

B #:	9740-18
Date:	September 20, 2018
To:	All Participants
Category:	Operations
From:	Asset Services – Corporate Actions
Attention:	Operations Managers/Technology Managers
Subject:	Position Adjustment Tool Available in Production Beginning on September 28, 2018

This notice is written as a follow-up to [Important Notice 9466-18](#), published on September 11, 2018.

Beginning on September 28, 2018, the Position Adjustment Tool (PAT) will be available for clients in production.

The Position Adjustment Tool in CA Web will enable clients to self-service their firm’s position adjustments (i.e. Treasury Buybacks). As a result of this new functionality, DTC is able to pass on savings to our clients. DTC has amended the fees associated with Treasury Shares Adjustments, which will go into effect on October 1, 2018, as shown below.

Fee Name	Amount (\$)	Conditions	Fee ID
Treasury Shares Adjustments	25.00	Per adjustment prior to scheduled payment date completed using the Position Adjustment Tool (PAT) in the CA Web (Up to Payable Date -2)	715
Late Treasury Shares Adjustments	500.00	Per adjustment prior to scheduled payment date completed by DTC (Payable Date -1, Payable Date)	716

The self-service Position Adjustment Tool in the CA Web is only available to make adjustments up to Payable Date -2. All adjustments that must be made after this deadline, must be completed by DTC and the Late Treasury Shares Adjustments fee (ID 716) will apply.

Enhancements to CA Web for Position Adjustment Tool Functionality

- The Entitlements tab on the CA Web dashboard will include:
 - New ‘Position Adjustment’ feature when user clicks on ‘Record Date Position’ or ‘Late Record Date Position’
 - Save as Draft, Submit, Cancel, Approve, Reject features
 - Treasury Buyback submission audit trail
- A new ‘Position Adjustment’ menu will appear under the ‘Adjustments’ option. This menu will show a history of all position adjustments specific to your firm as well as bulk approval/rejection features.

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Functionality Rules

- Clients are able to make position adjustments on the Entitlements tab within CA Web. This functionality is available up until end of day on payable date - 2. Clients are only able to down post their positions.
- There is secondary approval required for all submitted position adjustments.
- No paper documentation will be required to support the position adjustment process if the adjustment is made on CA Web.
- Any adjustments made on payable date - 1 and on payable date will be handled by DTC Corporate Actions Operations as is done today.

CA Web Access to Position Adjustment Tool

The roles required to access the Position Adjustment Tool are detailed below and available for provisioning by Super Access Coordinators (SACs) and Access Coordinators (ACs). The chart indicates the CA Web functionality and role, and what each available role enables the user to do.

CA Web Function	CA Web Role Definition
Allocations/Entitlements	Allows eligible users to access allocation and entitlement data. Allocation data includes cash, stock, MMI, and foreign allocated and projected payments. Payment information will be displayed 7 business days before and after payable date. Along with viewing payment information, eligible users will also be able to see position information (entitlement) which determined the allocation. Position information will be displayed down to the position activity detail.
CA PAT Inquiry	Enables users to search Position Adjustment inquiries via CA Web
CA PAT Adjustment Entry	Enables users to create Position Adjustments for selected Events through CA Web
CA PAT Customer Approver *Clients will need multiple users to have the approver role. Submitted position adjustments cannot be approved/rejected by the submitter.	CA PAT Customer Approver: Enables users to approve Position Adjustments for their firm

Links to Learning Materials

CA Web User Guide:

https://www.dtclearning.com/products-and-services/asset-services/corporate-actions/corporate-actions-web/corporate-actions-web-user-guide.html?mkt_tok=eyJpIjoiT1dFeFlqZzFPR1ZgTVdRMSIsInQiOiJMOEluTDBKV3JxRIZFUniITNzRMbUc0RTRGdzZtK3JBbU44QVwvWW1cL05mMFNVZzRhaG50cjBkZlZwdkdVazQwWFwvQ1FZZkFaT05MbzV2eE1BT1lqaksxZz09In0%3D

Position Adjustment Training Videos:



https://www.dttclearning.com/products-and-services/asset-services/corporate-actions/position-adjustments/6655-position-adjustments-learning-path.html?mkt_tok=eyJpIjoiT1dFeFlqZzFPR1ZqTVdRMSIsInQiOiJMOEluTDBKV3JxRIZFUmlTNzRMbUc0RTRGdzZtK3JBbU44QVwvWW1cL05mMFNVZzRhaG50cjBkZlZwdkdVazQwWFwvQ1FZZkFaT05MbzV2eE1BT1lqaksxZz09In0

Preparing For This CA Web Enhancement


- For the PAT code to take effect in your browser session, you may need to follow the steps below to clear your cache when you log in on Friday, September 28th. Note that if your organization restricts your browser settings, someone on your technology support team will have to do this for you.

To Perform a Total Cache Clear:

Google Chrome:

1. On your computer, open Chrome.
2. At the top right, click the More  button.
3. Click **More tools**  then click **Clear browsing data**. *Alternatively, clicking the Ctrl and Shift and Delete keys simultaneously will bring you right to the setting to clear your cache.*
4. At the top, choose a time range. To delete everything, select **All time**.
5. Next to "Cookies and other site data" and "Cached images and files," check the boxes.
6. Click **Clear data**.
7. Close all open browser sessions and open a new session and log back into CA Web.

Internet Explorer 11:

1. On your computer, open Internet Explorer.
2. Select the **Tools**  button, point to **Safety**, and then select **Delete** browsing history. *Alternatively, clicking the Ctrl and Shift and Delete keys simultaneously will bring you right to the setting to clear your cache.*
3. A pop-up will appear.
4. Choose the types of data or files you want to remove from your PC, and then select **Delete**.
5. Close all open browser sessions and open a new session and log back into CA Web.

Additionally, if you are using Internet Explorer, you must not be running in compatibility mode. To remedy that, press the F12 key. The screen below will appear. The compatibility mode will be in the red box on the upper right hand side. For the CA Web changes to take effect, the default must be set to Edge. If you cannot set the default to Edge (e.g., it reverts back to a lower browser) you may be in enterprise mode. If that's the case, your technology teams will have to remediate this for you.



- Get provisioned for CA Web Position Adjustment functionality in DTC's Production region via your SAC or AC
- Visit the DTCC Learning center at <https://dtcclearning.com/> to view Position Adjustment training videos
- Review the CA Web User Guide which has been updated to include Position Adjustment topics
 - The CA Web User Guide is also available on DTCC's Learning Center and via the CA Web online help which can be accessed by clicking on any ? icon within the CA Web application

Questions about this notice can be directed to your firm's DTC Relationship Manager.