SECURING TODAY.
SHAPING TOMORROW.

OUR CAPABILITIES
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EVERY 2 DAYS
DTCC PROCESSES
THE EQUIVALENT OF THE
U.S. ANNUAL GROSS
DOMESTIC PRODUCT
For more than 40 years, DTCC has served as a premier post-trade market infrastructure for the industry, advancing the automation, centralization, standardization and streamlining of processes critical to the global financial markets’ safety and soundness.

Today, we stand at the center of global trading activity, processing trillions of dollars of securities transactions on a daily basis.

We serve as the centralized clearinghouse for more than 50 exchanges and equity trading platforms in the U.S., maintaining multiple data and operating centers worldwide and providing strong business continuity and around-the-clock support. Our depository provides custody and asset servicing for securities issued from 131 countries. In addition, DTCC’s global trade repositories record more than U.S. $500 trillion in gross notional value of transactions made worldwide.

We provide services across multiple asset classes, including:
- Clearing
- Settlement
- Asset servicing
- Global data management
- Information services

These services are provided for a wide range of securities products, such as:
- Equities
- Corporate and municipal bonds
- Government and mortgage-backed securities
- Derivatives
- Mutual funds and other pooled investment vehicles
- Money market instruments
- Alternative investment products
- Insurance
- Syndicated loans

Our goal is to drive positive change. User-owned and -governed, we leverage our unique position in the industry to anticipate the markets’ future needs and respond with solutions that lower costs, improve efficiency, reduce risk and increase transparency for the industry we serve.
THE BACKBONE
OF THE INDUSTRY

Throughout our history, DTCC has stood firmly on the front lines in both good times and bad, helping to secure the resilience, stability and certainty of the global capital markets.

In 1973, the creation of The Depository Trust Company (DTC) transformed the U.S. markets by enabling electronic movement of securities. Later, National Securities Clearing Corporation (NSCC) was established to automate the clearing and settlement of trades—creating a powerful infrastructure to process millions of transactions daily.

We brought pioneering solutions to fixed income and mutual funds in the 1980s and 1990s and, after the formation of DTCC in 1999, to derivatives in the 2000s.

Even during difficult times, we have provided steady leadership. On 9/11, we didn’t falter, so the global financial markets wouldn’t either. In the wake of the Lehman Brothers bankruptcy, we closed out more than U.S. $500 billion in exposed trades. And when Superstorm Sandy ravaged the East Coast in 2012, our solid business continuity infrastructure, with its multiple out-of-region locations, continued processing and settlement to keep the markets running.

Today, DTCC safely and securely clears more than U.S. $1.6 quadrillion in transactions every year.
1973
DTC solves Wall Street’s mounting paperwork crisis by automating the post-trade process.

1976
NSCC is established to provide a single settlement system for clearing and to serve as the central counterparty for trades.

1985
NSCC launches Automated Customer Accounts Transfer Service (ACATS) to automate the customer account transfer process, addressing investors’ single most frequent complaint.

1986
NSCC creates Fund/SERV® to deliver greater efficiencies and enable explosive growth in the U.S. mutual funds industry.

1995
The company opens a London office, the first of many overseas offices that will serve a growing global market.

1997
NSCC automates the insurance industry, bringing operational and cost efficiencies to the processing of annuities, and later to other insurance segments.

1999
DTCC is established, consolidating the operations of DTC and NSCC, and bringing greater efficiency, lower costs and more robust risk management for a new century.

2001
On 9/11, and with U.S. equity markets closed for days after the attack, DTCC remained open, clearing and settling $1.8 trillion in transactions, enabling the markets to open the following week.

2003
Fixed Income Clearing Corporation (FICC) is formed from the merger of the Mortgage-Backed Securities Clearing Corporation and the Government Securities Clearing Corporation to handle fixed income transaction processing.

2004
Deriv/SERV is created, effectively inventing the first trade repository.

2008
DTCC averts massive losses in the industry, closing $500 billion in open trades after the Lehman Brothers bankruptcy.

