## DTCC CA Transformation – Project Timeline

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

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

### 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)
- Phase 3 (2012 – 2015) Distributions Lifecycle
- Phase 4 (2014 – 2017) Redemptions Lifecycle
- Phase 5 (2016-2019) Reorganization Lifecycle

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