

DTCC



SHAREHOLDER DEMAND & DISSENT/APPRAISAL RIGHTS USER GUIDE FOR MYDTCC AND CA WEB

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Table of Contents

SECTION 1 INTRODUCTION	4
SECTION 2 SUBMITTING A REQUEST OR WITHDRAWAL	5
2.1 MYDTCC	5
2.2 CA WEB	16
SECTION 3 MONITORING SHAREHOLDER DEMAND OR DISSENT/Appraisal rights requests	22
3.1 STATUS	22
3.2 VIEWING A NEW RESPONSE	22
3.3 VIEWING ATTACHMENTS	23
3.4 REOPENING A SHAREHOLDER DEMAND INQUIRY	23
SECTION 4 GENERAL INFORMATION	24
4.1 CONTACT INFORMATION	24
4.2 SHAREHOLDER DEMANDS REQUIREMENTS AND TEMPLATE	24

SECTION 1 INTRODUCTION

The purpose of this User Guide is to familiarize DTC participants with the process of submitting Shareholder Demand and Dissent/Appraisal Rights requests to DTC via both the MyDTCC platform and the CA Web. The User Guide is not intended to serve as a legal document. No statement in this User Guide should be construed as a legally binding rule or regulation, or as creating an obligation on the part of DTCC or any person.

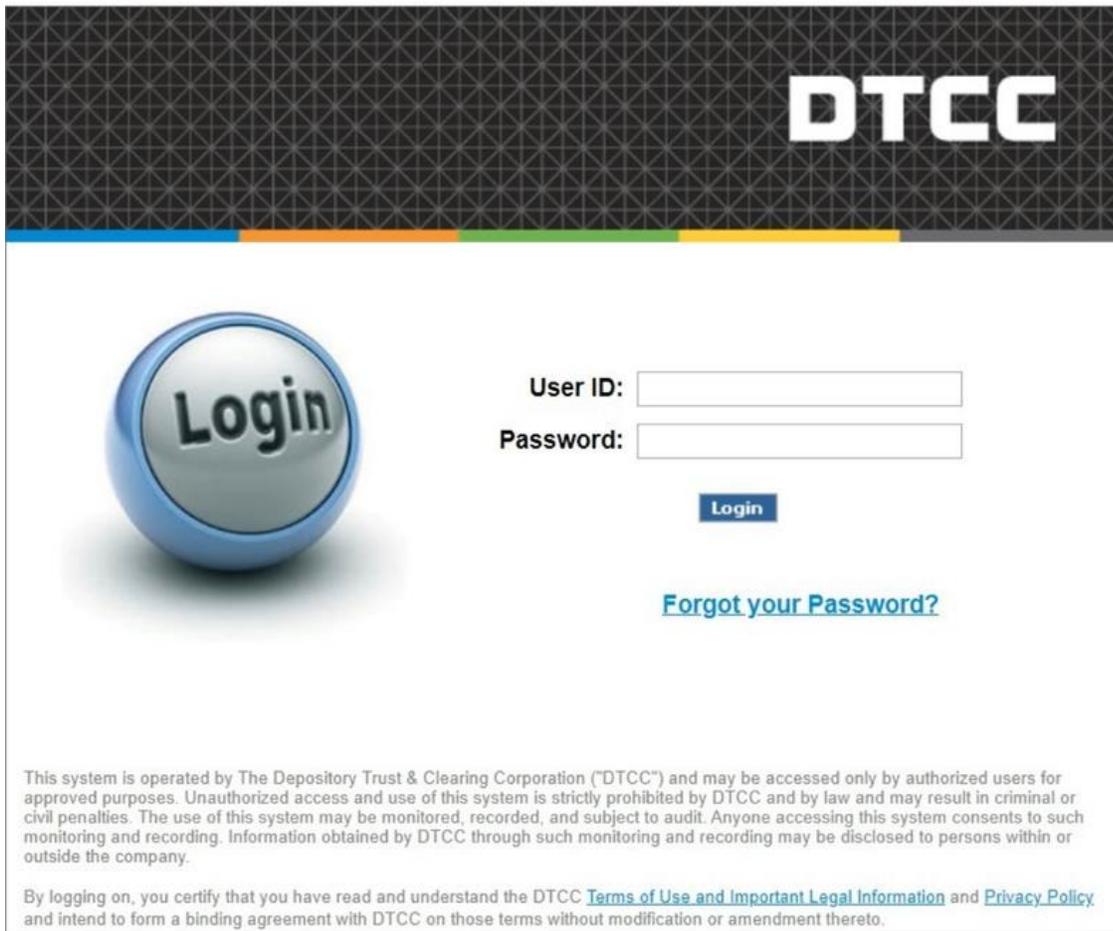
The MyDTCC platform provides participants with systemic tracking and reporting capabilities by use of unique case numbers. General inquiries pertaining to a Shareholder Demand or Dissent/Appraisal Rights should be directed to demandanddissent@dtcc.com or to DTC's Asset Services and Billing Support team at 888-382-2721, prompt #4 (Proxy), followed by prompt #5 (Demand & Dissent Letters). The following User Guide will provide a step-by-step walk through of the process from creation to conclusion of a Shareholder Demand or Dissent/Appraisal Rights request and withdrawal.

SECTION 2 SUBMITTING A REQUEST OR WITHDRAWAL

There are now two ways to submit an inquiry to DTC. The first method is via MyDTCC for unannounced events. The second method is via the CA Web for Corporation Action events that are already announced. All submitted requests and their statuses can be viewed within MyDTCC.