2010
DTCC acquires Avox Ltd. to help create the first industry-owned utility for business entity reference data.

2012
DTCC and SWIFT join forces to create the CFTC Interim Compliant Identifier (CICI) Portal to assist the industry in meeting regulatory demands.

2013
The DTCC Global Trade Repository (GTR) becomes the first service to go live across jurisdictions with the launch of its Japanese and Australian trade repositories.

DTCC keeps services up and running after Superstorm Sandy.

Alternative Investment Products (AIP) processes its first automated trade, providing a streamlined, automated and centralized processing solution to propel the market for alternative investments.

DTCC acquires full ownership of Omgeo.

European Central Counterparty Limited was named Best Clearing House Europe in 2010, 2011 and 2012.

European Central Counterparty Limited helps drive down the cost of equities clearing in Europe.

CICI Portal launched.

Aavax Ltd. acquired.

SWIFT and DTCC join forces.

Superstorm Sandy.

DTCC acquires Avox Ltd.

CICI Portal.

European Central Counterparty Limited.

Best Clearing House Europe.

Fixed income clearing.

DTC and NSCC merge.

Business continuity.

Omgeo.

Trade repository.

Aavax Ltd.

CICI Portal.

European Central Counterparty Limited.

Best Clearing House Europe.

DTCC Global Trade Repository (GTR).

Alternative Investment Products (AIP).

Superstorm Sandy.

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CICI Portal.

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Best Clearing House Europe.
What started as a solution to manage the volume of paperwork generated by trades on Wall Street now impacts financial markets around the world.

DTCC serves thousands of companies in the global financial services industry, including many of the largest broker/dealers, banks, asset managers and insurance companies in the U.S. and around the world.

These clients are not only served by DTCC; they are also represented on our Board of Directors and the boards of our subsidiaries. As a user-owned and -governed organization, the interests of our clients – and the industry as a whole – are our highest priority.

DTCC has been at the forefront of efforts to enhance transparency and mitigate risk in the global markets. A major example of this is DTCC’s Global Trade Repository (GTR), the industry’s only multi-jurisdictional facility for reporting derivatives trades. Our Global Markets Entity Identifier (GMEI) utility, offered in conjunction with SWIFT, assigns globally accepted unique identifiers to all entities that engage in financial transactions.

In addition, DTCC’s depository provides custody and asset servicing for securities issued from 131 countries and territories valued at U.S. $37.2 trillion. We also maintain cross-border depository links with central infrastructure organizations worldwide.
OUR WORLDWIDE IMPACT

DTCC stands at the center of global trading activity and in an ideal position to protect our clients’ interests, as well as the overall stability and integrity of the world’s financial markets. From New York to London to Singapore and beyond, DTCC is there 24/7 to secure today’s marketplace and to help shape the industry’s future.

Our collaborative relationships with our clients and broad perspective of the world’s financial markets give us a unique vantage point, enabling us to anticipate needs and cultivate game-changing ideas that mitigate risk, reduce costs and create greater efficiencies for the total financial ecosystem. In this pursuit, we collaborate closely with regulators, policymakers and the industry to advance global solutions.

DTCC’S GLOBAL PRESENCE

AMSTERDAM, NETHERLANDS  
BOSTON, MASSACHUSETTS  
BRUSSELS, BELGIUM  
CHENNAI, INDIA  
DALLAS, TEXAS  
FRANKFURT, GERMANY  
HONG KONG, CHINA  
JERSEY CITY, NEW JERSEY  
LONDON, ENGLAND  
MANILA, PHILIPPINES  
NEW YORK, NEW YORK  
PARIS, FRANCE  
SAN FRANCISCO, CALIFORNIA  
SEOUL, KOREA  
SHANGHAI, CHINA  
SINGAPORE  
STOCKHOLM, SWEDEN  
SYDNEY, AUSTRALIA  
TAMPA, FLORIDA  
TOKYO, JAPAN  
TORONTO, ONTARIO  
WASHINGTON, D.C.  
WREXHAM, WALES
DTCC is proactively responding to the industry’s needs with advanced solutions to manage risk and drive future growth.

