

DTCC CA Transformation – Project Timeline

CA Transformation ISO 20022 and CA Web

Phase 3 (2012 – 2015) Distributions Lifecycle

ISO 20022 - COMPLETED

- Only Distributions event types
 - Cash/Stock Dividend
 - Principal & Interest
- Processing lifecycle for entitlements, instructions, allocations & adjustments

CA Web - COMPLETED

- Users migrated to new browser in June 2014 for parallel testing
- Retired PTS / PBS Functions BOOK, DUEB, TAXI in Oct 2014; SDAR (D), DIVA, DAWN, DPAL, EDS, PIAR, ADJI in Q1 2015

Clients use CA Web for Distributions

Phase 4 (2014 – 2017) Redemptions Lifecycle

ISO 20022 - COMPLETED

- Added Redemptions event types
 - Full/Partial Call
 - Maturity, etc.
- Processing lifecycle for entitlements, allocations, adjustments + lottery results

CA Web - COMPLETED

- Introduced new browser features for redemption events
- Clients tested CA Web in parallel in 2016 -17 to compare against RIPS, SDAR Dept. "R" and ADJI

Clients use CA Web for Redemptions Lifecycle activity

Phase 5 (2016-2019) Reorganization Lifecycle

ISO 20022 – COMPLETED

- Adding Reorganizations event types
 - Voluntary (Tender, etc.)
 - Mandatory (Merger / Exchange)
- Processing lifecycle for entitlements, allocations, adjustments & instructions statement report (CAST message)

CA Web – 2018-19

- Introduce parallel testing of new browser features for reorganization events -- entitlements, allocations, adjustments -- Q3 2018 - COMPLETED
- Mandated conversion to new browser
- Retire reorg PTS / PBS functions RIPS, SDAR-C, ADJI – Q2 2019

Ongoing effort – Onboard to ISO 20022 and retire CCF files

Phase 2 (2011 – 2012) – ALL ANNOUNCEMENTS (COMPLETED)

CA Web browser displays announcements for all event types – Distributions, Redemptions and Reorganizations

Phase 1 (2010) – Introduce New Data Model (COMPLETED)