2.1 MYDTCC

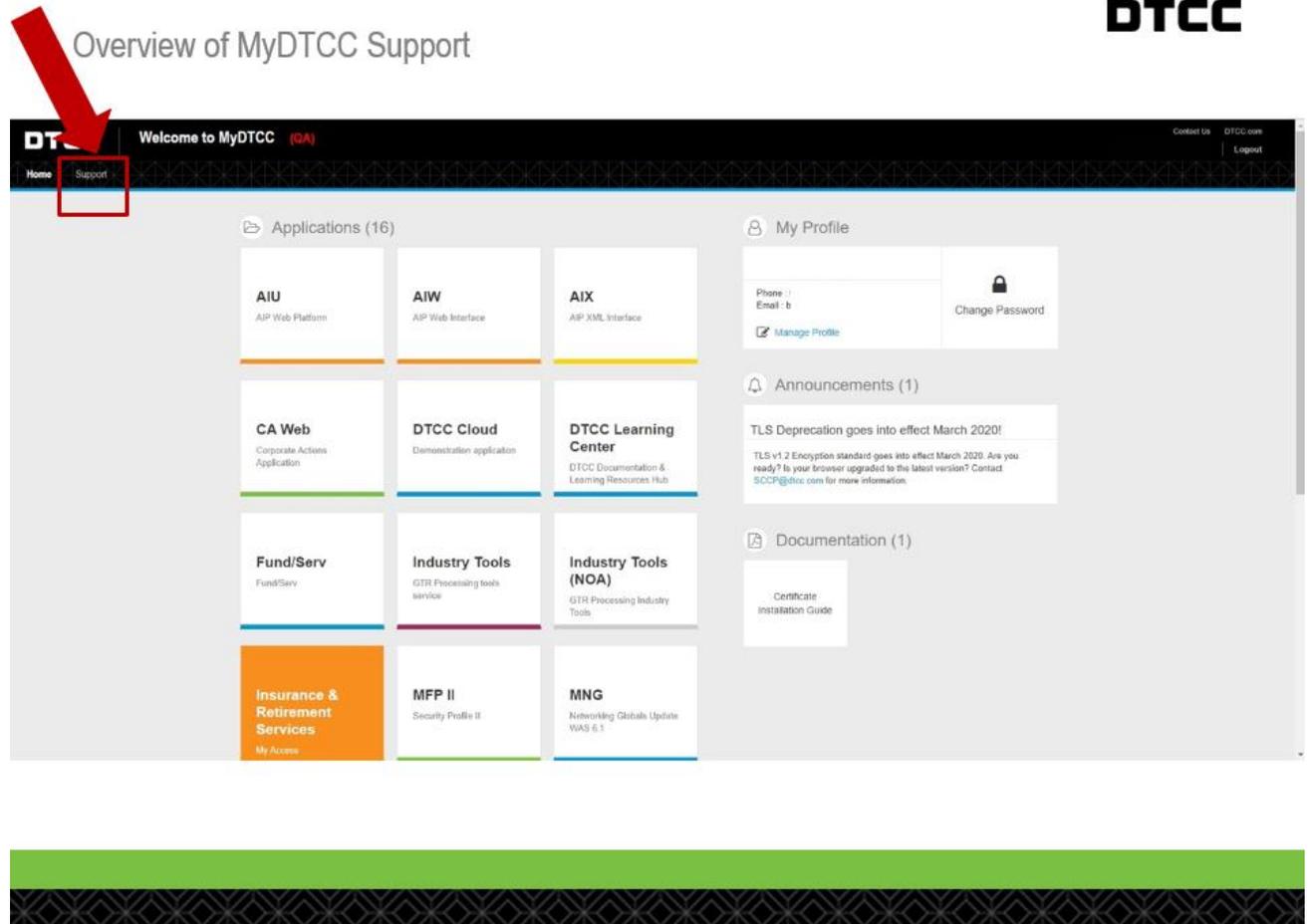
To submit a Shareholder Demand or Dissent/Appraisal Rights request, log into the MyDTCC portal (<https://portal.dtcc.com/>) using your current credentials. If you need access provisioned to the MyDTCC portal, please contact your Super Access Coordinator. If you do not have your Super Access Coordinator's contact information, please email Entitlements@dtcc.com.



The image shows a screenshot of the DTCC login portal. At the top right, the DTCC logo is displayed in white on a dark background. Below the logo is a horizontal bar with blue, orange, green, and yellow segments. The main content area features a large blue sphere with the word "Login" on it. To the right of the sphere are two input fields: "User ID:" and "Password:". Below these fields is a blue "Login" button. Underneath the button is a blue link that says "Forgot your Password?". At the bottom of the page, there is a disclaimer in small text: "This system is operated by The Depository Trust & Clearing Corporation ("DTCC") and may be accessed only by authorized users for approved purposes. Unauthorized access and use of this system is strictly prohibited by DTCC and by law and may result in criminal or civil penalties. The use of this system may be monitored, recorded, and subject to audit. Anyone accessing this system consents to such monitoring and recording. Information obtained by DTCC through such monitoring and recording may be disclosed to persons within or outside the company." Below the disclaimer is another line of text: "By logging on, you certify that you have read and understand the DTCC [Terms of Use and Important Legal Information](#) and [Privacy Policy](#) and intend to form a binding agreement with DTCC on those terms without modification or amendment thereto."