DTCC’s Global Trade Repository (GTR), the first of its kind, is an essential tool for managing systemic risk, providing market participants and regulators an unprecedented degree of transparency into the global over-the-counter derivatives market.

In addition, DTCC is leading an industrywide discussion to shorten the trade settlement cycle, a critical step to creating greater certainty, safety and soundness in the U.S. financial markets.

Also, with margin call and collateral settlement activity expected to dramatically increase in the next several years, DTCC is developing a global, straight-through margin processing service that will reduce industry costs, mitigate risk and enhance transparency for derivatives and other products in the future.

And in collaboration with the industry, DTCC is developing a common infrastructure to mutualize certain non-revenue-generating middle office processes to reduce cost and operational risk, allowing financial institutions to have more resources to invest in differentiating capabilities.
GLOBAL TRADE REPOSITORY

AN ESSENTIAL TOOL FOR PROVIDING TRANSPARENCY AND MITIGATING RISK
As a global financial services leader, DTCC proactively develops solutions to bolster the strength of today’s marketplace while shaping the future of the industry. We stand at the forefront of innovation to mitigate risk, create market efficiencies and reduce costs. This is captured in our company tag line: Securing Today. Shaping Tomorrow.™

Our ability to deliver on this promise is built on a foundation of trusted leadership to safeguard the markets and instill confidence in the future; critical insights that drive creative industry solutions; and collaborative action with clients, regulators and the industry to meet the demands of an evolving marketplace.

We take our role as the backbone of the financial markets to heart, and we are committed to strengthening the trust we have earned for decades to come. As the markets’ needs change, we will continue to work closely with the industry to cultivate new ideas to move the financial industry forward.
TRUSTED SOLUTIONS
In keeping with our goal of providing certainty and reliability to the global financial system, DTCC delivers risk mitigation, cost efficiencies and advanced post-trade solutions to meet the ever-evolving needs of our clients. These services and products are organized into four distinct categories.

**CLEARING SERVICES**
- Equities Clearing
- Fixed Income Clearing

**SETTLEMENT AND ASSET SERVICES**
- Settlement Services
- Asset Services
- Global Derivatives

**INVESTMENT PRODUCT SERVICES**
- Insurance and Retirement Services
- Wealth Management Services

**DATA AND REPOSITORY SERVICES**
- Global Trade Repository
- Reference Data Services
- Data Products
- Loan/Servicing
DTCC’s subsidiaries – National Securities Clearing Corporation (NSCC) and Fixed Income Clearing Corporation (FICC) – deliver highly efficient clearing services across the U.S. equities and fixed income markets, reducing risk and cost for clients, while providing safety and reliability in the U.S. financial markets.

**CLEARING SERVICES**

**EQUITIES CLEARING**

NSCC clears and settles virtually all broker-to-broker equity, listed corporate and municipal bond, and unit investment trust (UIT) transactions in the U.S. capital markets. NSCC provides capacity, certainty and reliability in processing today’s enormous trading volumes.

Equities Clearing products and services include:

**Trade Capture and Reporting**
- Correspondent Clearing
- DTCC Limit Monitoring
- Exchange-Traded Funds (ETF)
- Foreign Security Comparison & Netting (FSCN)
- Universal Trade Capture (UTC)

**Clearing Services**
- Automated Customer Account Transfer Service (ACATS)
- Continuous Net Settlement (CNS)
- Cost Basis Reporting Service (CBRS)*
- Envelope Services
- Fully Paid-for-Account
- Institutional Delivery Netting (ID Net)
- Obligation Warehouse (OW)

**FIXED INCOME CLEARING**

FICC processes approximately U.S. $4 trillion each day in U.S. government- and mortgage-backed securities transactions. FICC comprises two divisions: the Mortgage-Backed Securities Division and the Government Securities Division.

**The Mortgage-Backed Securities Division (MBSD)**

MBSD is the sole provider of automated post-trade comparison, netting, electronic pool notification, pool comparison, pool netting and pool settlement services to the mortgage-backed securities market, providing greater efficiency, transparency and risk mitigation to this specialized market.

