



<b>B #:</b>	0845-14
<b>Date:</b>	May 1, 2014
<b>To:</b>	All Clients
<b>Category:</b>	Operations
<b>From:</b>	Asset Services – Corporate Actions Transformation Product Management Team
<b>Attention:</b>	Managing Directors/Vice Presidents/Managers/Supervisors
<b>Subject:</b>	User Roles Required for Corporate Actions Web (CA Web) Access Are Now Available for Provisioning In Advance of the Commencement of the CA Web Parallel Testing Period During the Week of June 23, 2104

In order to access the Corporate Actions Web (CA Web) for Distributions lifecycle functionality when the parallel testing period commences during the week of June 23, 2014, users must be provisioned by their Super Access Coordinator (SAC)<sup>1</sup> or Access Coordinator (AC) with the roles appropriate to the job function they will be performing via CA Web. During the parallel period, clients will continue to have access to all PTS/PBS functions for Distribution events as well as to the corresponding functionality on CA Web.

At the present time, CA Web Announcements functionality is available for all clients to access. Beginning in the week of June 23, 2014, the following CA Web functionality will also be available to all clients:

- Instructions (read only until October)
- Entitlements
- Allocations
- Adjustments (read only until October)

**The roles required to access the aforementioned CA Web functionality are available now.**

- Users are encouraged to work with their SACs and ACs now to get provisioned with the roles they'll need, in order to take advantage of the full duration of the parallel testing period when it begins during the week of June 23, 2014
- The URL for the parallel testing environment will be communicated to clients in June
- The parallel period will conclude in October 2014 at which time PTS/PBS functions for Distribution events will be retired, however, they will remain available for historical research purposes

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<sup>1</sup> The Super Access Coordinator (SAC) and Access Coordinator (AC) are individuals designated by a firm to control the provisioning of ID's needed by Access Coordinators (ACs) and Users to access DTC online products. To become an SAC, the individual must complete, and submit, a DTC Super AC Form. SACs can create both ACs and Users and can also provision ACs and Users with product roles. Access Coordinators can create and provision Users with DTC products that have been assigned to their profile by their SAC.

Attached to the end of this notice are two reference charts. The first chart indicates the PTS/PBS entitlement and the name of its corresponding CA Web functionality and role. The second chart gives a description of what each available role enables the user to do. Users, SACs and ACs should consult these charts for guidance when requesting and provisioning needed roles.

**Note: Though Instructions and Adjustments roles are available now for provisioning, during the parallel period all input functionality will be disabled in CA Web until the October 2014 deployment.**

- During the parallel period clients must continue to input EDS instructions and adjustments via PTS/PBS, however, the impact of such entries will be reflected in the data displayed in CA Web
- DTC has developed an Instructions simulator clients can use to familiarize themselves with the CA Web's Instructions functionality, its screens and navigation. It is available on the Asset Services Learning Center at

<https://dtcclearning.com/learning/assetservices/products/corporate-actions-reengineering-new/corporate-actions-browser/instructions/now-you-try-it.html>

Clients that haven't already registered to use the Asset Services Learning Center will first have to do so by following these steps:

1. Go to <https://dtcclearning.com/learning/assetservices>
2. On the right hand side of the page, click **Create account**
3. Fill out the required fields and click **Register**.
4. The client will receive an email from DTCC acknowledging the registration request. A subsequent email will follow within one business day confirming approval of the registration.

Questions about the Corporate Actions Transformation initiative can be directed to your Relationship Manager, DTC's Client Account Representative Team (CART) at 212-855-4270 or the CA Transformation mailbox at [CATransformation@dtcc.com](mailto:CATransformation@dtcc.com).