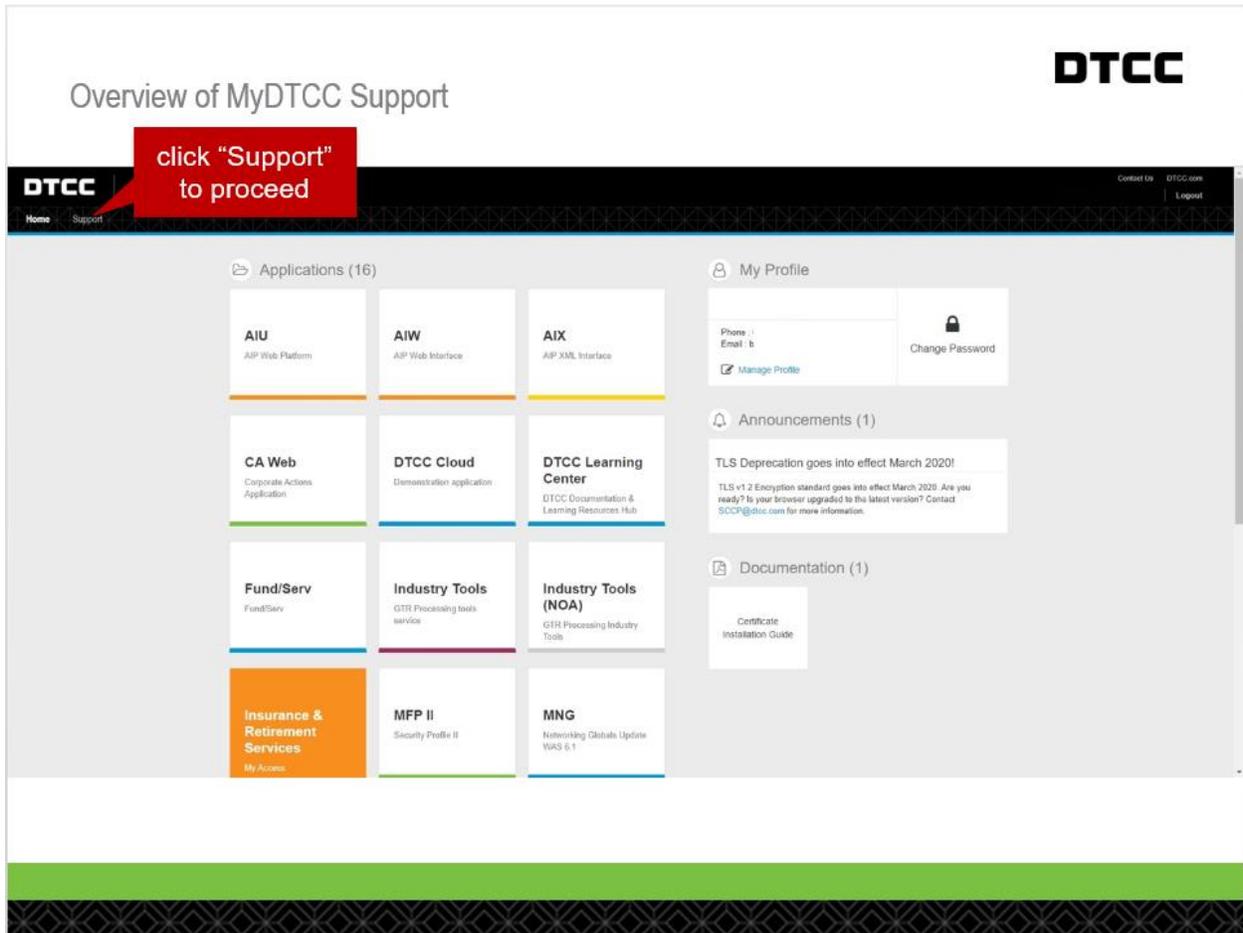
Once logged in, you are directed to the MyDTCC home page where you can access your applications. On the banner at the top left of the page, a “Support” tab has been added.

Overview of MyDTCC Support

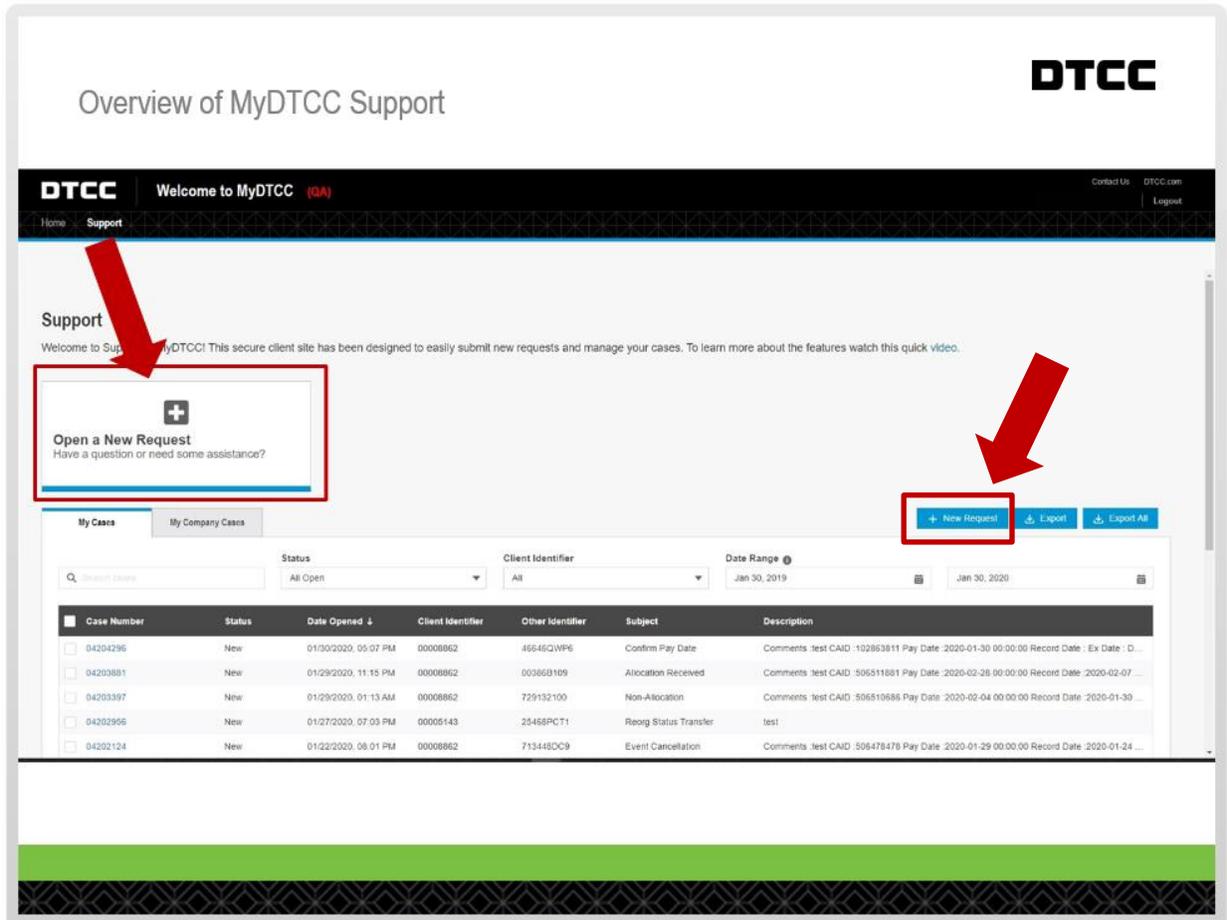


The screenshot shows the MyDTCC home page interface. At the top right is the DTCC logo. The navigation bar includes 'Home' and 'Support' (highlighted with a red box and a red arrow). The main content area is titled 'Welcome to MyDTCC (QA)' and features a grid of application tiles under the heading 'Applications (16)'. The tiles include AIU (ASP Web Platform), AIW (ASP Web Interface), AIX (ASP XML Interface), CA Web (Corporate Actions Application), DTCC Cloud (Demonstration application), DTCC Learning Center (DTCC Documentation & Learning Resources Hub), Fund/Serv (Fund/Serv), Industry Tools (GTR Processing tools service), Industry Tools (NOA) (GTR Processing Industry Tools), Insurance & Retirement Services (My Access), MFP II (Security Profile II), and MNG (Authenticating Globals Update WAS 6.1). On the right side, there are sections for 'My Profile' (with fields for Phone and Email, and links for Manage Profile and Change Password), 'Announcements (1)' (with a notice about TLS Deprecation), and 'Documentation (1)' (with a link for Certificate Installation Guide).

