



# USER GUIDE

## CORPORATE ACTIONS WEB

OCTOBER 18, 2023



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# USING SEARCHES


## Performing a Quick Search

Use the Quick Search from anywhere in CA Web to find the record detail page for any event.

The screenshot shows the DTCC Corporate Actions Web interface. At the top, there's a navigation bar with links like Home, Announcements, Instructions, Allocations, and Adjustments. Below this is a 'Dashboard' section. On the right side of the dashboard, there's a search bar. A red box highlights the search input field which contains the text '722990322'. To the right of the input field is a dropdown menu. The dropdown menu is open, showing several options: 'CA ID', 'CUSIP' (which is highlighted in blue), 'Disbursed CUSIP - Payout', 'Contra CUSIP - Option, Lottery', 'Refunded/Non-Refunded CUSIP', and 'Defeased/Non-Defeased CUSIP'. To the right of the dropdown menu is a magnifying glass icon and a 'Search' button. Below the search bar, there are several sections: 'Company Searches', 'Personal Searches', 'Preferences', 'Distributions', 'Redemptions', 'Reorganizations', 'Custody Reorg Deposits / Reorg Deposits', 'Announcements', 'Event Updates', 'Allocations (Today)', 'Warnings - Mandatory and Mandatory with Option Events', and 'Adjustments (Today)'. Each section contains a table with various data points.

1. Use the drop-down list to search by:


- **CA ID.**

Type the CA ID in the first field and click .


- **CUSIP.**

Type the CUSIP in the first field, select “CUSIP” from the drop-down list, and click .


- **Disbursed CUSIP-Payout.**

Type the CUSIP of the disbursed security in the first field, select “Disbursed CUSIP–Payout” from the drop-down list, and click .


- **Contra CUSIP-Option, Lottery.**

Type the contra CUSIP number (for an option or a lottery event), select “Contra CUSIP–Option, Lottery” from the drop-down list, and click .

- **Refunded/Non-Refunded CUSIP.**

Type the number representing the refunded or non-refunded CUSIP (for partial pre-refunded event types), select “Refunded/Non-Refunded CUSIP” from the drop-down list, and click .

- **Defeased/Non-Defeased CUSIP.**

Type the number representing the defeased or non-defeased CUSIP (for partial defeasance event types), select “Defeased/Non-Defeased CUSIP” from the drop-down list, and click 

---

**Notes:**

- The **Disbursed CUSIP** search allows you to find events where a secondary (“disbursed”) security has been received as an entitlement due to a CA event.

For example, the event security 123456789 undergoes a spinoff and a new security 987654321 is distributed to holders. You would use the “Disbursed CUSIP” option to search by CUSIP 987654321.

- The **Contra CUSIP** search allows you to find events under the contra CUSIP that was assigned to an issue at the time of the lottery.

This applies to events in which a called portion has been segregated into a free account which was then assigned a contra CUSIP. This contra CUSIP can then become the underlying security of a second lottery event.

- The **Refunded/Non-Refunded CUSIP** search allows you to find partial prerefunding events by searching for either:
    - The CUSIP being refunded (i.e., the CUSIP bearing an earlier maturity date), or
    - The CUSIP that is non-refunded (i.e., the CUSIP bearing the same maturity date as the original event CUSIP).
  - The **Defeased/Non-Defeased CUSIP** search allows you to find partial defeasance events by searching for either:
    - The CUSIP being refunded (i.e., the CUSIP bearing an earlier maturity date), or
    - The CUSIP that is non-refunded (i.e., the CUSIP bearing the same maturity date as the original event CUSIP).
- 

If there is more than one result that matches your search criteria, you will see a **Search Results** page.



**Event Search Results**

| CA ID     | CUSIP     | Ticker | Event Security Description | Event Type       | Sub Event Type | Declared Publication Date | Refunded |
|-----------|-----------|--------|----------------------------|------------------|----------------|---------------------------|----------|
| 518657123 | 722990322 |        | PINE BLUFF<br>ALA WTR & F  | Cash<br>Dividend |                |                           |          |
| 518601024 | 722990322 |        | PINE BLUFF<br>ALA WTR & F  | Cash<br>Dividend |                |                           |          |
| 518543173 | 722990322 |        | PINE BLUFF<br>ALA WTR & F  | Cash<br>Dividend |                |                           |          |
| 518427169 | 722990322 |        | PINE BLUFF<br>ALA WTR & F  | Cash<br>Dividend |                |                           |          |
| 518327334 | 722990322 |        | PINE BLUFF<br>ALA WTR & F  | Cash<br>Dividend |                |                           |          |
| 518289196 | 722990322 |        | PINE BLUFF<br>ALA WTR & F  | Cash<br>Dividend |                |                           |          |



Displaying 1 to 50 of 110 items

« < Page 1 of 3 > »

Close

- Click the **CA ID** for the event you want to inquire about from this search results list.

**Notes:**

- If you have more than one page of results, you can select the page that you want to view using the **Page** field.
- If you have more than one page of results, you can select the page that you want to view using the **Page** buttons at the bottom of the window.
- Click **Print**  to print any individual page. Note that you will only print the information you see on the screen. To print all results, use Export to Excel.
- Click **Filter**  to limit the search results by certain event criteria.

Choose your filtering criteria from the drop-down menus, enter any additional information in the fields that appear, and click **Apply**.

Grid Filter

Column

CA ID

CUSIP

Ticker

Event Security Description

Event Type

Sub Event Type

Declared Publication Date

Refunded Maturity Date

Event Stage

Contra Cusip

Asset Type

DTC M/V

Country of Incorporation

Event Status

Match Date

Criteria

-- All --

Equals722990322

-- All --

-- All --

Does not equalCash Dividend

-- All --

-- All --

-- All --

Equals

Greater than

Greater than or equal

Less than

Less than or equal

Between

-- All --

-- All --

EqualsApproved


-- All --

Filtering does not affect the exported results.

Apply

Clear

Click to Apply

- Click **Customize Search Results**  to select the columns that appear in your search results. Use the arrow buttons to move column names between the **Available** and **Selected** boxes.

Customize Result

Select fields to show in search results

Available

Event Stage

Event Status

Event Type

Interim

Mandatory Foreign Curre

Match Date

Non-Defeased CUSIP

Non-Refunded CUSIP

Selected

Actual Cover Protect Exp

Asset Type

CA ID

CUSIP

DTC Protect Expiration D

Ex Date

CA ID

CUSIP

Asset Type

Ex Date

DTC Protect Expiration Date

Actual Cover Pro Expiration Date

Save

- Click **Export to Excel** to export the search results into an Excel spreadsheet. All of the available columns will appear in the spreadsheet.

Note that filters do not apply to the exported results.

FileHomeInsertPage LayoutFormulasDataReviewViewSmart ViewACROBATTell me what you want to do...Goldstein, Shari LynnShare

ClipboardFontAlignmentProtectionNumberFormattingStylesCells

General

\$ % & +.00-0.00

Conditional FormattingTableCell StylesInsertDeleteFormatSort & FilterFind & SelectEditing

DTCC Classification: Not setDTCC Public (White)DTCC Internal (Green)DTCC Confidential (Yellow)DTCC Restricted (Red)

|    | A        | B         | C         | D             | E          | F         | G          | H          | I          | J      | K         | L   | M                    | N          | O           | P         | Q           | R           |        |
|----|----------|-----------|-----------|---------------|------------|-----------|------------|------------|------------|--------|-----------|-----|----------------------|------------|-------------|-----------|-------------|-------------|--------|
|    | CA ID    | CUSIP     | Ticker    | Event Sec     | Event Type | Sub Event | Declared F | Refunded F | Event Stag | Contra | Cur Asset | Typ | DTC M/V              | Country of | Event Stat  | Match Dat | Ex Date     | Record Date | DTC Au |
| 1  | 5.19E+08 | 722990322 | PINE BLUI | Cash Dividend |            |           |            |            |            |        |           | 102 | Mandatory United Sta | Conditiona | Oct-19-2018 |           | Oct-19-2018 |             |        |
| 2  | 5.19E+08 | 722990322 | PINE BLUI | Cash Dividend |            |           |            |            |            |        |           | 102 | Mandatory United Sta | Conditiona | Oct-12-2018 |           | Oct-12-2018 |             |        |
| 3  | 5.19E+08 | 722990322 | PINE BLUI | Cash Dividend |            |           |            |            |            |        |           | 102 | Mandatory United Sta | Conditiona | Oct-05-2018 |           | Oct-05-2018 |             |        |
| 4  | 5.18E+08 | 722990322 | PINE BLUI | Cash Dividend |            |           |            |            |            |        |           | 102 | Mandatory United Sta | Conditiona | Sep-28-2018 |           | Sep-28-2018 |             |        |
| 5  | 5.18E+08 | 722990322 | PINE BLUI | Cash Dividend |            |           |            |            |            |        |           | 102 | Mandatory United Sta | Conditiona | Sep-21-2018 |           | Sep-21-2018 |             |        |
| 6  | 5.18E+08 | 722990322 | PINE BLUI | Cash Dividend |            |           |            |            |            |        |           | 102 | Mandatory United Sta | Conditiona | Sep-14-2018 |           | Sep-14-2018 |             |        |
| 7  | 5.18E+08 | 722990322 | PINE BLUI | Cash Dividend |            |           |            |            |            |        |           | 102 | Mandatory United Sta | Conditiona | Sep-07-2018 |           | Sep-07-2018 |             |        |
| 8  | 5.18E+08 | 722990322 | PINE BLUI | Cash Dividend |            |           |            |            |            |        |           | 102 | Mandatory United Sta | Conditiona | Aug-31-2018 |           | Aug-31-2018 |             |        |
| 9  | 5.18E+08 | 722990322 | PINE BLUI | Cash Dividend |            |           |            |            |            |        |           | 102 | Mandatory United Sta | Conditiona | Aug-24-2018 |           | Aug-24-2018 |             |        |
| 10 | 5.18E+08 | 722990322 | PINE BLUI | Cash Dividend |            |           |            |            |            |        |           | 102 | Mandatory United Sta | Conditiona | Aug-17-2018 |           | Aug-17-2018 |             |        |
| 11 | 5.18E+08 | 722990322 | PINE BLUI | Cash Dividend |            |           |            |            |            |        |           | 102 | Mandatory United Sta | Conditiona | Aug-10-2018 |           | Aug-10-2018 |             |        |
| 12 | 5.18E+08 | 722990322 | PINE BLUI | Cash Dividend |            |           |            |            |            |        |           | 102 | Mandatory United Sta | Conditiona | Aug-03-2018 |           | Aug-03-2018 |             |        |
| 13 | 5.19E+08 | 722990322 | PINE BLUI | Merger        |            | Cash      |            |            |            |        |           | 102 | Mandatory United Sta | Conditiona | Aug-02-2018 |           |             | Aug-06      |        |
| 14 | 5.18E+08 | 722990322 | PINE BLUI | Cash Dividend |            |           |            |            |            |        |           | 102 | Mandatory United Sta | Approved   | Jul-27-2018 |           | Jul-27-2018 |             |        |
| 15 | 5.18E+08 | 722990322 | PINE BLUI | Cash Dividend |            |           |            |            |            |        |           | 102 | Mandatory United Sta | Approved   | Jul-20-2018 |           | Jul-20-2018 |             |        |
| 16 | 5.17E+08 | 722990322 | PINE BLUI | Cash Dividend |            |           |            |            |            |        |           | 102 | Mandatory United Sta | Approved   | Jul-13-2018 |           | Jul-13-2018 |             |        |
| 17 | 5.17E+08 | 722990322 | PINE BLUI | Cash Dividend |            |           |            |            |            |        |           | 102 | Mandatory United Sta | Approved   | Jul-06-2018 |           | Jul-06-2018 |             |        |
| 18 | 5.17E+08 | 722990322 | PINE BLUI | Cash Dividend |            |           |            |            |            |        |           | 102 | Mandatory United Sta | Approved   | Jun-29-2018 |           | Jun-29-2018 |             |        |
| 19 | 5.17E+08 | 722990322 | PINE BLUI | Cash Dividend |            |           |            |            |            |        |           | 102 | Mandatory United Sta | Conditiona | Jun-22-2018 |           | Jun-22-2018 |             |        |
| 20 | 5.17E+08 | 722990322 | PINE BLUI | Cash Dividend |            |           |            |            |            |        |           | 102 | Mandatory United Sta | Approved   | Jun-15-2018 |           | Jun-15-2018 |             |        |
| 21 | 5.17E+08 | 722990322 | PINE BLUI | Cash Dividend |            |           |            |            |            |        |           | 102 | Mandatory United Sta | Approved   | Jun-08-2018 |           | Jun-08-2018 |             |        |
| 22 | 5.17E+08 | 722990322 | PINE BLUI | Cash Dividend |            |           |            |            |            |        |           | 102 | Mandatory United Sta | Approved   | Jun-01-2018 |           | Jun-01-2018 |             |        |
| 23 | 5.17E+08 | 722990322 | PINE BLUI | Cash Dividend |            |           |            |            |            |        |           | 102 | Mandatory United Sta | Conditiona | May-25-2018 |           | May-25-2018 |             |        |
| 24 | 5.17E+08 | 722990322 | PINE BLUI | Cash Dividend |            |           |            |            |            |        |           | 102 | Mandatory United Sta | Conditiona | May-25-2018 |           | May-25-2018 |             |        |

export\_file\_CompositeSearch

Ready100%

## Quick and Custom Search

### Please note:

This is the transcript of an animated Help topic. To play the topic, refer to the topic of the same name in the online Help.