PTS Function	PBS Function	CA Web	CA Web Role Name	PTS Entitlement
DIVA	Dividend Announcement Inquiry	Announcements	Customer DTC - or - Customer Admin DTC	DIVA/DAWN1,2,3
DAWN	Added and Deleted Announcements Changed comments Rate Changes			
SDAR (Dept. D only)	Reorg / Redemption / Dividend Allocations (Only Dividend Allocations is in scope for Phase 3)	Allocations	Distributions Allocations/Entitlements	SDAR
DPAL	Positions and Payment Information (Part of Dividend Announcement Inquiry)	Entitlements	Distributions Allocations/Entitlements	DPAL
PIAR	Principal and Interest Adjustments	Adjustments	Adjustments REPO Updates	PIAR
EDS	<b><u>Elective Dividend Service</u></b> Foreign Currency Payment (FCP) Tax Relief Optional Dividends Dividend Reinvestment (DRIP) Cash-in-Lieu (CIL) / Round Up	Instructions	Distributions Instructions Access (read-only)	EDS
			Distributions Instructions FCP Election Update	EDS1
			Distributions Instructions FOR Election Update	EDS2
			Distributions Instructions OPS Election Update	EDS3
			Distributions Instructions DRP Election Update	EDS4
			Distributions Instructions CRS Election Update	EDS5
	<b><u>Standing Instructions</u></b> Standing Instructions – CUSIP Global Standing Instructions – Opt-Out Global Standing Instructions		Distributions Instructions Standing Instructions	EDS1, EDS4
ADJI	<b><u>Adjustment Inquiries</u></b> Fail Adjustments Cash Adjustments Stock Adjustments Stock Loan / Repo Payment Order	Adjustments	Distributions Adjustments Access	VIEW ONLY
			Adjustments APO Updates	ADJI/SLPO
BOOK	Transfer Book Closing	Dashboard	Dashboard	N/A
DUEB	Due Bill Inquiry	Dashboard	Dashboard	N/A
TAXI	Tax Info	Instructions	Distributions Instructions Access (read-only)	TAXI

Role	Description	Category	PTS Entitlement
1. Customer DTC	General announcement access, allows users to set up individual saved searches	Announcements	DIVA, DAWN 1/2/3
2. Customer Admin DTC	General announcement access; ability to set up groups within the search function (i.e. event type groups or country groups); allows user to save searches which can then be used by all users within their firm	Announcements	DIVA, DAWN 1/2/3
3. Distributions Instructions Access (read-only)	Instructions Overview (read-only), Tax Info (read-only), Inactive and Audit Trail Instructions (EDS) Searches (read-only), Standing Instructions (read-only), Global Standing Instructions (read-only), Direct Payment Service Edit (DPS) - available only for Direct Payment Service clients. This "Distributions Instructions Access" role is required in order to select any of the additional Instruction roles (Roles 4 through 9)	Instructions	EDS (includes TAXI)
4. Distributions Instructions CRS Election Update	Input/Edit authority for CRS (Cash In Lieu / Round Up Service) elections in Instructions tab	Instructions	EDS 5
5. Distributions Instructions DRP Election Update	Input/Edit authority for DRP (Dividend Reinvestment Program) elections in Instructions tab	Instructions	EDS 4
6. Distributions Instructions Standing Instructions	Input/Edit authority for entering Global-level and CUSIP-level standing instructions	Instructions	EDS 1 & EDS 4
7. Distributions Instructions FCP Election Update	Input/Edit authority for FCP (Foreign Currency Payment) elections in Instructions tab and Wire Instructions	Instructions	EDS 1
8. Distributions Instructions FOR Election Update	Input/Edit authority for FOR (Foreign Tax Relief) elections in Instructions tab and Tax Exempt instructions	Instructions	EDS 2
9. Distributions Instructions OPS Election Update	Input/Edit authority for OPS (Optional Dividend) elections in Instructions tab (includes Beneficial Owner instructions)	Instructions	EDS 3
10. Distributions Allocations/Entitlements	Allows users to view allocations and entitlements for distribution event types. This role represents the CA Web equivalent of all screens and web pages that are covered by the SDAR/DPAL functions (Same Day Allocation Reporting/ Dividend Position Ledger in PBS)	Allocations/Entitlements	SDAR/DPAL
11. Distributions Adjustments Access	Allows users to view allocation adjustments (ADJI - Adjustments Inquiry) access in CA Web. This "Distributions Adjustments Access" role is required in order to select additional Adjustment roles (Roles 12 and 13)	Adjustments	View Only
12. Adjustments REPO Updates	Input/Edit authority for updating REPO (Repurchase) activity (formerly PIAR) for allocation adjustments	Adjustments	PIAR
13. Adjustments APO Updates	Input/Edit (add, update, approve) authority for updating Adjustment Payment Orders on Stock Loan and Repos (formerly SLPO)	Adjustments	ADJI/SLPO
14. Dashboard	*NEW to CA Web - Distribution Event Lifecycle Overview for Announcements, Allocations, Adjustments, Instructions and Event Alerts	Dashboard	Includes BOOK & DUEB