Click "Support" to go directly to Support at MyDTCC.



From the MyDTCC Support page, you can open a new Shareholder Demand or Dissent/Appraisal Rights request by selecting the “Open a New Request” button on the left side of the page or the “+ New Request” button on the right side of the page.



The “Open a New Request” screen will appear, and you will populate fields within four categories. First, in the “Select a product” category, select “**Asset Services**” from the Product or service dropdown list.

Support / New Request

Open a New Request

✓ **Select a product**

Product or service

Asset Services

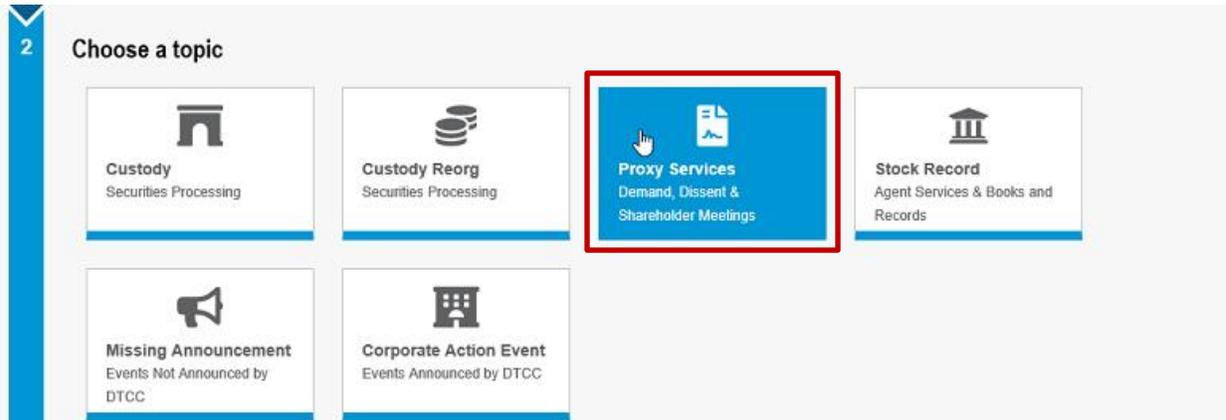
2 **Choose a topic**


Custody
Securities Processing

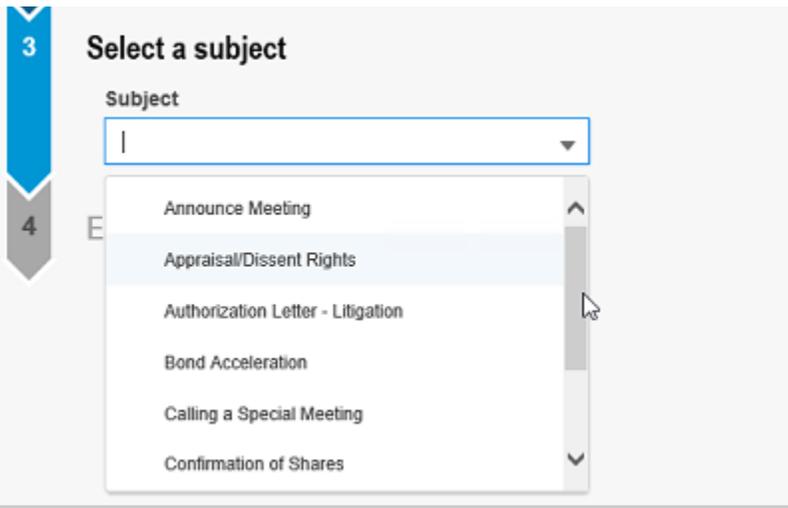

Custody Reorg
Securities Processing


Proxy Services
Demand, Dissent &
Shareholder Meetings

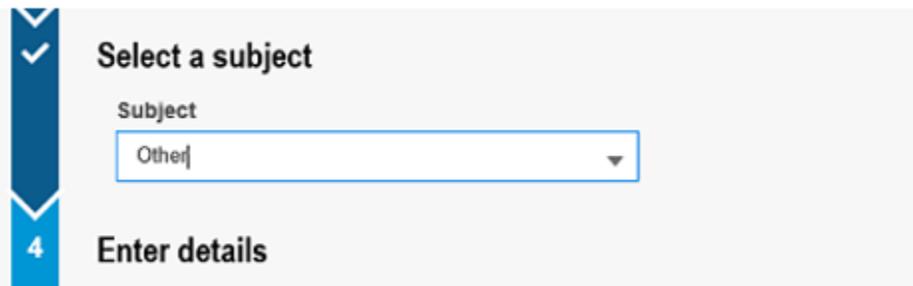
Next, in the “Choose a topic” category, select “**Proxy Services**”.



Next, in the “Select a subject” category, in the Subject dropdown list select either “Appraisal/Dissent Rights” or the specific type of Shareholder Demand applicable to your request.



If none of the subjects in the dropdown list apply to your request type, select “Other”.



Finally, in the “Enter details” category, populate each of the listed fields. Note: the required fields are specific to the subject selected in the “Select a Subject” category (above) and will change based on your selection.

The Participant ID dropdown list is prepopulated with the participant ID(s) you are authorized to act upon.

The screenshot shows a web form titled "Enter details" with a blue vertical bar on the left containing the number "4". The form contains several input fields: "Participant ID*" (a dropdown menu with "Select one..." text), "CUSIP*" (a text input field with a "Check ID" button), "Quantity of Shares/Bonds*" (a text input field), "Appraisal" (a dropdown menu with "Select one..." text), "Number of Beneficial Owners" (a slider control), and "Courier Account Number" (a text input field). A checkbox labeled "Please enter a CUSIP" is checked. A red rectangular box highlights the "Participant ID*" dropdown menu.

Next, enter the CUSIP number for your request and select “Check ID”. The CUSIP is validated against DTCC’s Security Master File. Once validated, the Issuer Name appears beneath the CUSIP. Note: Shareholder Demand or Dissent/Appraisal Rights requests cannot be submitted for CUSIPs that are not DTCC eligible.