The Event Search gives you three ways to search for distribution, redemption, and reorganization announcements.

There are three ways to search. There's the **Quick Search**, the **Custom Search**, and the **Advanced Search**. Let's look at the Quick and Custom Searches, which work in much the same way.

The **Quick Search** is the fastest way to find any announcement if you know the CA ID.

Simply type the CA ID in the left field and click the magnifying glass.

This opens a single Record Detail page.

The Quick Search fields are available throughout CA Web. Use Quick Search for both current and archived records.

You can also use **Quick Search** to look up CUSIPs, including disbursed, contra-, defeased, and refunded CUSIPs.

Select a CUSIP type and click the magnifying glass. Results that match your search criteria appear on a Search Results page.

Now let's look at the **Custom Search** tab on the Event Search page. Like the Quick Search, any searches performed here check both the production and archived records databases.

You can of course look up the CA ID, but if you don't have this number on hand, you can search on the CUSIP and event. Let's see how this works.

To search across distributions, redemptions, and reorganization events, enter a CUSIP. This will give you the widest search results.

Notice that the CA Web located 10 records with this CUSIP.

We can continue refining our search. The search fields now appear underneath your search results.

It's always a good idea to combine the CUSIP with an Event Group to narrow your results further. In this case, we're interested in a Reorg event.

Our result count is now down to 6 records.

To narrow your results further, you can add an event and sub-event type. Our short list of Reorg search results is made up of Mandatory Puts, but you can narrow a longer list of results by searching by event type. If that still produces too many results, you can search by sub-event type as well.

When the list is small like this, we can scan the results list and most likely will see the record we are looking for.

Click a **CA ID** to view the record detail.

It may be helpful to know that you can search on a security description. To do this, you need to type the first word in the description as it appears on the security. Don't skip to the second word, because the CA Web will not be able to locate the description that way.

For example, let's search for a Microsoft security. As we type, we see other security descriptions for Microsoft appear in the drop-down. Selecting one of these descriptions may further narrow your results.

If you are unsure of the exact security description, you may need to search on several possibilities.

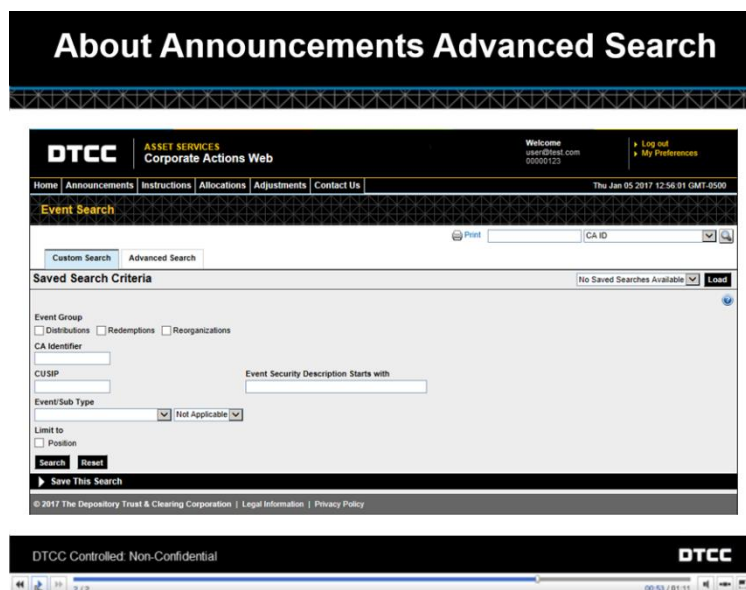
Finally, if the results list is still too large, you can narrow it further by adding more search criteria from the **Advanced Search** tab.

For more information, check out the Advanced Search topic in the CA Web Help.

# Announcements Advanced Search

## Please note:

This is the transcript of an animated Help topic. To play the topic, refer to the topic of the same name in the online Help.



The CA Web includes an Advanced search you can use to search for corporate actions event announcements. We'll look at tips for working with some of the most useful advanced search fields, as well as outline best practices to achieve successful search results.

When you first open the Event Search, the **Custom** tab is selected.

Click the **Advanced Search** tab.

The Advanced Search page contains all of the fields located on the **Custom Search** tab, as well as asset type selection, mandatory and voluntary indicators, date fields, and more search criteria.

The Advanced Search fields allow you to narrow your search even more.

A successful CA Web search requires you to combine several search fields from across the page.

The **Asset Type** allows you to narrow by asset—for example, common stock.

**Caution:** Be careful not to search for asset types that will never apply to an event type, such as an interest event on an ADR, or a CD early redemption event on a warrant security.

Unless you are completely certain of the asset type you are looking for, leave it out of your initial search.

**Best Practice:** If you have an **Event Type** selected, be careful that any **Asset Type** you select is applicable to that type of event.

To the right of **Asset Type** is the **Country of Incorporation** field. You can search for events by the country where the security was incorporated.

Click the magnifier icon to do a quick look-up. For example, click "Canada" to search for a Canadian security.

Event workflow statuses show where an event is in its processing. You can hover your mouse over the checkboxes to see the full name of each status.

For example, “AP” for “Approved” means that DTC has verified that the event is taking place and DTC has received all the pertinent information needed to process it. When an event is in “Conditionally Approved--CA” status, DTC has verified that the event is taking place; however, DTC is still waiting on pertinent information about it such as the ex-date or DTC cash rate.

**Best Practice:** Be certain you understand the difference between AP (Approved) and CA (Conditionally Approved) statuses.

The next section of the advanced search contains **DTC Mandatory/Voluntary** indicators. These indicators tell you how DTC characterizes an event.

For example, an event that is mandatory in the market may at DTC have TaxRelief options that you can instruct on such as your unfavorable, favorable, and exempt tax rates. To search for these options, you would select the **Mandatory with Options** checkbox.

To broaden your search for the largest event results, select **All**.

**Best Practice:** To broaden your **Mandatory/Voluntary** indicators for the largest event results, select **All**.

It's best to try to include some form of date criteria in your search. There are two ways you can narrow a search by date.

You can narrow by critical dates in the lifecycle of an event (such as the payable date) or you can narrow by system dates (such as the date the event information was last updated). The range you specify can be plus or minus 90 days from a starting date.

Select “Key Data Updated Date and Time” to find events for which key information has changed. See the “Searching for Events with Key Data Updated” Help topic for more information.

For example, to search for an event that will pay out in 15 days from today, select **Declared Payable Date**, select today's date, select the plus sign to search forward, and enter the number of days--in this case, 15.

Specific date selection fields appear when you select a type of date criteria.

Now, let's say it's mid-December and the event we are looking for occurred about two to four months ago. However, we don't know when exactly. Because we want to search beyond the 90-day increment allowed by the CA Web, we'll start our search in the past. By doing this, our search results will show events from September through November, the likely timeframe when the event occurred.

To do a search beginning in the past, we select the start date in the past, then we select the minus sign, and finally we enter the number of days to search back. We could also have started in the past and searched forward. The day count here refers to calendar days, which includes weekends and holidays.

You can search by the last updated date by using the **System Date** drop-down. To see events updated today, click the empty box under the calendar. The word “Today” appears. If you enter a date you can also specify a time range.

Remember that the date criteria we are highlighting here allow you to search over a 90-day time span into the future or the past. So, if you wanted to search over a 6 month period, you would enter two 90-day searches.

You don't have to enter dates in both the **Date Criteria** and the **System Date Criteria** fields. You can enter one and not the other, or you can enter both. But be careful entering both—the more specific your search criteria, the less likely your search will return results.

**Best Practice:** Whenever possible, include some form of date criteria in your search.

The last area on the **Advanced Search** tab contains fields you can use to limit your view to events modified today or yesterday, active events, and events processed at DTC.

Note that if you've set up a Watchlist, you can limit your search exclusively to those securities, too. See the Help for instructions on setting up a Watchlist to use with your search.

Finally, if this is a search you'll use again, it's best to name it and save it. That way, you can reload it later and avoid having to re-enter your search criteria.

Any date criteria must be set to today in order to save the search.

After you are satisfied that you've entered all of your search criteria, click the **Search** button at the bottom of the page.

Your search criteria now appear underneath your search results along with the criteria you've already specified, so it's very easy to modify it if you'd like to. Here, you can change, broaden, or narrow your search further.

Let's see what happens when we modify our search. Here, we're limiting it to common stock issues by specifying common stock in the **Asset Type** dropdown.

You can see how the addition of the **Asset Type** "Common Stock" substantially narrows your search results.

There are some overall best practices to keep in mind for performing an advanced search.

- It's best to add a combination of criteria to broaden your results as well as narrow them.
- If you don't receive any results, try broadening your search by deselecting or removing criteria.

**Best Practice:** Sometimes, unchecking selected search criteria returns more results.

All of these fields are here for your optional use. You can always keep it simple and add criteria as you need them.

**Best Practice:** Start simple and add criteria as needed.

Remember to save searches you'll be performing frequently.

**Best Practice:** Save frequently used searches.

Most importantly, think in terms of building an effective search by using at least four pieces of search criteria before you click **Search**.

**Best Practice:** For best results, enter at least four pieces of search criteria from different sections of the Advanced Search tab.



For example, this search for a cash dividend with an opt-out is an effective search that uses the following five criteria:

- Event Information,
- Status Information,
- Mandatory/Voluntary Information,
- Date Information, and
- Processing/Eligibility Information.

And remember, after performing a search: if you do not receive the results you are looking for, and especially if you receive no results, check every piece of criteria you entered to be sure the combination you've selected makes sense. You can also uncheck any criteria that may be preventing a successful search before performing a new search.