Services include:
- Real-Time Trade Matching (RTTM®)
- Electronic Pool Notification (EPN)
- Netting and Settlement Services
- Automated Funds-Only Settlement Service

*Offered through DTCC subsidiary DTCC Solutions LLC
**The Government Securities Division (GSD)**

GSD is the leading provider of trade comparison, netting and settlement for the government securities marketplace. GSD clients include the nation’s major brokers and dealers, as well as a wide range of entities that trade U.S. Government securities.

Services include:
- Real-Time Trade Matching (RTTM®)
- Repurchase Agreements Services
- Repurchase Agreement Collateral Substitution Service
- Auction Takedown
- GCF Repo®
- Netting and Settlement Services
- FICC’s Automated Funds-Only Settlement Service

**EUROPEAN CENTRAL COUNTERPARTY LIMITED**

European Central Counterparty Limited provides pan-European clearing services for a wide range of equities trading platforms and trades executed over the counter. Trades are netted across platforms, thereby reducing costs and operational risks for participants. European Central Counterparty Limited currently clears trades in 19 markets.
SETTLEMENT & ASSET SERVICES

DTCC’s Settlement & Asset Services businesses help protect the U.S. financial markets by providing capacity, certainty and reliability in processing today’s enormous trading volumes.

DTCC, through its Depository Trust Company (DTC) subsidiary, reduces cost and risk in the marketplace by providing settlement services related to trading activity in equities, debt and money market instruments. Its full suite of asset services also offers clients a broad range of tools, including underwriting, corporate actions processing, securities processing, global tax services and issuer services. In addition, DTCC’s subsidiary DTCC Deriv/SERV LLC provides a range of post-trade processing services that reduce risk and bring greater operational and cost efficiencies to the trading of over-the-counter (OTC) derivatives instruments globally.

SETTLEMENT SERVICES

DTC, the central securities depository subsidiary of DTCC, provides settlement services for virtually all equity, corporate and municipal debt trades and money market instruments in the U.S. Approximately 1.4 million settlement-related transactions per day, with a value of approximately U.S. $600 billion, are completed at DTC in an efficient and risk-controlled process.

Services include:
- Equity, Corporate and Municipal Transaction Processing
- Money Market Instrument (MMI) Transaction Processing
- Inventory Management System (IMS)
- End-of-Day Settlement
- Institutional Delivery Netting (ID Net)
- SMART/Track
- Collateral Loans (Pledge Activity)

ASSET SERVICES

The payment and transfer of securities ownership occurs at DTC, which provides custody and asset servicing for securities issued from 131 countries and territories valued at U.S. $37.2 trillion.

Services include:
- Underwriting
- Securities Processing
- Corporate Actions Processing
- Issuer Services
- Global Tax Services

GLOBAL DERIVATIVES

DTCC provides clients with post-trade processing through Trade Information Warehouse (TIW), Equity Cashflow Matching (ECM) and trade repository services through the DTCC Global Trade Repository (GTR). These services enable firms to meet regulatory reporting requirements across the globe.

Omgeo post-trade services include:
- Allocation and Confirm/Affirm
- Settlement Notification
- Collateral Management & Reconciliation

A wholly owned subsidiary of DTCC, Omgeo is the global standard for automating institutional post-trade processes. Omgeo’s solutions span markets and asset classes, including equities, fixed income, derivatives and more.
SETTLING VIRTUALLY ALL EQUITY, CORPORATE AND MUNICIPAL DEBT TRADES IN THE U.S.
INVESTMENT PRODUCT SERVICES

Primarily through NSCC, DTCC’s Investment Product Services businesses provide centralized, automated processing and information services for the insurance, funds and alternative investment products industries.

Seamless, end-to-end communications are facilitated between funds, asset managers and insurance companies, and their distribution partners to deliver reduction in risk and cost along with operational efficiencies.