This screenshot is identical to the one above, showing the "Enter details" form. However, a red rectangular box highlights the "CUSIP*" text input field and the "Check ID" button. The "Participant ID*" dropdown menu is no longer highlighted.

Continue to populate the fields with the details of your request. Use the "Description" field to enter any additional information you wish to include with your request.

The screenshot shows a form titled "4 Enter details". It contains several input fields: "Participant ID*" (a dropdown menu with "Select one..." text), "CUSIP*" (a text field with a "Validate" button and a checkbox labeled "Please enter a CUSIP."), "Quantity of Shares/Bonds*" (a text field), "Record Date" (a date picker), "Number of Beneficial Owners" (a text field), and "Courier Account Number" (a text field). A large text area labeled "Description*" is highlighted with a red border. Below it is a "Preferred Timezone" dropdown menu with "--None--" selected. A warning icon and text state "Attachments can be added to the case after it is created." A blue "Submit" button is at the bottom left.

If your request is for a withdrawal of a Dissent/Appraisal Rights previously submitted, in the "Enter details" category, select "Withdrawal" in the "Appraisal/Dissent" dropdown list. Otherwise, select "Submission" from the dropdown list.

This screenshot is similar to the one above, but the "Appraisal/Dissent*" dropdown menu is open, showing two options: "Submission" and "Withdrawal". The "Withdrawal" option is highlighted in light blue. The "Description*" field is no longer highlighted. All other fields and the "Submit" button remain the same as in the previous screenshot.

You will be able to attach your Shareholder Demand or Dissent/Appraisal Rights letters to the request once your case has been created. Templates for the letters are available at <http://www.dtcc.com/settlement-and-asset-services/issuer-services/proxy-documentation>.

To create your case, select “Submit”.

4 Enter details

Participant ID* CUSIP* Quantity of Shares/Bonds*

Please enter a CUSIP.

Record Date Number of Beneficial Owners Courier Account Number

Description*

Preferred Timezone

⚠ Attachments can be added to the case after it is created.

Once the request is submitted, a case is created and the unique case number is displayed. Click “Case Detail” to go to the next page to review the details. Although your case has already been created, it is important to navigate to the next page to attach the Shareholder Demand or Dissent/Appraisal Rights letters for your request. On the next page, select “Upload” to search for your file within your folders. Add your file and select “Save” and your file will be added to the case. **Please take note that files cannot be deleted once they are uploaded.** In this section, you can also see files the DTCC Support Team has added to the case. They will display in the “Related Files” section.

Overview of MyDTCC Support

DTCC

Welcome to MyDTCC (CA) Contact Us DTCC.com
Home Support Logout

Support / Case Detail

Case Number: 04201600 [Close Case](#)

Status	Created Date	Closed Date
New	11/7/2020 11:35 PM	

Subject: CNS Voluntary Revorg
Client Identifier: 0002260
Preferred Time Zone: PT - Pacific Time
Description: Test

Contact Name
Product: Continuous Net Settlement (CNS)

CUSIP - Issuer Name: DISNEY (WALT) CO, THE
CUSIP - Country of Origin: UNITED STATES OF AMERICA
CUSIP - Sub Issue Type Description: MM Medium Term Note
CUSIP - Description: SAP Description: DISNEY WALT CO NEW MEDIUM TERM NTS BOOK ENTRY TRANCHE # TR 60066 DTD DTDRS/1472 2.500% 6/21/522
NSCC Short Description: DISNEY WALT CO NEW M 60559 22
DTC Security Long Description: @MNDISNEY (WALT) CO, RR 2.550%02/14/20M2152ZGL+%

Related Files [Upload](#)

Name	Date Uploaded	Uploaded By
No Files		

As the submitter of the case you will receive an email to your email address on file which will contain the case details.

We Have Received Your Request

Dear

We have received your request. Your case details are provided below. Please reference this case number in all related correspondence with us.

Case Number	04194714
Regarding	Appraisal Rights
Opened	12/11/2019

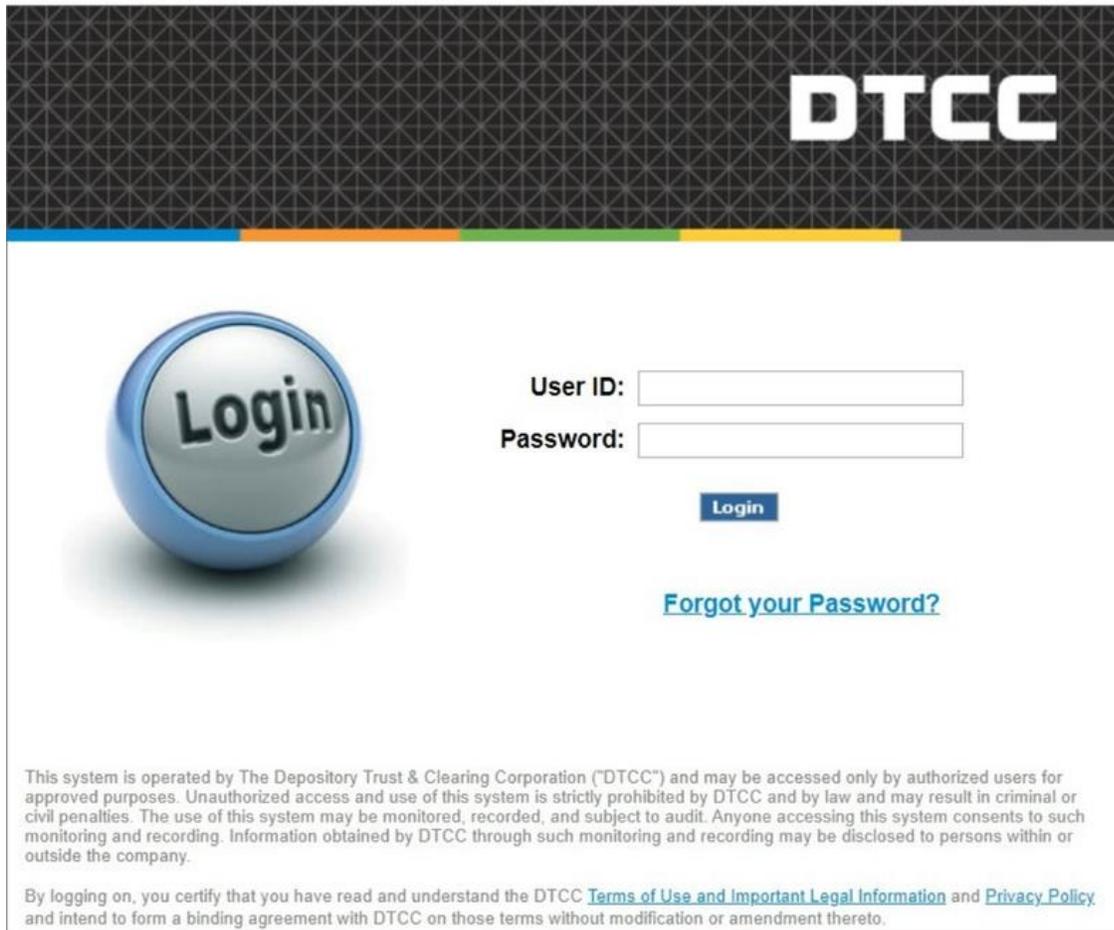
You can now manage your case directly from Support at MyDTCC.