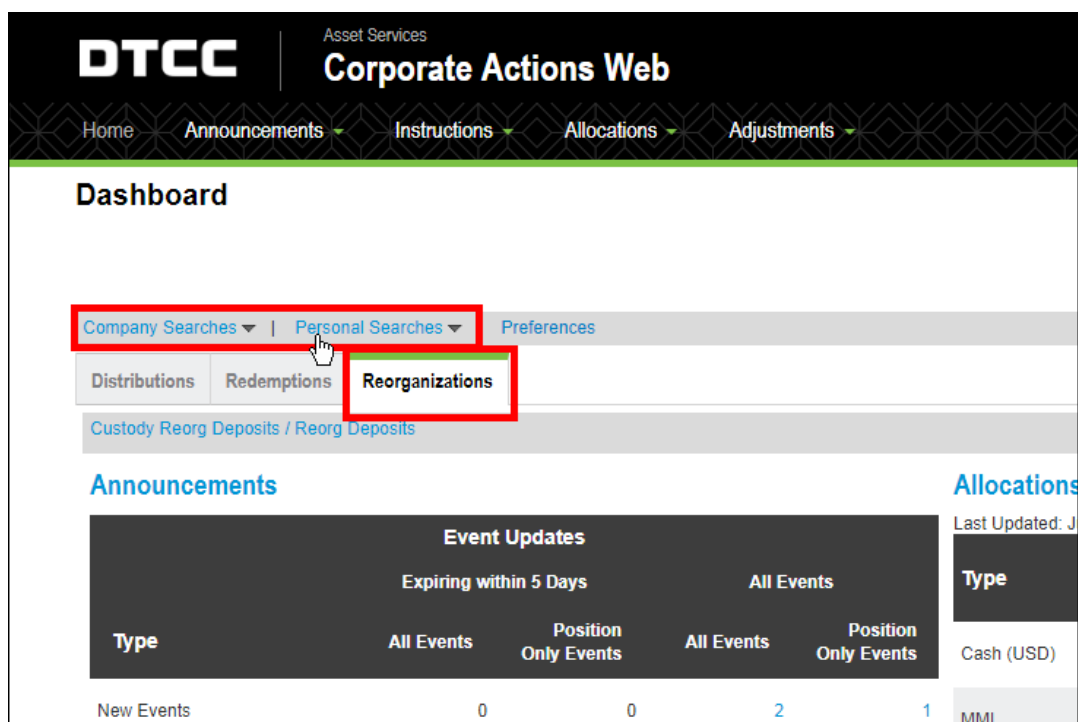
**Best Practice:** Remember to uncheck old search criteria before submitting a new search.

We hope this overview encourages you to try some advanced CA Web searches. Don't forget to save your best combinations!

## Using Saved Searches to Find Announcements

Note that you can [save a search](#) at any time for future use.

3. From the Reorganizations tab on either the [Dashboard](#) or the [Announcements Overview](#) page, click the search list you want to access.
  - Click **Company Searches** to access the common list of pre-saved company-wide queries. All profiles within your company have access to this list.
  - Click **Personal Searches** to access the list of searches that you have saved to your own profile.



A list expands for that search type.

4. Click the name of the search you want to use.

**DTCC** Asset Services  
**Corporate Actions Web**

Home Announcements Instructions Allocations Adjustments

**Dashboard**

Company Searches Personal Searches Preferences

P-Active Mandatory Puts  
P-Modified Partial Mandatory Puts

Distributions Redemptions **Reorganizations**

Custody Reorg Deposits / Reorg Deposits

**Announcements**

**Event Updates**

Expiring within 5 Days All Events

Type All Events Position Only Events All Events Position Only Events

New Events 0 0 2 2

**Allocations**

Last Updated: Ju

Type

Cash (USD)

MMI

The Search Results page appears, containing a list of announcements that match your saved search criteria.

- Click the **CA ID** of the announcement you want to view.  
The **Record Detail** page appears in that browser window, displaying the **Event Details** tab.

## Narrowing Search Results by CUSIP

Once you have performed a search (or clicked on any count from a dashboard or overview page), you can narrow those results by CUSIP.

- Perform your search.

At the bottom of every search page is the Filter Search Criteria area.

| CA ID    | CUSIP     | Event Security Description                    | Event Type   | Sub Event Type | Asset Type | Declared Payable Date | DTC Cash Rate Principal | DTC Cash Rate |
|----------|-----------|---|--------------|----------------|------------|-----------------------|-------------------------|---------------|
| 97090312 | 59335R0B6 | MMI 15-97 5.000% FA17 BE                      | Partial Call |                | 310        | Feb-15-2016           | 1,000                   |               |
| 97090186 | 395386BH7 | ARN GREENPOINT CR 00-5 D09/27/00 0.010% JJ31  | Partial Call |                | 571        | Feb-16-2016           | 1,000                   |               |
| 97090183 | 395383BM3 | GARN GREENPOINT CREDIT D10/02/01 0.010% JJ32  | Partial Call |                | 571        | Feb-13-2016           | 1,000                   |               |
| 97086532 | 01080NAA8 | SVRDO ALAMEDA RV CA D05/13/05 0.010% JJ35 BE  | Partial Call |                | 314        | Feb-15-2016           | 1,000                   |               |
| 96989220 | 31350ABP2 | SVRDO FEDERAL HOME VA D07/10/15 00.010% 49 BE | Partial Call |                | 314        | Feb-16-2016           | 1,000                   |               |
| 96989216 | 31394HC25 | CMO FREDDIE MAC 2669 D08/01/03 5.500% JJ33    | Partial Call |                | 540        | Feb-16-2016           | 1,000                   |               |

Displaying 1 to 20 of 110 items

Filter Customize Result Columns Export to Excel Page 1 of 6

**Filter Search Criteria**

CUSIP  
123456789

Search Reset

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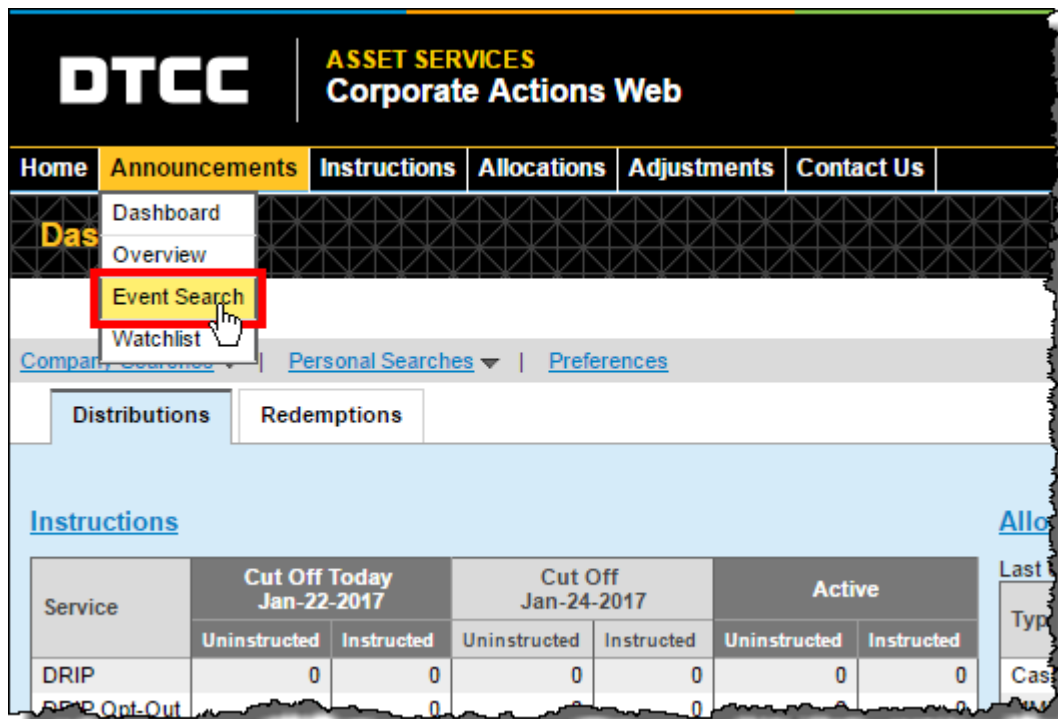
2. Type the CUSIP that you want to filter your search by.
3. Click **Search**.

Your Results page then contains only items from your original search associated with the CUSIP you selected.

## Searching for Events with Key Data Updated

You can specifically limit a search to events that have had key data updated. This allows you to target events that have had recent changes to important fields.

To perform this search from the menu bar:



1. Hover over **Announcements**.
2. Click **Event Search**.  
The Search page appears.

**DTCC** | **ASSET SERVICES**  
Corporate Actions Web

Welcome user@test.com 00000123 | Log out | My Preferences

Home | Announcements | Instructions | Allocations | Adjustments | Contact Us | Sun Jan 22 2017 20:10:55 GMT-0500

**Event Search**

Print | CA ID

Custom Search | **Advanced Search**

**Saved Search Criteria** | Load

Event Group  
☐ Distributions ☐ Redemptions ☐ Reorganizations

CA Identifier

CUSIP

Asset Type

Event/Sub Type

Composite Record Status  
☐ AP ☐ CA ☐ CN ☐ DE ☒ All

DTC Mandatory / Voluntary  
☐ Mandatory ☐ Mandatory with Option ☐ Voluntary ☐ None Provided ☒ All

Date Criteria (Select a date range)

**System Date Criteria (Select a date range)**

Create Date and Time  
**Key Data Updated Date and Time**  
 Review By Date  
 Updated Date and Time

Search | Reset

Save This Search

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3. Click the **Advanced Search** tab.
4. Select “Key Data Updated Date and Time” from the **System Date Criteria** drop-down list.  
The date and time selection fields appear.

System Date Criteria (Select a date range)

Key Data Updated Date and Time

01/20/2017

5 Days between 8:00 am and 10:00 pm (Eastern Time)

Limit to Watchlist

Modified Yesterday or Today ☐ Active ☐ Processed at DTC ☐ Position

5. Fill out the date and time period within which you want to search for events with key data that has been updated.
  - a. Type the date of your search, or the start or end date of your range, in mm/dd/yyyy format (or select a date using the calendar tool).
  - b. Select a “+” if you want to start your range with this date.  
Select a “-” if you want to end your range with this date.  
For example, if you are searching for events on the selected date and five days before, select “-” in this field.  
Select nothing if you are only searching by the selected date, not a range.
  - c. Type the number of days in your range.

For example, if you are searching for events on the selected date and five days before, type “5” in this field.

Leave this field blank if you are only searching by the selected date.

- d. Type the start of your time range in this field in “hh:mm xm” format.  
The time range is most useful when you are limiting your search to a single day.
- e. Type the end of your time range in this field in “hh:mm xm” format.
- f. If you want to select today as the search date, click this checkbox.

---

**Notes:**

- When searching for events with key data updated, you do not need to populate any other fields.
  - However, you can use any fields on this page to narrow your search (for example, by event type or asset type). See the [Advanced Search](#) topic for more information.
- 

- Click **Search** when you are finished selecting your search criteria.

System Date Criteria (Select a date range)

Key Data Updated Date and Time ▼ 01/20/2017 - 5 Days between 8:00 am  
hh:mm am/pm

Limit to  
Watchlist ▼

☐ Modified Yesterday or Today ☐ Active ☐ Processed at DTC ☐ Position

**Search** **Reset**

► Save This Search  
Click to Search

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The results page appears for this search.

**ASSET SERVICES**  
**Corporate Actions Web**

**Welcome**  
user@test.com  
00000123

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Sun Jan 22 2017 23:44:02 GMT-0500

### Event Search Results

Print
CA ID

Only the first 3,000 records are shown. To retrieve the entire list, use the Export feature.

