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| AGENT REFERENCE GUIDE: REDCAL LITE FILE | |
| Date: | 10/1/2023 |
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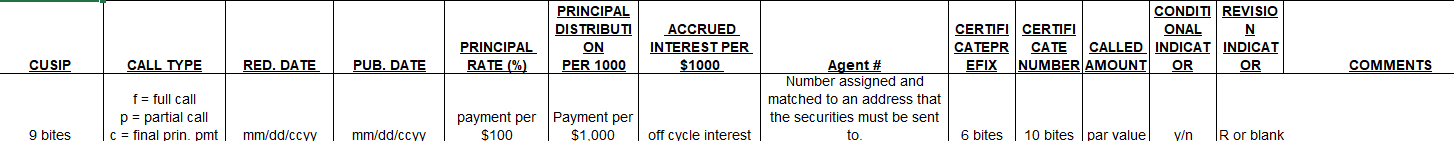
**Overview**

The RedCal Lite file was implemented to improve the communication between Agents and DTC’s Announcement Team. The RedCal Lite file is a standardized Excel spreadsheet designed for agents to clearly provide DTC with notice of upcoming and modifications to existing redemption events. The file enables the DTC Announcement Team to announce and update distribution events timely and accurately.

This document describes how agents can use the file to notify DTC’s Announcement Team with announcement detail for new and existing redemption events. Please note that information intended for the current settlement date must be received by DTC by **2:30PM** **EST** in order to be reflected in that day’s settlement. This rule does not apply for future settlement dates.

## DTC Agent File Detail Input

The spreadsheet has several fields that must be updated to permit DTC to systemically process file through its systems. The detail for the fields are listed below for your reference. You can also refer to the ***“RedCal Field Description Guide*”** for more detail about each field on [DTCC.com](dtcc.com).

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| Field Name | Description | Key Note |
| CUSIP | Security identifier associated with the event | Required Field |
| Call Type | Indicates whether the event is a Partial Call, Full Call or Final Principal Paydown. | Required Field |
| Redemption Date | Date of redemption payment | Required Field |
| Publication Date | Date that the redemption is published. Transfer of ownership will stop and the lottery is run on this date. | Required Field |
| Principal Rate | Rate of principal paid per $1000 | Required Field |
| Principal Distribution Per 1000 | The total amount of principal paid per share for the current distribution date.  ***Default to ‘99999999999’ for no value*** | Required Field |
| Accrued Interest Per 1000 | The total amount of interest paid per share for the current distribution date. Default to ‘99999999999’ for no value | Required for Interest Events |
| Agent # | Stated rate of interest for a fixed security used to calculate the interest cash rate. | Required Field |
| Certificate Prefix | This is a DTCC | *Required for Partial Calls only* |
| Certificate Number | The factor (expressed as a decimal) is the remaining principal balance of a security as of the end of the previous accrual period. | Required Field |
| Called Amount | Position Amount to be redeemed. | Required Field |
| Conditional Indicator | Indicates if there redemption is dependent on another event.  If yes, add “Y”  If no, leave the field blank | Optional Field |
| Revision Indicator | Indicates if there is an existing announcement that needs to be modified.  If yes, add “R”  If no, leave the field blank | Optional Field |

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