



Important Notice
The Depository Trust Company

B #:	16541-22
Date:	February 11, 2022
To:	All Participants
Category:	Operations / Reorganizations / Dividends / Settlement
From:	Asset Services – Corporate Actions ClaimConnect™ Service
Attention:	Operations Managers/Cashiers/Officers
Subject:	Upcoming ClaimConnect™ Enhancements

Based upon client feedback received, DTCC is pleased to announce enhancements to the ClaimConnect service.

The changes will be effective on Thursday, February 24, 2022 after 8:00 pm eastern time and are as follows:

- Addition of a new Claim Type field
- Notification of rejected and dropped (not made) SPOs
- Search filter to 'Limit To' closed claims

New Claim Type field

To help Participants differentiate types of claims to streamline their operational workflows, a Claim Type will be added to the claim submission form (see below).

Enter Claim ^o

*Mandatory Fields

1

Basic Claim Information

2

Additional Claim Information

3

Upload Document

4

Update Document Data

Claim Xref*

Field is mandatory

Credit / Debit*

Please select one

Cash Claim Settlement Date*

Please choose a date

☐ Settle After Match

CUSIP*

Cash Claim Amount (USD)*

Please enter a cash value

Claim Type*

Please select one

CANCEL / REBOOK

COLLATERAL FINANCE

COMPARISON ONLY

CORPORATE ACTION

FAIL CHARGE

Event Type*

Please select one

Contra Party*

Please select one

The Claim Type will be a dropdown list that is a required field upon submission and that will be validated during the comparison/matching of two like claims submitted by each Participant.

The following types will be available in the dropdown list:

- Cancel / Rebook
- Collateral Finance
- Comparison Only
- Corporate Action
- Fail Charge
- Fail Charge – CSDR
- Fail Charge – TMPG
- Matching Only
- Repo
- Securities Lending – Borrow
- Securities Lending – Loan

The Claim Type field will be found on the following functions within the ClaimConnect web application:

- Claim Submission Form
 - Claim Record Detail
 - Advanced Search Filter
 - Search Results
- End of Day Reports within the Report Center

The Claim Type is a mandatory field, therefore, it will apply to all claim records in the future. To ensure that this is the case going forward; the ClaimConnect system will affix the Claim Type 'Corporate Action' to all claims which are in a non-closed, non-cancelled state prior to end of the business day *(~6:00 pm ET) on February 24, 2022. Once the change is installed, users can go into the claim record and modify the systematically added 'Corporate Action' type if another value is more applicable.

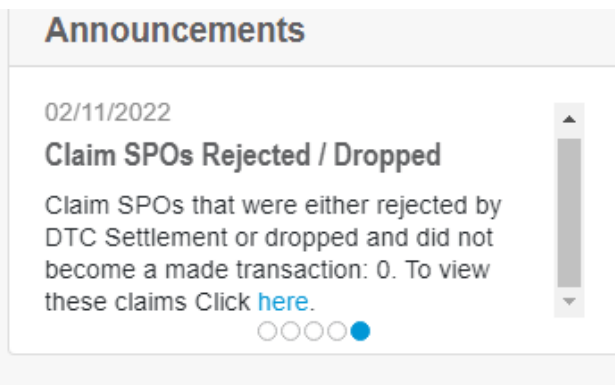
Additionally, and although the Comparison Only and Matching Only Claim Type values will be available for immediate use, the back-end processing to either not send a matched claim to settlement (Comparison Only) or to send a pre-matched claim (Matching Only) directly to settlement is not currently available and will be considered for future enhancements to the service.

Lastly, the new Claim Type will be available for use as part of the Application Programming Interface (API) automation functions.

DTCC offers enhanced access to all important notices via a Web-based subscription service. The notification system leverages RSS Newsfeeds, providing significant benefits including real-time updates and customizable delivery. To learn more and to set up your own DTCC RSS alerts, visit http://www.dtcc.com/subscription_form.php.

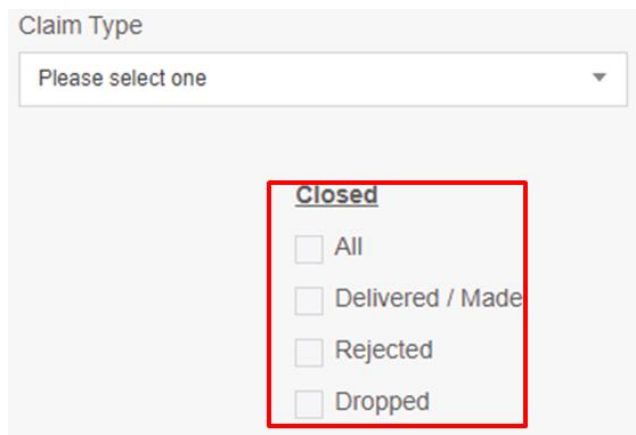
SPO Reject / Not-Made Status Alerts

For the rare instances that a Security Payment Order (SPO) that is systematically generated by a matched claim is rejected by the Inventory Management System (IMS, or Settlement) or is 'Dropped' at the end of the day prior to settlement occurring; there will be a new 'card' available (see below) within the Announcements compartment of the ClaimConnect Dashboard. Users can click upon the 'here' hyperlink to view any transactions that meet these criteria and then further research the SPOs in the Settlement Web function or by calling the Settlement Hotline at 212-855-5800.



New Advanced Search 'Limit To' Filter

To better help Participants narrow down the claims they would like returned in their advanced searches, a new 'Limit To' filter titled 'Closed' (see below) will be added to the ClaimConnect Advanced Search function on the web application. The new filter will allow for the more detailed searches that need to better understand the different events that can cause a claim to be closed.



Any questions regarding this notice should be directed to your Relationship Manager.

DTCC offers enhanced access to all important notices via a Web-based subscription service. The notification system leverages RSS Newsfeeds, providing significant benefits including real-time updates and customizable delivery. To learn more and to set up your own DTCC RSS alerts, visit http://www.dtcc.com/subscription_form.php.