Displaying 1 to 50 of 3,000 items
Filter Customize Result Columns Export to Excel Page 1 of 60

| CA ID     | CUSIP     | Ticker | Event Security Description           | Event Type        | Sub Event Type     | Declared Publication Date | Refunded Matur |
|-----------|-----------|--------|--------------------------------------|-------------------|--------------------|---------------------------|----------------|
| 100875780 | 74373P124 |        | PROVECTUS BIOPHARMACEUTICALS INC -*  | Warrants Exercise |                    |                           |                |
| 511575264 | 82028K200 |        | SHAW COMMUNICATIONS INC              | Cash Dividend     |                    |                           |                |
| 511577959 | 09249X109 | BKK    | BLACKROCK MUNICIPAL 2020 TERM TRUST  | Cash Dividend     | Opt Out (DTC only) |                           |                |
| 511575263 | 82028K200 |        | SHAW COMMUNICATIONS INC              | Cash Dividend     |                    |                           |                |
| 511577958 | 09249X109 | BKK    | BLACKROCK MUNICIPAL 2020 TERM TRUST  | Cash Dividend     | Opt Out (DTC only) |                           |                |
| 511577467 | 046789400 |        | ATCO LTD                             | Cash Dividend     |                    |                           |                |
| 511577493 | 922932108 |        | VELAN INC                            | Cash Dividend     |                    |                           |                |
| 511580706 | 046789509 |        | ATCO LTD                             | Cash Dividend     |                    |                           |                |
| 511575262 | 82028K200 |        | SHAW COMMUNICATIONS INC              | Cash Dividend     |                    |                           |                |
| 511577942 | 587376104 | MBWM   | MERCANTILE BANK CORPORATION          | Cash Dividend     | DRIP (DTC only)    |                           |                |
| CA ID     | CUSIP     | Ticker | Event Security Description           | Event Type        | Sub Event Type     | Declared Publication Date | Refunded Matur |
| 511575244 | 493267108 | KEY    | KEYCORP                              | Cash Dividend     | DRIP (DTC only)    |                           |                |
| 511577985 | 529900102 | ASG    | LIBERTY ALL-STAR GROWTH FD I         | Cash Dividend     | DRIP (DTC only)    |                           |                |
| 511577988 | 842587107 | SO     | THE SOUTHERN COMPANY                 | Cash Dividend     | DRIP (DTC only)    |                           |                |
| 511577947 | 00548F105 | PEO    | ADAMS NATURAL RESOURCES FUND INC     | Cash Dividend     | DRIP (DTC only)    |                           |                |
| 511577948 | 006212104 | ADX    | ADAMS DIVERSIFIED EQUITY FUND INC    | Cash Dividend     | DRIP (DTC only)    |                           |                |
| 511577957 | 09249X109 | BKK    | BLACKROCK MUNICIPAL 2020 TERM TRUST  | Cash Dividend     | Opt Out (DTC only) |                           |                |
| 511580714 | 103309100 |        | BOYD GROUP INCOME FUND TRUST UNITS * | Cash Dividend     |                    |                           |                |
| 511580720 | 557903101 |        | MADISON PACIFIC PROPERTIES INC       | Cash Dividend     |                    |                           |                |
| 511578006 | 353525108 | FRAF   | FRANKLIN FINL SVCS CORP              | Cash Dividend     | Opt Out (DTC only) |                           |                |
| 511577934 | 44106M102 | HPT    | HOSPITALITY PROPERTIES TRUST         | Cash Dividend     | DRIP (DTC only)    |                           |                |

Displaying 1 to 50 of 3,000 items
Filter Customize Result Columns Export to Excel Page 1 of 60

Custom Search Advanced Search

#### Saved Search Criteria

Event Group  
☐ Distributions ☐ Redemptions ☐ Reorganizations

CA Identifier

CUSIP

Event Security Description Starts with

Asset Type

Country of Incorporation

Event/Sub Type  
 Not Applicable

Composite Record Status  
☐ AP ☐ CA ☐ CN ☐ DE ☒ All

DTC Mandatory / Voluntary  
☐ Mandatory ☐ Mandatory with Option ☐ Voluntary ☐ None Provided ☒ All

Date Criteria (Select a date range)

System Date Criteria (Select a date range)  
Key Data Updated Date and Time  01/20/2017  5 Days between 8:00 am and 10:00 pm (Eastern Time)  
  hh:mm am/pm   hh:mm am/pm

Limit to  
Watchlist

☐ Modified Yesterday or Today ☐ Active ☐ Processed at DTC ☐ Position

Search Reset

Save This Search

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- You can sort these results by clicking on any of the column headings.
- Click **Filter** to refine the results by any applicable criteria.
- For quick reference, you can add, subtract, or reorder the column headings you see by clicking **Customize Search Columns**.
- A maximum of 3000 results are displayed in the search results.  
To view more than 3000 results, export your results to Excel.  
To narrow your search, use more search criteria in the fields below the results grid and search again.

- You can export these results to Excel by clicking the **Export to Excel** link. When you export your results to Excel, you will export all results—not just the ones that appear on the page.
  - You can print these results by clicking on the **Print** icon. When you print your results, you will only print the results that appear on the page.
  - Page through the results by entering a page number or clicking on the arrow buttons by the top right corner of the results grid.
  - You can refine this search or perform another search using the fields at the bottom of this page.
7. Click the hyperlinked **CA ID** to view the [record detail page](#) for that event.

## Watchlist

[Uploading a Watchlist to CA Web](#)

[Viewing and Exporting Watchlists](#)

[Finding Watchlist Results](#)

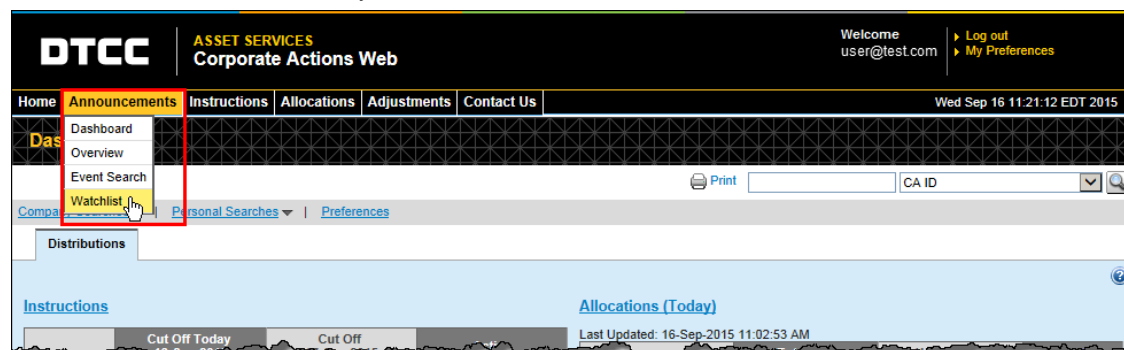
[Parameters for Uploading a Watchlist](#)

### Uploading a Watchlist to CA Web

The CA Web provides you with a helpful tool to upload lists of securities in order to perform simple searches and/or a very specific, advanced search on specific CUSIPs.

Once you have compiled a list of securities that you wish to specifically inquire about, you can upload this list to CA Web. You can upload a maximum of 20 watchlists.

1. On the menu bar, hover your mouse over **Announcements** and click **Watchlist**.



This brings you to the **Watchlist** page.



- Enter a name for this watchlist in the **Description** field.

**DTCC** | ASSET SERVICES  
Corporate Actions Web

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Home | Announcements | Instructions | Allocations | Adjustments | Contact Us | Tue Sep 22 11:19:32 EDT 2015

**Watchlist**

< Return to Previous Page | Print | CA ID

**Watchlist Upload** \* = Required Field

Description \*

File (.csv/.xls) \*  Browse...

**Upload** **Reset** **Cancel**

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- Click **Browse** to select a file for upload.

**Note:**

Prior to uploading a watchlist, you must have already created a watchlist document based on the [Watchlist Parameters](#).

- Click **Upload**.

**Note:**

You can choose a new file instead by clicking **Reset** or cancel the upload by clicking **Cancel**.

Once you have successfully uploaded a watchlist, a confirmation message appears at the bottom of the Watchlist page.

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Corporate Actions Web

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Home | Announcements | Instructions | Allocations | Adjustments | Contact Us | Tue Sep 22 12:07:31 EDT 2015

**Watchlist**

< Return to Previous Page | Print | CA ID

**Watchlist Upload** \* = Required Field

Your current watchlist is empty.

Description \* Test Watchlist 1

File (.csv/.xls) \*  Browse...

**Upload** **Reset** **Cancel**

4 of 4 records in your watchlist were successfully uploaded.

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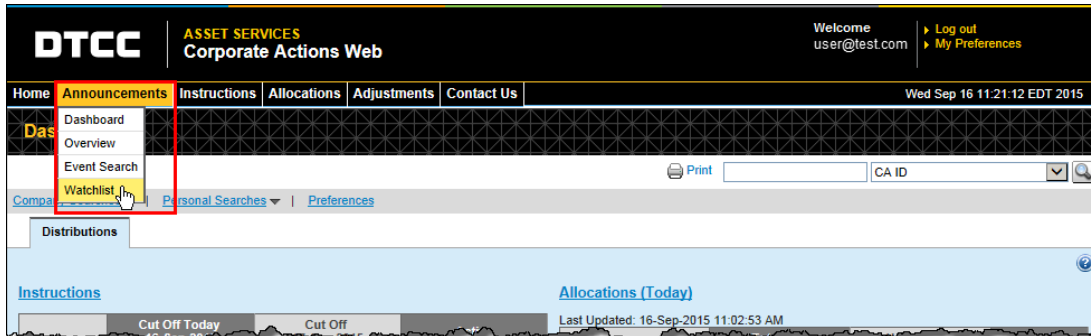
**Note:**

It is important to verify that the number of securities uploaded on your file matches the number of securities uploaded.

## Viewing and Exporting Watchlists

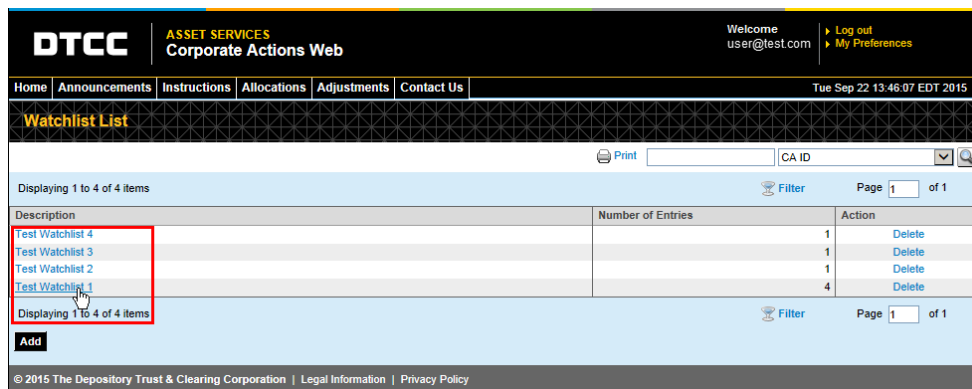
You can view a watchlist once it has been added to CA Web.

1. On the menu bar, hover your mouse over **Announcements** and click **Watchlist**.



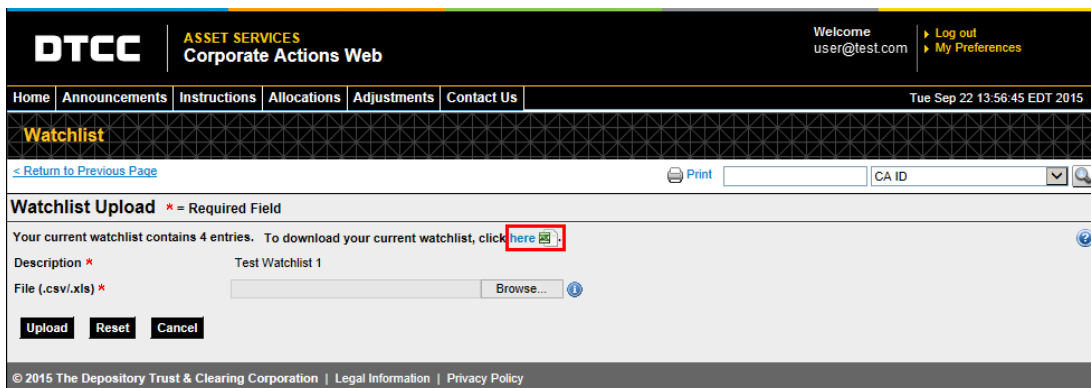
This brings you to the Watchlist List page.