Have you visited the DTCC Learning Center recently?

The DTCC Learning Center provides many of the answers to your commonly-asked questions. Visit [DTCC Learning](#) today for quick access to learning resources.

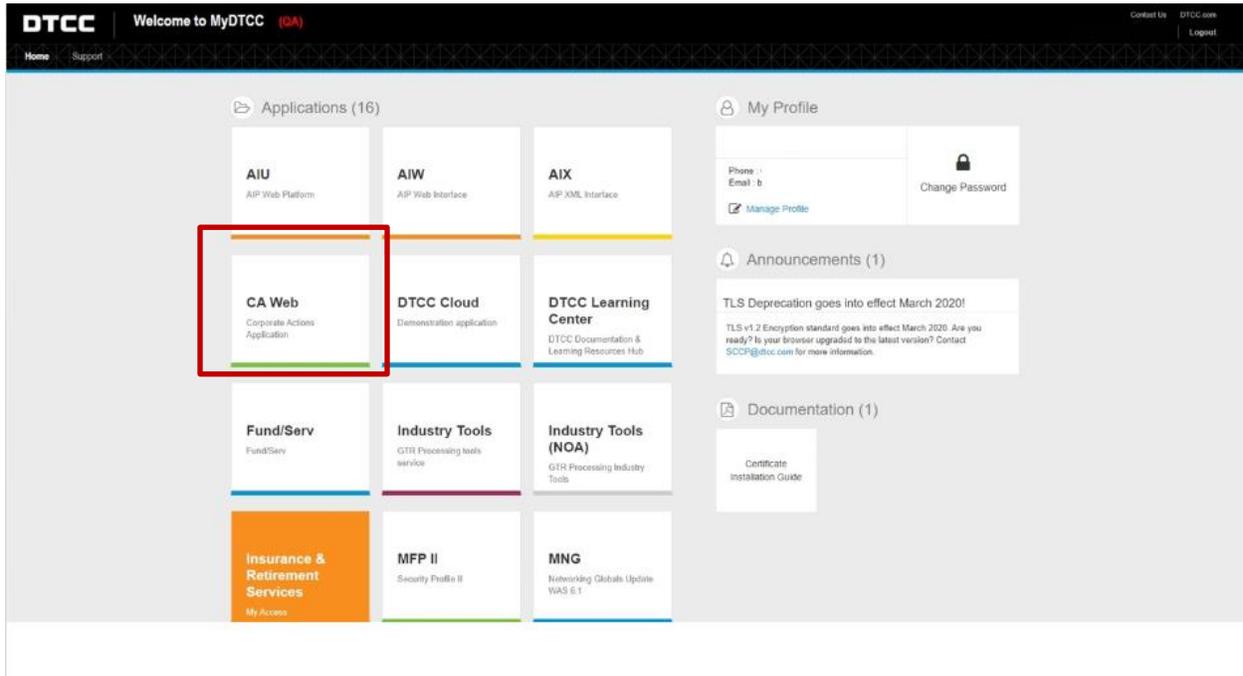
2.2 CA WEB

To submit a Dissent/Appraisal Rights request on a currently announced Corporate Action event, log into the MyDTCC portal (<https://portal.dtcc.com/>) using your current credentials. If you need access provisioned to the MyDTCC portal, please contact your Super Access Coordinator. If you do not have your Super Access Coordinator's contact information, please email Entitlements@dtcc.com.

