00	15-Apr-2014 01:20:22 PM	
View	1	Cash	15-Apr-2014	0.00		

DTCC Controlled - Non-Confidential

Any Corporate Actions event that has adjustments associated with it will show the **Adjustments** tab on the event record detail page.

One of the ways you can retrieve the event record is by searching with the CA ID. When the event record appears, click the Adjustments tab on the right. This will show you a record of all of your adjustment activity connected to this corporate actions event.

You can also get to this tab specifically by using the Adjustments menu item: mouse over **Adjustments**, click **Overview**, click a record count, and click a CA ID.

Once at the Adjustments tab, you'll see that there is an **Event Summary** at the top of the page. This 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.

These tables contain slightly different information, depending on the adjustment type. In general, though, you can see information about the event's option that the adjustment applies to, as well as when the adjustment is scheduled to be posted to your account.

Information here can include:

- 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 Amount** , and
- The **Allocation Date/Time**. This varies with the adjustment type. For example, Miscellaneous/General Ledger adjustments will be displayed after DTC completes its daily settlement. For stock loans and repos, however, the allocation will happen intraday.

Sometimes, different adjustment types will have specific data fields. Please see the Help for that adjustment type for more information about these fields.

Please note that the DTC **Post Date** may not reflect the **Payable Date** of the event: the Post Date is when DTC actually makes the adjustment to your account. Note that the DTC Post Date may, in some cases, be several days after the event's Payable Date.

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

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

Specific adjustment details will vary by type.

In the case of stock loans and repos, this "View" function is where you'll go to enter any adjustment payment orders, or "APOs."

When you are able to enter an APO, a **Create APO** button is visible at the bottom left of this window. Click this button to open a "Create APO" form.

You can learn more about this by reading the “Entering an APO” Help topic.

For some adjustment types, you can export the information to Excel or print the information you see on the screen.

Exporting the information to Excel exports all of the adjustments for a single adjustment type. For instance, if you click one of the **Export to Excel** buttons for Stock Loans on this page, you will see all 36 transactions from both display pages.

Clicking any **Print** button, however, prints all of the data that is visible on the page itself.

© 2020 DTCC. All rights reserved. DTCC, DTCC (Stylized), ADVANCING FINANCIAL MARKETS. TOGETHER, and the Interlocker graphic are registered and unregistered trademarks of The Depository Trust & Clearing Corporation.

The services described herein are provided under the “DTCC” brand name by certain affiliates of The Depository Trust & Clearing Corporation (“DTCC”). DTCC itself does not provide such services. Each of these affiliates is a separate legal entity, subject to the laws and regulations of the particular country or countries in which such entity operates. Please see www.dtcc.com for more information on DTCC, its affiliates and the services they offer.

Doc Date: September 2014

Publication Code: CA179

Service: Asset Services

Title: About the Adjustments Tab

FOR MORE INFORMATION

Email DTCC Learning at:

CoreLearning@dtcc.com

or visit us on the web at:

www.dtccllearning.com