2. Click the name of the watchlist you want to open.

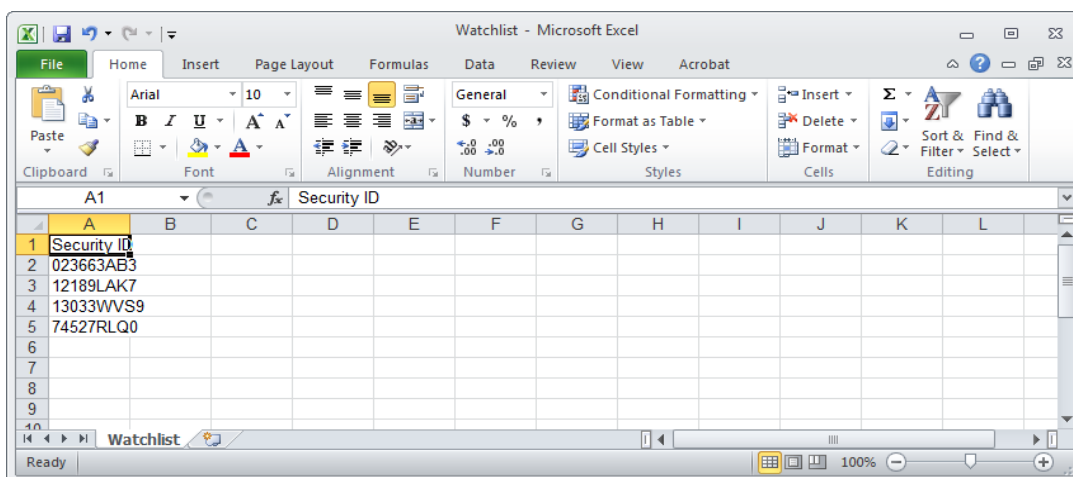


The Upload page opens for that watchlist.

3. Click the **here** link to open the spreadsheet.



Excel opens and displays your exported spreadsheet.

**Note:**

The column heading **Security ID** is generated systemically. This column heading does not need to be added during the initial upload of securities.

**Finding Watchlist Results**

After a watchlist has been [uploaded](#), you can begin to perform searches on the securities within this watchlist to inquire about any Corporate Actions events concerning them that have been announced.

1. On the menu bar, hover your mouse over **Announcements** and click **Event Search**.

**DTCC ASSET SERVICES Corporate Actions Web**

Welcome user@test.com | Log out | My Preferences

Home **Announcements** Instructions Allocations Adjustments Contact Us Thu Sep 24 11:10:12 EDT 2015

Dashboard Overview **Event Search** Watchlist

Print CA ID

**Instructions**

| Service      | Cut Off Today 24-Sep-2015 |            | Cut Off 25-Sep-2015 |            | Active       |            |
|--------------|---------------------------|------------|---------------------|------------|--------------|------------|
|              | Uninstructed              | Instructed | Uninstructed        | Instructed | Uninstructed | Instructed |
| DRIP         | 43                        | 0          | 2                   | 0          | 1            | 0          |
| DRIP Opt-Out | 0                         | 10         | 0                   | 1          | 0            | 0          |
| FCP          | 12                        | 0          | 2                   | 0          | 8            | 0          |
| FOR          | 11                        | 1          | 3                   | 0          | 11           | 0          |
| OPS          | 0                         | 0          | 0                   | 0          | 0            | 1          |
| CRS          | 1                         | 0          | 0                   | 0          | 1            | 0          |
| FTR          | 0                         | 0          | 0                   | 0          | 1            | 0          |
| All Services | 56                        | 11         | 5                   | 1          | 15           | 1          |

For events that offer multiple services, the instructed / uninstructed count will apply only to the individual service offered that has had instructions placed upon it.

**Allocations (Today)**

Last Updated: 24-Sep-2015 11:01:52 AM

| Type       | Total Due      |       | Unallocated    |       | Allocated |       |
|------------|----------------|-------|----------------|-------|-----------|-------|
|            | Amount*        | Count | Amount*        | Count | Amount*   | Count |
| Cash (USD) | 330,480,361.14 | 8,319 | 330,480,361.14 | 8,319 | 0.00      | 0     |
| MMI        | 777,951.16     | 76    | 777,951.16     | 76    | 0.00      | 0     |
| Stock      | N/A            | 25    | N/A            | 25    | N/A       | 0     |
| Cash (CAD) | 0.00           | 0     | 0.00           | 0     | 0.00      | 0     |

\* Amounts only apply to cash allocations and not stock allocations.

**Adjustments (Today)**

Last Updated: 24-Sep-2015 11:01:52 AM

| Cash Adjustment Type | Adjustments    |       |
|----------------------|----------------|-------|
|                      | Net Amount     | Count |
| Cash Total           | -44,154,579.67 | 3,573 |
| Stock Loan           | -66,706,798.53 | 1,991 |
| Repo                 | 22,671,895.93  | 1,431 |

The **Event Search** page appears.

**DTCC** ASSET SERVICES  
Corporate Actions Web

Welcome user@test.com | Log out | My Preferences

Home | Announcements | Instructions | Allocations | Adjustments | Contact Us | Thu Sep 24 11:18:12 EDT 2015

### Event Search

Print | CA ID

Custom Search | **Advanced Search**

**Saved Search Criteria** | No Saved Searches Available | Load

**Event Group**  
☒ Distributions ☐ Redemptions ☐ Reorganizations

CA Identifier

CUSIP

Asset Type

Event Security Description Starts with

Country of Incorporation

Event/Sub Type  
 Not Applicable

**Composite Record Status**  
☐ AP ☐ CA ☐ CN ☐ DE ☒ All

**DTC Mandatory / Voluntary**  
☐ Mandatory ☐ Mandatory with Option ☐ Voluntary ☐ None Provided ☒ All

**Date Criteria (Select a date range)**  
 Record Date  Today  Days  
☒ Today

**System Date Criteria (Select a date range)**

Limit to  
 Watchlist

☐ Modified Yesterday or Today ☐ Active ☐ Processed at DTC ☐ Position

**Search** **Reset**

**Save This Search**

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#### Notes:

- Use the **Custom Search** tab for a quick search. Use the **Advanced Search** tab for a more granular search.
- When using the Advanced Search, you must select **Date Criteria** as part of your search.
- For groups of radio buttons/ check boxes such as **Event Group**, **Composite Record Status**, and **DTC Mandatory/Voluntary**, it is important that you understand what specifically you are searching for. If you are not looking for a specific event, select "All" in order to get as many results as possible.
- Please see the [Quick and Custom Search](#) topic for more information on using the Search functionality.

#### 2. In the **Limit to** section, select a watchlist to use for your search.

System Date Criteria (Select a date range)

**Limit to**  
 Watchlist **Test Watchlist 4**

☐ Modified Yesterday or Today ☐ Active ☐ Processed at DTC ☐ Position

**Search** **Reset**

**Save** Click to Search

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#### Note:

All of your saved watchlists will appear in the **Watchlist** drop-down menu. You can only search by one watchlist at a time.

If you want to limit your search further, use the checkboxes below the watchlist drop-down menu.


### 3. Click **Search**.

Your search results will contain matching items from your watchlist. If there are no matching items, a message appears at the top of the search page.

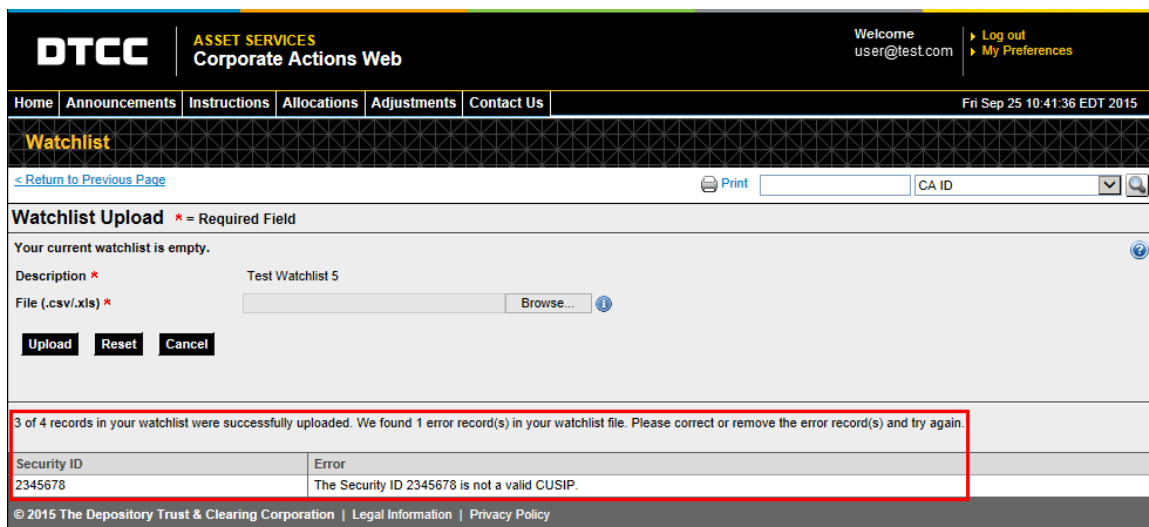
## Parameters for Uploading a Watchlist

The following watchlist rules apply to files being uploaded to CA Web:

- The files must be in **Excel** format with a **.csv** or **.xls** (version 1997-2003) file extension. If you use any other format, you will get an error message such as the following:

 File Type of File Watchlist(1).xml is invalid. Valid Types are (.csv, .xls).

- A maximum of **3000** securities can be uploaded to a watchlist.
  - A maximum of **20** separate watchlists can be maintained for a single account.
  - The spreadsheet file will need only one column (no heading needed):
    - Security number (e.g. 023663AB3)
- |   | A         | B | C | D |
|---|-----------|---|---|---|
| 1 | 023663AB3 |   |   |   |
| 2 | 012378CD2 |   |   |   |
- A CUSIP is the only acceptable security type for inclusion in a watchlist.
  - CA Web validates that each CUSIP in the watchlist meets the required criteria. It does not validate the CUSIP itself. For example:
    - ISIN “12345678” is not a valid format for CUSIP, which requires 9 alphanumeric characters. It will not be uploaded.
    - The particular CUSIP “123456789” is not a valid CUSIP. However, it will still be uploaded as part of your watchlist, as it meets the format requirements of a CUSIP (i.e., nine alphanumeric characters).
  - You will be notified whenever a security is not accepted. For example:




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[Home](#) [Announcements](#) [Instructions](#) [Allocations](#) [Adjustments](#) [Contact Us](#) Fri Sep 25 10:41:36 EDT 2015


### Watchlist

[Return to Previous Page](#) [Print](#)  

#### Watchlist Upload \* = Required Field

Your current watchlist is empty.

Description \*

File (.csv/.xls) \*  [Browse...](#) 

[Upload](#) [Reset](#) [Cancel](#)

3 of 4 records in your watchlist were successfully uploaded. We found 1 error record(s) in your watchlist file. Please correct or remove the error record(s) and try again.

| Security ID | Error   |
|-------------|---|
| 2345678     | The Security ID 2345678 is not a valid CUSIP. |

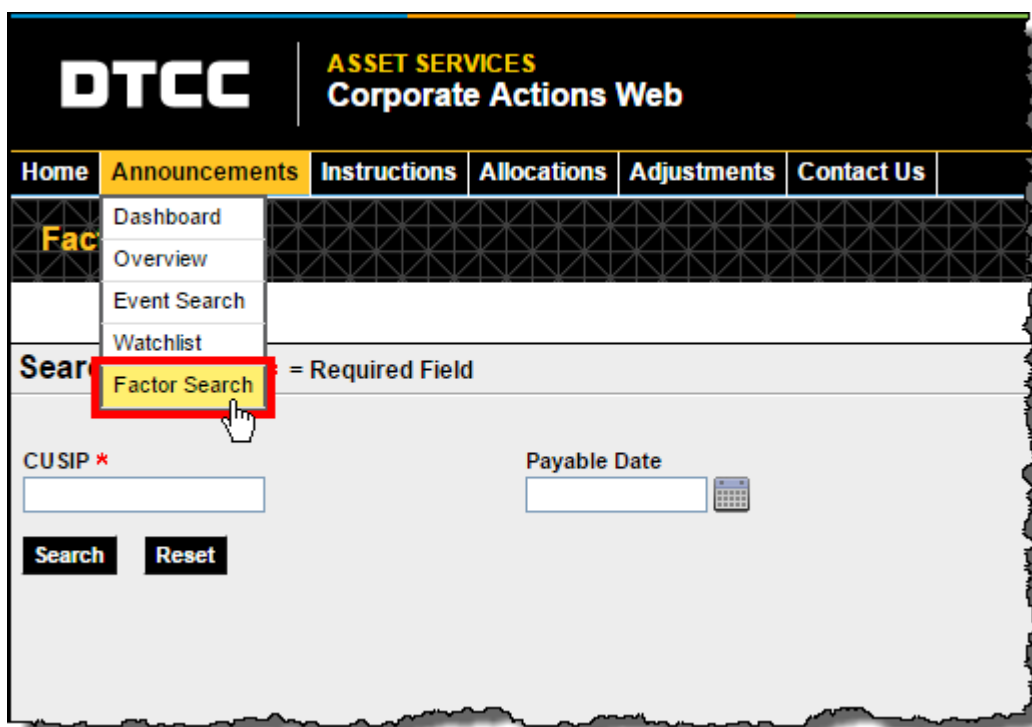
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Now you are ready to upload your watchlist (see [Uploading a Watchlist](#) for more information).