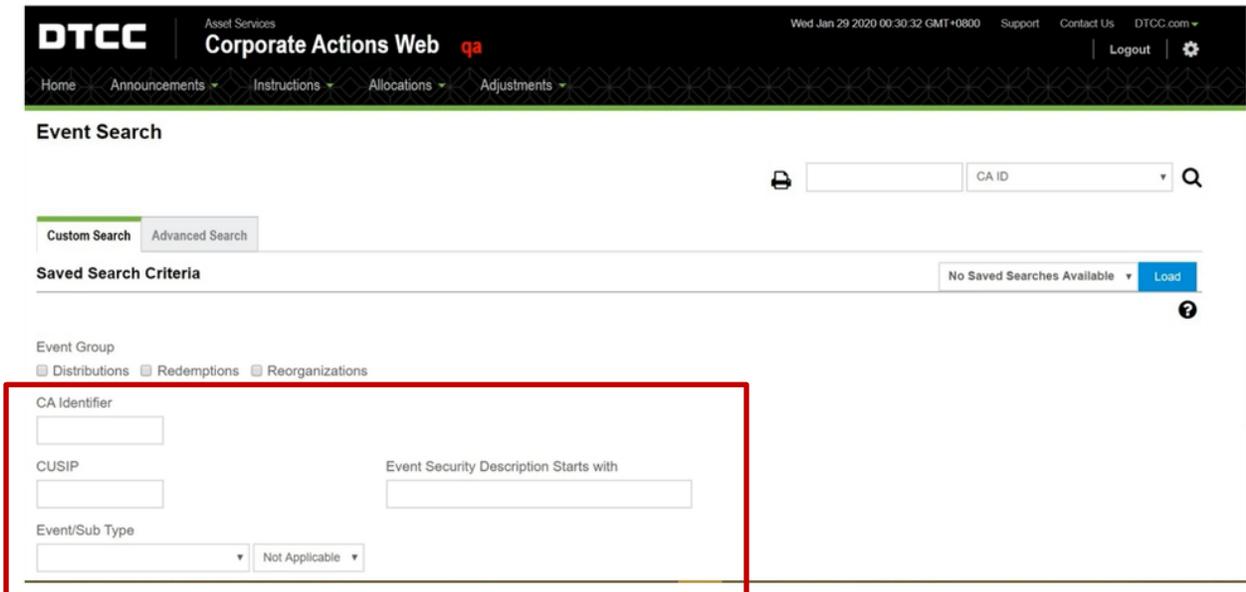


The image shows the DTCC login page. At the top right, the DTCC logo is displayed in white on a dark background. Below the logo is a horizontal bar with segments of blue, orange, green, and yellow. The main content area is white and features a large blue 3D button with the word "Login" on it. To the right of the button are two input fields: "User ID:" and "Password:". Below these fields is a blue "Login" button. Underneath the login button is a blue link that says "Forgot your Password?". At the bottom of the page, there is a disclaimer paragraph and a line of text stating that by logging on, the user certifies they have read and understand the DTCC Terms of Use and Important Legal Information and Privacy Policy, and intend to form a binding agreement with DTCC on those terms without modification or amendment thereto.

Once logged in, you are directed to the MyDTCC home page where you can access your applications. Select the “CA Web” tile.



From the CA Web main page, use the “Event Search” feature to enter the CA Web Event Identifier, CUSIP, Security Description and/or Event/Sub Type for the event you would like to submit a Dissent/Appraisal Rights request.



Find and select your event from the Search Results page.

CA ID	CUSIP	Ticker	Event Security Description	Event Type	Sub Event Type	Asset Type	DTC MV	Country of Incorporation	Event Status	Match Date	Ex Date	Record Date
506512397	59162N109		METRO INC CL A SUB VTGF -	Cash Dividend		010	C	CA	CA	Mar-10-2020	Feb-12-2020	Feb-13-2020
506512398	767744105		AUCTIONEERS INCORPORATED	Cash Dividend		010	C	CA	CA	Mar-06-2020	Feb-13-2020	Feb-14-2020
506512375	112900717		BROOKFIELD PPTYS CORP	Cash Dividend		020	C	CA	CA	Feb-14-2020	Jan-30-2020	Jan-31-2020
506512376	112900733		BROOKFIELD PPTYS CORP	Cash Dividend		020	C	CA	CA	Feb-14-2020	Jan-30-2020	Jan-31-2020
506512377	112900741		BROOKFIELD PPTYS CORP	Cash Dividend		020	C	US	CA	Feb-14-2020	Jan-30-2020	Jan-31-2020
506512400	723640306	PCFC	PIONEER COMMERCIAL FUNDING CORP	Cash Dividend	DRSP (DTC only)	010	C	US	CA	Feb-06-2020	Jan-31-2020	Feb-03-2020

From the Record Detail Page, select the “Submit an Inquiry” option, which is located on the right side of the screen.

Record Detail Page - 506510792

CUSIP: 775109101 | Issue Description: ROGERS COMMUNICATIONS INC CL A CONV | Issuer Description: ROGERS COMMUNICATIONS INC. | Asset Class: Equity | Asset Type: Convertible Common Stock | Event Group: Distributions | Event Type: Cash Dividend | Country of Incorporation: CA | Processed at DTC: Yes | DTC Eligible: Yes | Declared Mandatory / Voluntary: Mandatory | DTC Mandatory / Voluntary: Mandatory with Option | ISO Core M/V: CHOS | ISO Event Code: DVCA

Workflow Status: Conditionally Approved | XBRL Indicator: No | System Data

Event Details | Comments | Related Events | Security Position | Settlement Activity

Expand All | Collapse All | ●=Critical | ●=Required

Legacy Cross Reference

Event Level

Cancelled Flag: No

Upon clicking the link, you are directed to the “Open a New Request” window. Important information such as your Client ID, CA ID, CUSIP, Short Description, Agent Name, and Event Type are prepopulated based on the Corporate Action event selected in the previous steps.

To begin, select “Submission of Dissent/Appraisal Rights” from the Issue dropdown list.

Inquiry Criteria * = Required Field

Client ID	
CA ID	506630325
CUSIP	92116G482
Short Description	UITVKUNTRS814 C +
Agent Name	BANK OF NEW YORK UIT NY/5 CW
Event	Conversion
Issue *	<input type="text" value="Submission of Dissent / Appraisal Rights"/>
Comments *	<input type="text"/>
File Attachment	<input type="text" value="Browse..."/>

In the “Comments” field, enter any additional information you wish to include with your request.

CA ID	506630325
CUSIP	92116G482
Short Description	UITVKUNTRS814 C +
Agent Name	BANK OF NEW YORK UIT NY/5 CW
Event	Conversion
Issue *	<input type="text" value="Submission of Dissent / Appraisal Rights"/>
Comments *	<input type="text" value="Dissent request."/>

Select the "Browse" button within the File Attachment field to attach the Dissent/Appraisal Rights letters to your request. Templates for the letters are available at <http://www.dtcc.com/settlement-and-asset-services/issuer-services/proxy-documentation>. **Please take note that files cannot be deleted once they are uploaded.**

Short Description	UITVKUNTRS814 C +
Agent Name	BANK OF NEW YORK UIT NY/5 CW
Event	Conversion
Issue *	Submission of Withdrawal of Dissent / Appraisal Rights
Comments *	<input type="text"/>
File Attachment	<input type="text"/> Browse... 

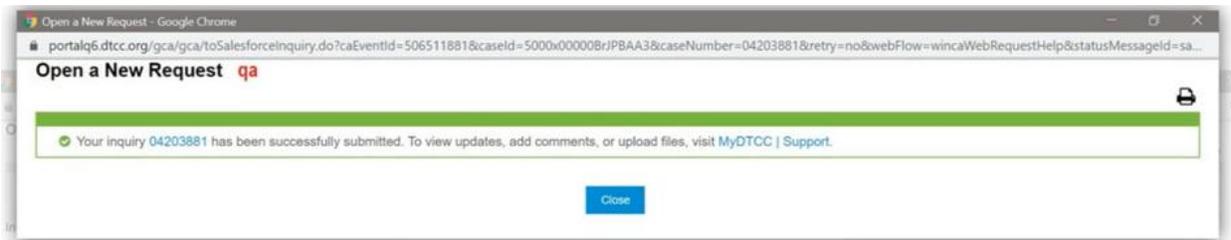
Once all mandatory fields have been populated and your file has been attached, submit your request by clicking "Send".