INSURANCE AND RETIREMENT SERVICES

DTCC’s Insurance & Retirement Services (I&RS) offers a suite of streamlined processing and compliance-driven solutions for carriers and their distribution partners – broker/dealers, banks, brokerage general agencies, independent broker/dealers and other firms – through a secure, centralized and automated infrastructure. This infrastructure permits insurance carriers and distributors to exchange information at various points throughout the annuity and life insurance processing cycle.

I&RS supports many segments in the insurance business, such as variable and fixed annuities, term life insurance, long-term care insurance, variable life and whole/universal life insurance.

Featured products include:

Agent Services:
- Licensing & Appointments, Producer Management Portal, Commissions

Pre-Issue Services:
- Applications & Premium, Attachments

Monitoring and Reporting Services:
- Positions, Asset Pricing, Financial Activity Reporting, Analytic Reporting for Annuities

Post-Issue Services:
- Automated Customer Account Transfers/Insurance Processing Services, Broker Identification Number, Fund Transfers, Replacement Processing, Representative of Record Changes, Settlement Processing for Withdrawals & Premiums, Subsequent Premiums

WEALTH MANAGEMENT SERVICES

DTCC’s Wealth Management Services (WMS) delivers a broad range of innovative transactional and information services to the mutual fund and alternative investment products industries. Leveraging DTCC’s superior technological infrastructure to automate, standardize and centralize processes, WMS solutions drive business relationships between asset
managers and their distributors, linking a vast network, including fund companies, investment managers, broker/dealers, banks, trusts and other financial services firms that offer fund investments to the market. Each service offered by WMS addresses specific industry needs, while at the same time creating efficiencies and reducing costs and risk for customers.

Fund industry services include:
- Fund/SERV®
- Networking
- Retirement Plan Reporting
- Mutual Fund Profile Service
- Defined Contribution Clearance & Settlement
- ACATS-Fund/SERV
- Transfer of Retirement Assets
- DTCC Payment aXisSM
- Global Update

Our Alternative Investment Products (AIP) service is a leader in processing alternative investment products transactions, supporting:
- Security Master Fund Profiles, including Offering and Redemption Periods, Liquidity Terms, Holdbacks, Payment Instructions and More
- Initial and Subsequent Subscriptions Processing and Settlement
- Redemptions/Tender Offers Processing and Settlement
- Exchanges/Switches
- Statements of Account or Position Reporting and Performance
- Valuation Reporting
- Activity and Distribution Reporting and Settlement
- Account Maintenance
- Payments, including Commissions and Distributions
Working in tandem with the industry, regulators and DTCC counterparts, our Data & Repository Services businesses leverage data to mitigate risk, enhance transparency and drive down costs in financial markets globally.

**GLOBAL TRADE REPOSITORY (GTR)**
The Global Trade Repository supports mandatory regulatory reporting requirements as well as voluntary reporting of derivatives. The GTR, which holds detailed data on derivatives transactions globally, gives market participants and regulators an unprecedented degree of transparency into this U.S. $650 trillion market. Our repositories span three continents and provide data to regulators and market participants across multiple asset classes in a common format, and at a moment’s notice. This advanced capability allows trading firms the efficiency of reporting once to meet all their global requirements.

**REFERENCE DATA SERVICES**
DTCC offers clients world-class data management services and expertise they can trust. Leveraging a user-owned and -governed business model, DTCC provides clients with a comprehensive and growing suite of solutions.

**AVOX**
Avox, a wholly owned subsidiary of DTCC, provides legal entity data services. Avox leads the field in reference data, validating business entity reference data on more than 1 million entities in its advanced database. Using sources in 235 jurisdictions, Avox updates more than 150,000 data records each week, earning it recognition as “Best Counterparty Data Provider” by Inside Reference Data for several years running.

**Global Markets Entity Identifier (GMEI) utility**
DTCC’s Legal Entity Identifier solution, the Global Markets Entity Identifier (GMEI) utility – formerly known as the CICI Utility, developed in conjunction with SWIFT – is helping the industry solve the long-standing problem of how to provide readily accessible data for the unique identification of legal entities that engage in financial transactions. DTCC’s solution helps regulators and market participants better understand and aggregate counterparty exposures, enhance market transparency and manage systemic risk.