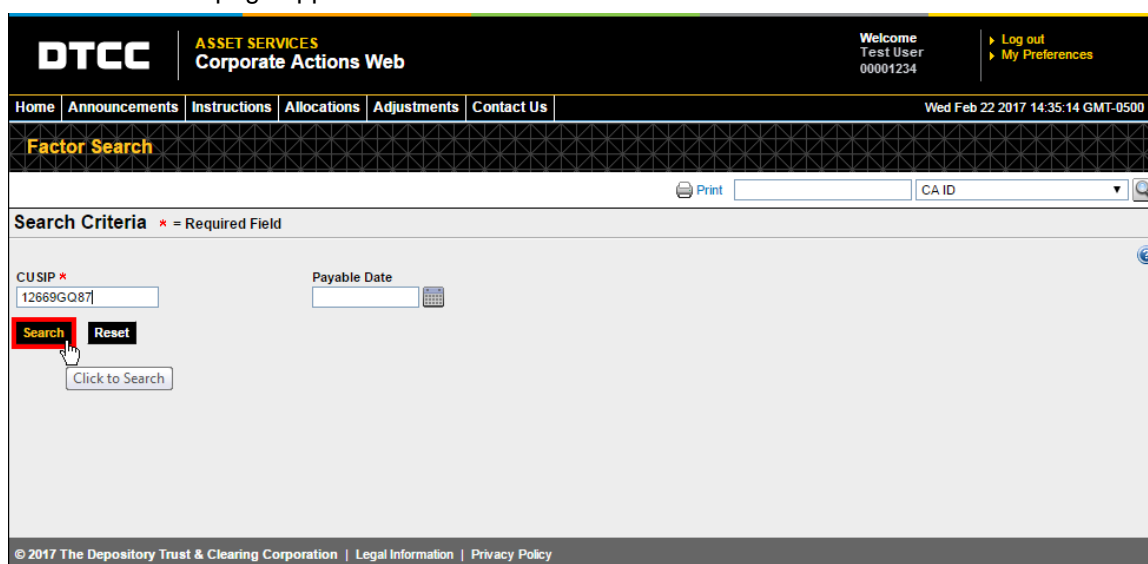
# Factor Search

## Performing a Factor Search

You can search for a factor number that is used to determine the value of an amortizing security on a particular payable date.



1. From the **Announcements** menu item, click **Factor Search**.  
The Factor Search page appears.



- Type the CUSIP for which you want to find the factor.  
The **Payable Date** is optional. Enter the date in mm/dd/yyyy format or select a date using the calendar tool.
- Click **Search**.

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00001234

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Wed Feb 22 2017 14:35:39 GMT-0500

### Factor Search Results

Print CA ID

#### Search Results - CUSIP 12669GQ87

Displaying 1 to 20 of 83 items Filter Export to Excel Page 1 of 5

| Audit                | Payable Date | Principal Factor | Update Date |
|----------------------|--------------|------------------|-------------|
| <a href="#">View</a> | Jan-25-2017  | 0.40459613809    | Jan-26-2017 |
| <a href="#">View</a> | Dec-25-2016  | 0.417553253816   | Dec-29-2016 |
| <a href="#">View</a> | Nov-25-2016  | 0.422272535676   | Dec-01-2016 |
| <a href="#">View</a> | Oct-25-2016  | 0.423706969116   | Oct-26-2016 |
| <a href="#">View</a> | Sep-25-2016  | 0.430089569755   | Sep-28-2016 |
| <a href="#">View</a> | Aug-25-2016  | 0.434321405041   | Aug-29-2016 |
| <a href="#">View</a> | Jul-25-2016  | 0.451886905218   | Jul-26-2016 |
| <a href="#">View</a> | Jun-25-2016  | 0.463947269436   | Jun-30-2016 |
| <a href="#">View</a> | May-25-2016  | 0.470755317714   | May-26-2016 |
| <a href="#">View</a> | Apr-25-2016  | 0.475890762513   | May-25-2016 |
| <a href="#">View</a> | Mar-25-2016  | 0.479530131466   | Mar-25-2016 |
| <a href="#">View</a> | Feb-25-2016  | 0.495692970657   | Feb-25-2016 |
| <a href="#">View</a> | Jan-25-2016  | 0.512633433915   | Jan-25-2016 |
| <a href="#">View</a> | Dec-25-2015  | 0.529817776478   | Dec-28-2015 |
| <a href="#">View</a> | Nov-25-2015  | 0.537185660752   | Nov-25-2015 |
| <a href="#">View</a> | Oct-25-2015  | 0.544559028875   | Oct-26-2015 |
| <a href="#">View</a> | Sep-25-2015  | 0.562775115847   | Sep-25-2015 |
| <a href="#">View</a> | Aug-25-2015  | 0.573294511303   | Aug-25-2015 |
| <a href="#">View</a> | Jul-25-2015  | 0.596215481129   | Jul-27-2015 |
| <a href="#">View</a> | Jun-25-2015  | 0.608895404096   | Jun-25-2015 |

Displaying 1 to 20 of 83 items Filter Export to Excel Page 1 of 5

#### Search Criteria \* = Required Field

CUSIP \* 12669GQ87 Payable Date

Search Reset

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The Factor Search Results page appears. It contains a list of all factor values with the most recent payable date listed first.

- To view audit trail information about any factor/payable date on the list, click the **View** link in that row.

Factor Audit Trail

Print

Summary

|           |              |
|-----------|--------------|
| CU SIP    | Payable Date |
| 12669GQ87 | Jan-25-2017  |

Displaying 1 to 13 of 13 items

Filter

Export to Excel

Page 1 of 1

| Principal Factor | Activity Date/Time ▼    | Activity Type |
|------------------|-------------------------|---------------|
| 0.40459613809    | Jan-26-2017 02:30:44 PM | Update        |
| 0.40459613809    | Jan-26-2017 02:07:29 PM | Update        |
| 0.40459613809    | Jan-26-2017 02:07:27 PM | Update        |
| 0.40459613809    | Jan-26-2017 02:06:50 PM | Update        |
| 0.40459613809    | Jan-26-2017 02:06:12 PM | Update        |
| 0.40459613809    | Jan-26-2017 02:05:28 PM | Update        |
| 0.40459613809    | Jan-25-2017 02:31:38 PM | Update        |
| 0.380711444755   | Jan-25-2017 02:30:23 PM | Update        |
| 0.380711444755   | Jan-25-2017 07:01:02 AM | Update        |
| 0.380711444755   | Jan-24-2017 09:19:18 PM | Update        |
| Principal Factor | Activity Date/Time ▼    | Activity Type |
| 0.380711444755   | Jan-23-2017 09:09:24 PM | Update        |
| 0.380711444755   | Jan-23-2017 04:02:51 PM | Update        |
| 0.380711444755   | Jan-23-2017 04:01:54 PM | Add           |

Displaying 1 to 13 of 13 items

Filter

Export to Excel

Page 1 of 1

The Factor Audit Trail pop-up box displays the audit history for that factor number.

- The **Summary** area displays the CUSIP and the Payable Date for the security to which this factor applies.
- The audit trail table displays each record of a factor value along with the date and time that factor was assigned, as well as the activity that resulted in the factor's value change. This list is presented with the most recent item at the top.
- You can export this list of factor values to Excel by clicking the **Export to Excel** link. When you export this table to Excel, you will export all factors—not just the ones that appear on the visible page.
- You can print these factors by clicking the **Print** icon. When you print this table, you will only print the items that appear on the page.
- Page through the full list of factors by entering a number in the **Page** field.



## Viewing Factor Information from the Record Detail Page

You can view factor information for a security from within any event record detail page.

On the Record Detail page for an event:

**Record Detail Page - 100675867**

CUSIP: 40521WAG0 | Issue Description: FLOATING RATE SENIOR SECURED NOTES DUE 2013 (ELIGIBILITY O | Issuer Description: HAIGHTS CROSS OPERATING COMPANY | Asset Class: Corporate Debt | Asset Type: Corporate Bond (CB) or Global Corp Bond (GCB) | Event Group: Distributions | Event Type: Principal | Country of Incorporation: US | Processed at DTC: Yes | DTC Eligible: Yes | Declared Mandatory / Voluntary: Mandatory | DTC Mandatory / Voluntary: Mandatory | ISO Core M/V: MAND | ISO Event Code: PRED

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

Core Dates

Record Date Declared Payable Date Sep-15-2016

Factor Information

Current Pay Factor 1.0

Options/Payouts

Option 1 - CASH Cash | Conditional | Declared Default Option: Yes | DTC Default Option: Yes | Supported by DTC: Yes | Delete

Summary - (Option 001)

Option Type Cash

Issuer Default Option Flag Yes

DTC Default Option Flag Yes

Issuer Supported Flag Yes

DTC Supported Flag Yes

Payouts

Payout 1 | Principal | Conditional | Delete

Payout Summary - (Payout 001)

Payout Type Principal

1. Click the **Action** menu in the tab **Event Summary** area.
2. Select "View CMO Factor Audit Trail."
3. Click the arrow button next to the **Action** menu.

The Factor Audit Trail pop-up box displays the audit history for that factor number.

Factor Audit Trail

Print

Summary

|           |              |
|-----------|--------------|
| CUSIP     | Payable Date |
| 12669GQ87 | Jan-25-2017  |

Displaying 1 to 13 of 13 items

Filter

Export to Excel

Page 1 of 1

| Principal Factor | Activity Date/Time ▼    | Activity Type |
|------------------|-------------------------|---------------|
| 0.40459613809    | Jan-26-2017 02:30:44 PM | Update        |
| 0.40459613809    | Jan-26-2017 02:07:29 PM | Update        |
| 0.40459613809    | Jan-26-2017 02:07:27 PM | Update        |
| 0.40459613809    | Jan-26-2017 02:06:50 PM | Update        |
| 0.40459613809    | Jan-26-2017 02:06:12 PM | Update        |
| 0.40459613809    | Jan-26-2017 02:05:28 PM | Update        |
| 0.40459613809    | Jan-25-2017 02:31:38 PM | Update        |
| 0.380711444755   | Jan-25-2017 02:30:23 PM | Update        |
| 0.380711444755   | Jan-25-2017 07:01:02 AM | Update        |
| 0.380711444755   | Jan-24-2017 09:19:18 PM | Update        |
| Principal Factor | Activity Date/Time ▼    | Activity Type |
| 0.380711444755   | Jan-23-2017 09:09:24 PM | Update        |
| 0.380711444755   | Jan-23-2017 04:02:51 PM | Update        |
| 0.380711444755   | Jan-23-2017 04:01:54 PM | Add           |

Displaying 1 to 13 of 13 items

Filter

Export to Excel

Page 1 of 1

- The **Summary** area displays the CUSIP and the Payable Date for the security to which this factor applies.
- The audit trail table displays each record of a factor value along with the date and time that factor was assigned, as well as the activity that resulted in the factor's value change. This list is presented with the most recent item at the top.
- You can limit this list by clicking **Filter**.
- You can export this list of factor values to Excel by clicking the **Export to Excel** link. When you export this table to Excel, you will export all factor value entries—not just the ones that appear on the visible page.
- You can print these factor values by clicking the **Print** icon. When you print this table, you will only print the items that appear on the page.
- Page through the full list of factors by entering a number in the **Page** field.

## Factor Search Results Page

This page is shown once a valid [Factor search](#) is performed.

To view the audit trail for any payable date's factor, click the **View** link in that row.