Comments *	<input type="text"/>
File Attachment	<input type="text"/> Browse... 

Click “OK” when prompted to confirm your submission.



Once submitted, a confirmation message appears which contains a unique case number for your request.



An email confirmation will be sent to your email address on file which will also contain the case number. The status of all cases can be viewed within the MyDTCC platform. Steps to review the status of your cases is outlined in the “Status” section of this User Guide.

We Have Received Your Request

Dear

We have received your request. Your case details are provided below. Please reference this case number in all related correspondence with us.

Case Number	04194714
Regarding	Appraisal Rights
Opened	12/11/2019

You can now manage your case directly from Support at MyDTCC.

Have you visited the DTCC Learning Center recently?

The DTCC Learning Center provides many of the answers to your commonly-asked questions. Visit [DTCC Learning](#) today for quick access to learning resources.

SECTION 3 MONITORING SHAREHOLDER DEMAND OR DISSENT/APPRaisal RIGHTS REQUESTS

3.1 STATUS

From the MyDTCC main page, your open cases can be viewed within the “My Cases” Tab. This will allow you to see the status of each ticket you have submitted. You can also view all cases opened by your company in the “My Company Cases” tab.

The screenshot displays the 'Overview of MyDTCC Support' page. At the top right is the DTCC logo. Below the header, there's a navigation bar with 'Home' and 'Support' links. A 'Welcome to MyDTCC (QA)' message is visible. A red arrow points to a '+ Open a New Request' button. Below this, there are two tabs: 'My Cases' (highlighted with a red box) and 'My Company Cases' (also highlighted with a red box). To the right of these tabs are buttons for '+ New Request', 'Export', and 'Export All'. Below the tabs is a search and filter section with a search bar, a 'Status' dropdown set to 'All Open', a 'Client Identifier' dropdown set to 'All', and a 'Date Range' selector showing 'Feb 3, 2019' to 'Feb 3, 2020'. The main content area contains a table of cases:

Case Number	Status	Date Opened ↓	Client Identifier	Other Identifier	Subject	Description
04204296	New	01/30/2020, 05:07 PM	00008862	46646QWP6	Confirm Pay Date	Comments: test CAID :102863811 Pay Date :2020-01-30 00:00:00 ...
04203881	New	01/29/2020, 11:15 PM	00008862	00386B109	Allocation Received	Comments: test CAID :506511881 Pay Date :2020-02-28 00:00:00 ...
04203397	New	01/29/2020, 01:13 AM	00008862	729132100	Non-Allocation	Comments: test CAID :506510686 Pay Date :2020-02-04 00:00:00 ...
04202956	New	01/27/2020, 07:03 PM	00005143	25468PCT1	Reorg Status Transfer	test
04202124	New	01/22/2020, 08:01 PM	00008862	713448DC9	Event Cancellation	Comments: test CAID :506478478 Pay Date :2020-01-29 00:00:00 ...
04202114	New	01/22/2020, 07:54 PM	00008862	713448DC9	Dividend Reinvestment Servi...	Comments: test CAID :506478478 Pay Date :2020-01-29 00:00:00 ...

3.2 VIEWING A NEW RESPONSE

When an update to your case has been added by a DTCC Support Team Member, you will receive an email to your email address on file to notify you that an update is available in your case. The response can be viewed within the MyDTCC case by selecting the Case Number and navigating down in the case to review the comments added.

3.3 VIEWING ATTACHMENTS

When a DTCC Support Team Member has added a file to your case, it can be viewed within the “Related Files” section within the case. Once a case is open, you can add attachments as needed by selecting the “Upload” button.

The screenshot displays the 'Overview of MyDTCC Support' page. At the top right is the DTCC logo. Below the header is a navigation bar with 'Home' and 'Support' links. The main content area is titled 'Support / Case Detail' and shows the following information:

- Case Number:** 04201600
- Status:** New
- Created Date:** 1/17/2020 11:35 PM
- Subject:** CNS Voluntary Reorg
- Client Identifier:** 0000290
- Preferred Time Zone:** PT - Pacific Time
- Description:** Test
- CUISP - Agent Name:** MM Medium Term Note
- CUISP - Sub Issue Type Description:** MM Medium Term Note
- Contact Name:** (blank)
- Product:** Continuous Net Settlement (CNS)
- CUISP - Issuer Name:** DISNEY (WALT) CO, THE
- CUISP - Country of Origin:** UNITED STATES OF AMERICA
- CUISP - Description:** SAP Description: DISNEY WALT CO NEW MEDIUM TERM NTS BOOK ENTRY TRANCHE # TR 0096 DTD DT0001412 2.550% 03/15/22; NSCC Short Description: DISNEY WALT CO NEW M 0250 22; DTC Security Long Description: @MNDISNEY (WALT) CO, RR 2.550%0001412M021520L+%

On the right side, there is a 'Related Files' section with an 'Upload' button. A red arrow points to this button. Below the 'Upload' button is a table with columns for 'Name', 'Date Uploaded', and 'Uploaded By'. The table currently contains the text 'No Files'.

3.4 REOPENING A SHAREHOLDER DEMAND INQUIRY

Following the closure of a case by the DTCC Support Team, if you need to reopen your case, navigate to your case from the MyDTCC “My Cases” tab and within the case, select “Reopen Case”.

The screenshot shows a close-up of the 'Support / Case Detail' section. The 'Case Number' is 04201899. A red box highlights the 'Reopen Case' button located in the top right corner of the case detail area.

SECTION 4 GENERAL INFORMATION

4.1 CONTACT INFORMATION

General questions concerning Shareholder Demand or Dissent/Appraisal Rights requests can be sent to demandanddissent@dtcc.com. Urgent questions should be directed to DTC's Asset Services and Billing Support team.

Call: 888-382-2721

↳ Select prompt #4 (Proxy)

↳ Select prompt #5 (Demand & Dissent Letters)

4.2 SHAREHOLDER DEMANDS REQUIREMENTS AND TEMPLATE

Additional information pertaining to DTC's Proxy Services including templates of the various Shareholder Demand and Dissent/Appraisal Rights letters is available at:

<http://www.dtcc.com/settlement-and-asset-services/issuer-services/proxy-services>

<http://www.dtcc.com/settlement-and-asset-services/issuer-services/proxy-documentation>