**Omgeo Alert™**
DTCC and Omgeo work together on critical initiatives, including providing the industry a user-governed global utility to store and communicate the “golden copy” of standing settlement instructions (SSIs). Enabling market participants to consolidate SSI information across all counterparties, matching platforms and asset classes into one database thereby reducing risk and cost, leveraging scale, and driving consistency and standardization of processes. Omgeo ALERT™, the industry’s largest and most compliant web-based database for the maintenance and communication of SSIs, will serve as the foundation for this service.

Omgeo’s services include:
- Account & SSI Database
- Automatic SSI Enrichment

**DATA PRODUCTS**
DTCC offers clients world-class data products, including databases, benchmarking, indices, and analytic products, by leveraging its data rich
infrastructure while always protecting the confidentiality of its contributors.

**Omgeo Benchmarks**

Omgeo Benchmarks is a robust data analytics solution that measures the performance of post-trade operations. This further enables clients to leverage their existing investment in Omgeo post-trade transaction solutions and continually enhance operational efficiency via:

**Trade Analytics** – a cloud based (or online/web) service for measuring efficiencies, timings and accuracy of both the client and their counterparties

**Business Intelligence Reports** – tailored reporting and consulting to measure efficiencies, timings and accuracy of both the client and their counterparties alongside their peers, as well as the overall market

**DTCC GCF Repo Index®**

The DTCC GCF Repo Index® is the first and only index that tracks the average daily interest rate paid for the most-traded general collateral finance repurchase agreement (GCF Repo®) contracts for the U.S. Treasury, federal agency and mortgage-backed securities issued by Fannie Mae and Freddie Mac. The index differs from existing benchmarks in that it is not based on subjective rate estimates; instead, it reflects actual, fully collateralized and centrally cleared repo transactions. As a result, it is a more accurate reflection of funding costs than LIBOR and other benchmarks that are based on estimated costs.

**Exchange Traded Funds (ETF) Portfolio Service**

Through DTCC’s subsidiary, National Securities Clearing Corporation (NSCC), ETF market participants have access to an automated and a centralized platform for ETF processing. DTCC’s streamlined approach gives users the ability to review, either on-line or in a data file, the ETF’s portfolio constituents, which are also used to automate the creation and redemption of ETF shares and their subsequent settlement. Additionally, this ETF information can be distributed automatically through a variety of secured transmission options, giving clients immediate access to the portfolio files. This creates efficiencies and reduces cost and risk while facilitating improved business processing.

**Analytic Reporting for Annuities**

Analytic Reporting for Annuities, a service of DTCC’s Insurance & Retirement Services business, differentiates itself from competitors by mining real, objective data from annuity transactions — instead of subjective survey data — to provide clients with more accurate market information and detailed benchmarking. Business intelligence features include a research portal for unrivaled access to aggregated annuity transaction data and the functionality to conduct targeted territory analysis down to the ZIP code level.

**LOAN/SERV**

This suite of services supports the global syndicated loan market. Offerings include Loan/SERV Reconciliation, a service allowing agent banks and lenders to reconcile syndicated loan positions, transactions and contract information on a daily basis; and Loan/SERV Cash on Transfer service, the first delivery-versus-payment mechanism for the secondary loan market.
Throughout our 40-year history, DTCC has provided trusted guidance and leadership to the financial industry. Today, we build on this valuable experience, using it to anticipate new challenges and respond with leading-edge products and services. As always, our focus is maintaining the safety and security of the world’s financial markets and helping drive business growth. This steadfast commitment forms the foundation of DTCC’s promise to its clients. We truly are **Securing Today. Shaping Tomorrow.™**

For more information on DTCC and its products and services, visit [DTCC.com](http://www.dtcc.com)

For information on careers at DTCC, visit [DTCC.com/careers](http://www.dtcc.com/careers)

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Find us on LinkedIn: [LinkedIn.com/company/dtcc](https://www.linkedin.com/company/dtcc)