**ASSET SERVICES**  
**Corporate Actions Web**

Welcome  
 Test User  
 00001234

[Log out](#)  
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[Adjustments](#)
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Wed Feb 22 2017 14:35:39 GMT-0500

Factor Search Results

 Print
  CA ID
 

Search Results - CUSIP 12669GQ87

 Displaying 1 to 20 of 83 items
 [Filter](#)
[Export to Excel](#)
 Page 1 of 5
 
 Displaying 1 to 20 of 83 items
 [Filter](#)
[Export to Excel](#)
 Page 1 of 5
 
**Search Criteria** \* = Required Field
 
 CUSIP \*  

 Payable Date  




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Information here includes:


|                         |  |
|-------------------------|--|
| <b>Audit</b>            | Click the <b>View</b> hyperlink to view the <a href="#">audit trail</a> for this payable date's factor.  |
| <b>Payable Date</b>     | The payable date on which the factor applies for this CUSIP.   |
| <b>Principal Factor</b> | The multiplier that determines the value of an amortizing security on a particular payable date. Here, each factor applies to the same security on a different payable date.                     |
| <b>Update Date</b>      | The date on which the factor was last updated for this payable date. Click the <b>View</b> link in the <b>Audit</b> column to view the audit trail history for this factor on this payable date. |


- You can limit this list by clicking **Filter**.
- You can export this list of factor values to Excel by clicking the **Export to Excel** link. When you export this table to Excel, you will export all factor value entries—not just the ones that appear on the visible page.
- You can print these factor values by clicking the **Print** icon. When you print this table, you will only print the items that appear on the page.
- Page through the full list of factors by entering a number in the **Page** field.

## Factor Audit Trail Window

This pop-up window appears when you click a **View** hyperlink on the [Factor Search Results](#) page.

Factor Audit Trail


 Print




Summary

|           |              |
|-----------|--------------|
| CUSIP     | Payable Date |
| 12669GQ87 | Jan-25-2017  |

Displaying 1 to 13 of 13 items


 Filter


 Export to Excel

Page 1 of 1

| Principal Factor | Activity Date/Time ▼    | Activity Type |
|------------------|-------------------------|---------------|
| 0.40459613809    | Jan-26-2017 02:30:44 PM | Update        |
| 0.40459613809    | Jan-26-2017 02:07:29 PM | Update        |
| 0.40459613809    | Jan-26-2017 02:07:27 PM | Update        |
| 0.40459613809    | Jan-26-2017 02:06:50 PM | Update        |
| 0.40459613809    | Jan-26-2017 02:06:12 PM | Update        |
| 0.40459613809    | Jan-26-2017 02:05:28 PM | Update        |
| 0.40459613809    | Jan-25-2017 02:31:38 PM | Update        |
| 0.380711444755   | Jan-25-2017 02:30:23 PM | Update        |
| 0.380711444755   | Jan-25-2017 07:01:02 AM | Update        |
| 0.380711444755   | Jan-24-2017 09:19:18 PM | Update        |
| Principal Factor | Activity Date/Time ▼    | Activity Type |
| 0.380711444755   | Jan-23-2017 09:09:24 PM | Update        |
| 0.380711444755   | Jan-23-2017 04:02:51 PM | Update        |
| 0.380711444755   | Jan-23-2017 04:01:54 PM | Add           |

Displaying 1 to 13 of 13 items

 Filter

 Export to Excel

Page 1 of 1

|                           |   |
|---------------------------|---|
| <b>Summary</b>            | Defines the <b>Payable Date</b> and <b>CUSIP</b> to which this factor applies.  |
| <b>Principal Factor</b>   | <p>The field that was updated in this audit item.</p> <p>This is the multiplier that determines the value of an amortizing security on a particular payable date. Each factor on this list is for the same security on a single payable date.</p> |
| <b>Activity Date/Time</b> | <p>The timestamp for each update to this factor.</p> <p>Updates to this factor are listed with the newest edit first. Reverse this order by clicking the column header.</p>   |
| <b>Activity Type</b>      | The type of change that took place: Add, Update, or Delete.   |

- You can limit this list by clicking **Filter**.

- You can export this list of factor values to Excel by clicking the **Export to Excel** link. When you export this table to Excel, you will export all factor value entries—not just the ones that appear on the visible page.
- You can print these factor values by clicking the **Print** icon. When you print this table, you will only print the items that appear on the page.
- Page through the full list of updates by entering a number in the **Page** field.

# SETTING YOUR PREFERENCES

You can select default settings for:

- Your home page view,
- Your event group view,
- A column set for all of your exports, and
- Search criteria for your quick searches.

1. From **Announcements > Dashboard** or **Announcements > Overview** in CA Web, click **Preferences**.

The screenshot shows the DTCC Corporate Actions Web interface. The top navigation bar includes links for Home, Announcements, Instructions, Allocations, and Adjustments. The 'Preferences' tab is highlighted in the 'Personal Searches' dropdown menu. The main content area displays the 'Dashboard' with various sections: 'Event Updates' (Expiring within 5 Days, All Events), 'Allocations (Today)', 'Adjustments (Today)', and 'Warnings - Mandatory and Mandatory with Option Events'. The 'Preferences' tab is highlighted in the navigation bar.

| Event Updates           |            | Expiring within 5 Days |            | All Events           |  |
|-------------------------|------------|------------------------|------------|----------------------|--|
| Type                    | All Events | Position Only Events   | All Events | Position Only Events |  |
| New Events              | 0          | 0                      | 2          | 1                    |  |
| Amended Events          | 0          | 0                      | 5          | 3                    |  |
| Key Data Updated        | 0          | 0                      | 2          | 2                    |  |
| Extended Expirations    | 0          | 0                      | 0          | 0                    |  |
| Canceled/Deleted Events | 0          | 0                      | 0          | 0                    |  |

| Allocations (Today) |                  | Total Due |                  | Unallocated |              | Allocated |  |
|---------------------|------------------|-----------|------------------|-------------|--------------|-----------|--|
| Type                | Amount*          | Count     | Amount*          | Count       | Amount*      | Count     |  |
| Cash (USD)          | 4,798,225,313.63 | 90        | 4,790,085,978.58 | 81          | 8,139,335.05 | 9         |  |
| MMI                 | 2,236,824.00     | 8         | 2,236,824.00     | 8           | 0.00         | 0         |  |
| Security            | N/A              | 72        | N/A              | 64          | N/A          | 8         |  |
| Cash (CAD)          | 0.00             | 0         | 0.00             | 0           | 0.00         | 0         |  |

\* Amounts only apply to cash allocations and not security allocations.

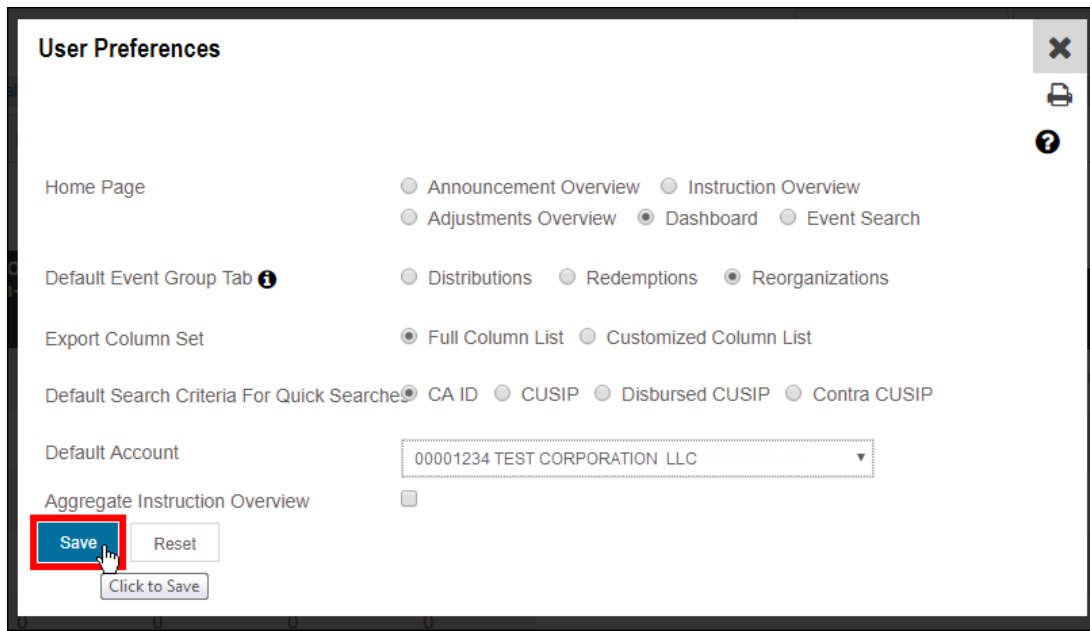
| Adjustments (Today) |              | Cash (USD) |  | Adjustments |       |
|---------------------|--------------|------------|--|-------------|-------|
|                     | Net Amount   | Count      |  | Net Amount  | Count |
| Cash Total          | 6,525,150.66 | 46         |  |             |       |
| Misc/GL             | 0.00         | 0          |  |             |       |
| Reorg Deposit       | 0.00         | 0          |  |             |       |
| Custody Deposit     | 6,525,150.66 | 46         |  |             |       |

| MMI         |            | Adjustments |  |
|-------------|------------|-------------|--|
|             | Net Amount | Count       |  |
| MMI Misc/GL | 0.00       | 0           |  |

| Security        |       | Adjustments |  |
|-----------------|-------|-------------|--|
|                 | Count |             |  |
| Stock Total     | 13    |             |  |
| Reorg Deposit   | 0     |             |  |
| Custody Deposit | 13    |             |  |
| Misc/GL         | 0     |             |  |

| Warnings - Mandatory and Mandatory with Option Events       |        |
|---|--------|
| Type  | Events |
| All Events with Pledge Positions - Allocating within 5 Days | 2      |
| All Events with Pledge Positions - Post Allocation          | 133    |

The User Preferences popup appears.



**User Preferences**

Home Page ☐ Announcement Overview ☐ Instruction Overview  
☐ Adjustments Overview ☒ Dashboard ☐ Event Search

Default Event Group Tab ☐ Distributions ☐ Redemptions ☒ Reorganizations

Export Column Set ☒ Full Column List ☐ Customized Column List

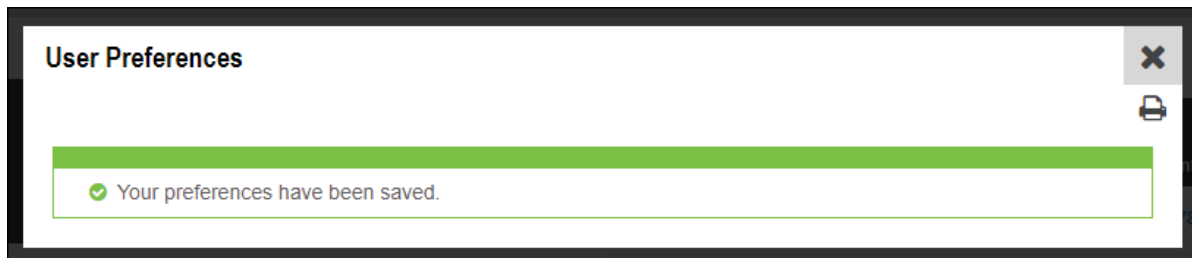
Default Search Criteria For Quick Searches ☒ CA ID ☐ CUSIP ☐ Disbursed CUSIP ☐ Contra CUSIP

Default Account

Aggregate Instruction Overview ☐

**Save** Reset  
 Click to Save

2. Click the radio buttons next to your desired defaults.
3. Click **Save**.  
 You will receive a confirmation window after your preferences are saved.



**User Preferences**

✓ Your preferences have been saved.

4. Click the **X** to close this window.  
 Your changes take place immediately and you are taken to the page affected by the change. For example, if you selected the Dashboard as your home page, you will be taken to the Dashboard.

# GETTING HELP

## Submitting an Event Inquiry

If you need assistance with a specific event, you can request help using the link in the Event Summary area.

1. From that event's record detail page in CA Web, click the **Submit an Inquiry** link.

**DTCC** Asset Services **Corporate Actions Web** Tue Jan 21 2020 14:08:42 GMT-0500 Support Contact Us DTCC.com

xtest 00001234 Logout

Home Announcements Instructions Allocations Adjustments

### Record Detail Page - 506460412

[< Return to Previous Page](#)  CA ID

**CUSIP:** 701094104 | **Ticker:** PH | **Issue Description:** PARKER HANNIFIN CORP COM |  
**Issuer Description:** PARKER-HANNIFIN CORPORATION | **Asset Class:** Equity | **Asset Type:** Common Stock | **Event Group:** Distributions | **Event Type:** Cash Dividend |  
**Country of Incorporation:** US | **Processed at DTC:** Yes | **DTC Eligible:** Yes |  
**Declared Mandatory / Voluntary:** Mandatory | **DTC Mandatory / Voluntary:** Mandatory |  
**ISO Core M/V:** MAND | **ISO Event Code:** DVCA

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

[Submit an Inquiry](#)

-- Select Action --

Event Details Comments Related Events **Entitlements** Security Position Settlement Activity

### Position Summary - 00001234 Test Shareowner Services

| Record Date | Free Position | Record Date | Stock Loan/Borrow | Record Date | Declared Payable Date |
|-------------|---------------|-------------|-------------------|-------------|-----------------------|
|             |               |             |                   |             |                       |


The “Open a New Request” window appears. The CA ID for this event is automatically attached to the request.




Open a New Request - Google Chrome


portal.dtcc.org/gca/gca/toSalesforceInquiry.do?caEventId=506460412&webFlow=wincaWebRequestHelp&ne...

## Open a New Request

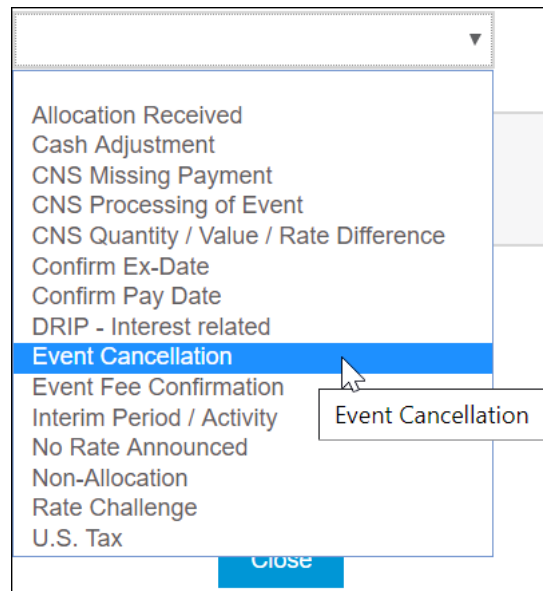


 Your inquiry will be submitted to the DTCC Support team. To view and update this inquiry or previously submitted inquiries visit [MyDTCC | Support](#).

### Inquiry Criteria \* = Required Field

|                       |  |
|-----------------------|--|
| Client ID             | 00001234   |
| CA ID                 | 506460412  |
| CUSIP                 | 701094104  |
| Short Description     | PARKER-HANNIFIN CP <   |
| Agent Name            | TEST SHAREOWNER SERVICES   |
| Event                 | Cash Dividend  |
| Record Date           | Jan-16-2020  |
| Declared Payable Date | Jan-21-2020  |
| Issue *               | <input type="text"/>   |
| Comments *            | <input type="text"/>   |
| File Attachment       | <input type="button" value="Choose File"/> No file chosen<br> |

2. Select the reason for your inquiry from the **Issue** drop-down menu.



3. Type the contents of your request in the **Comments** text box.
4. Attach any pertinent documents by clicking **Choose File** and navigating to the file you want to attach.

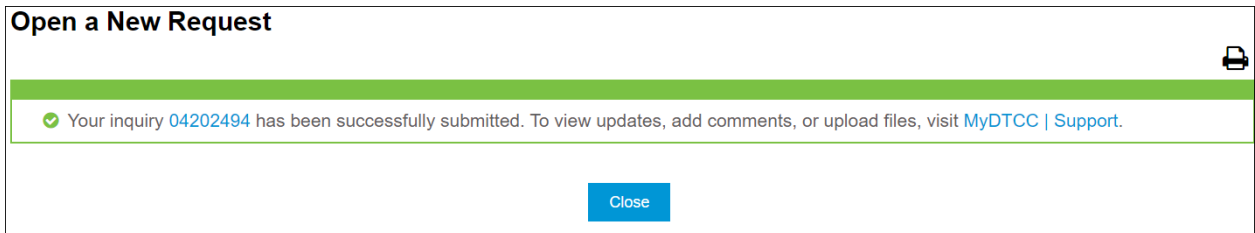
---

**Note:**

Mouse over the information icon for a list of acceptable file types.

---

5. Click **Send** to submit this inquiry to MyDTCC.
6. Click **OK** in the resulting confirmation dialog box.  
A success message informs you that your inquiry has been sent.



## Requesting Help

You can request assistance on any topic by using the **Contact Us** link on the menu bar.

1. From any page in CA Web, click **Contact Us**.

DTCC

Asset Services

Corporate Actions Web

Tue Jan 21 2020 15:07:44 GMT-0500

Support

Contact Us

DTCC.com

xtest 00001234

Logout

Home

Announcements

Instructions

Allocations

Adjustments

Event Search

CA ID

Custom Search

Advanced Search

Saved Search Criteria

No Saved Searches Available

Load

Event Group

Distributions

Redemptions

Reorganizations

CA Identifier


CUSIP

Event Security Description Starts with

Event/Sub Type

Not Applicable

A new dtcc.com window opens. It displays the Client Center page.




[Portals ▾](#)
[DTCC Learning](#)
[Client Center](#)

[Products & Services ▾](#)
[News & Events ▾](#)
[About ▾](#)
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# CLIENT CENTER

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1.888.382.2721

**INTERNATIONAL**  
+1 212.855.8099

### CONTACT US BY BUSINESS

- ITP Support
- ITP Sales
- Clearing Services
- Settlement & Asset Services

- Wealth Management
- Collateral Management
- Repository & Derivatives Services
- Data Services

### CLIENT DIRECTORIES

[DTC DIRECTORIES](#)

[NSCC DIRECTORIES](#)

[FICC-GOV DIRECTORIES](#)

[FICC-MBSD DIRECTORIES](#)

### CLIENT SUPPORT

[ITP REPORTS](#)

[WEB INQUIRY NOTIFICATION SYSTEM \(WINS\)](#)

[VISIT DTCC LEARNING](#)

[PORTAL SIGN IN](#)  
(Access to SMART/Search, SMART/Track, etc.)

[ROBOTIC PROCESSING GUIDE](#)

### NEW MEMBERSHIP

[MEMBERSHIP WIZARD](#)

[ACCESS COORDINATOR FORM](#)

The following do not require membership:  
Position/holders listing requests  
(Security Position Reports)

Subscribe to News & Information from DTCC Connection

SUBSCRIBE

2. Scroll through the page and click (or call) your best source for help.

# Corporate Actions Learning Center

Visit the Corporate Actions area of the Asset Services Learning Center at <https://dtcclearning.com/products-and-services/asset-services/corporate-actions-processing.html> to view a wealth of business and technical [information](#) about Corporate Actions such as introductory videos, extensive documentation, FAQs, and more.

The screenshot displays the DTCC Learning Center interface. At the top, there's a navigation bar with 'DTCC | LEARNING CENTER' and a 'LOGIN OR REGISTER' button. A sidebar on the left lists 'PRODUCTS AND SERVICES MENU' with categories like Institutional Trade Processing, Equities Clearing, Fixed Income Clearing, and Asset Services. Under 'Asset Services', 'Corporate Actions Processing' is highlighted with a red box. The main content area is titled 'ASSET SERVICES' and includes a welcome message, a date (November 10, 2022), and a search bar. Below this, there are 'QUICK LINKS' to various guides and dashboards. At the bottom, there's a section for 'OVERVIEW' and 'RESOURCES' with a detailed description of the Asset Services Learning Center and a list of instructions for users.

**DTCC | LEARNING CENTER** [Search Site](#) [Portals](#) [Contact Us](#) [DTCC.com](#) [LOGIN OR REGISTER](#)

**PRODUCTS AND SERVICES MENU**

- > INSTITUTIONAL TRADE PROCESSING
- > EQUITIES CLEARING
- > FIXED INCOME CLEARING
- ✓ **ASSET SERVICES**
  - Overview
  - Agent Services
  - > Corporate Actions Processing**
  - Global Tax Services
  - Issuer Services
  - Securities Processing
  - Underwriting Services
- > SETTLEMENT
- > MUTUAL FUND SERVICES

Home > Asset Services

## ASSET SERVICES

November 10, 2022

Welcome! The **Asset Services** section of the DTCC Learning Center is where you will find the resources you need to maximize your use of DTCC's Asset Services offerings. Use **Infographics** like the one below, **Quick Links**, **Recommended Resources**, the **Resources** tab, and **Search** to make your learning journey a rewarding one. Remember to **login** to see all available content.

[OVERVIEW](#) [RESOURCES](#)

**QUICK LINKS**

- Corporate Actions Web User Guide →
- Underwriting Central: UWC Dashboard →
- ClaimConnect™ →
- Industry Foundations →

[NAVIGATION TIPS](#)

The **Asset Services** Learning Center is dedicated to helping you get the most from DTCC's **Underwriting Services**, **Securities Processing** solutions (such as **Custody**) and other Asset Services such as **Corporate Actions Processing**, **Global Tax Services** and **Issuer Services**. You'll also find **Agent Services** resources to assist FAST Agents in the Asset Services Learning Center.

Be sure to:

- Interact with the infographic below to learn more about these products and services.
- Scroll down to watch the [DTC Loss Allocation Overview](#) eLearning
- Scroll down for access to all [Asset Services Products & Services](#) and links to their **Featured Content**.

Note that you need to log in to see the full range of information available to you. First-time users should click **Login or Register** in order to create an account. You need to be registered in order to view the Learning Center.

# ANNOUNCEMENTS

## Viewing Announcements

From the menu bar:

1. Hover over **Announcements**.
2. Click **Overview**.

The screenshot shows the DTCC Asset Services Corporate Actions Web interface. The top navigation bar includes links for Home, Announcements, Instructions, Allocations, Adjustments, and Contact Us. The Announcements menu is open, showing options for Dashboard, Overview (highlighted with a red box and a hand cursor), Event Search, Watchlist, and Factor Search. Below the menu, there are links for Personal Searches and Preferences. The main content area displays the Announcements overview page, which includes a table of events and a sidebar with links for Lottery Results, Called Certificates, Custody Reorg Deposits, and Reorg Deposits.

|                               | All Events | Position Only Events |
|-------------------------------|------------|----------------------|
| New Events                    | 0          | 0                    |
| Key Data Updated              | 0          | 0                    |
| Declared Payable Date Changed | 0          | 0                    |
| Cancelled Events              | 0          | 0                    |

On the right side of the page, there are links for Lottery Ad, Cancellations, and Warnings.

The Announcements overview page appears.

3. Click the tab for the announcements you want to view: **Distributions**, **Redemptions**, or **Reorganizations**.

**ASSET SERVICES**  
**Corporate Actions Web**

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user@test.com  
00000123

Log out  
My Preferences

Home | **Announcements** | Instructions | Allocations | Adjustments | Contact Us

Wed Apr 20 2016 13:42:40 GMT-0400

**Announcements**

Print CA ID

Company Searches | Personal Searches | Preferences

Distributions | **Redemptions** | Reorganizations

|  | Partial Call |                      | Partial Prerefunding/Partial Defeasance |                      | Full Call  |                      | Maturity   |                      | Termination/Final Paydown |                      | Default    |                      |
|--|--------------|----------------------|---|----------------------|------------|----------------------|------------|----------------------|---------------------------|----------------------|------------|----------------------|
|  | All Events   | Position Only Events | All Events                              | Position Only Events | All Events | Position Only Events | All Events | Position Only Events | All Events                | Position Only Events | All Events | Position Only Events |
| New Events   | 94           | 1                    | 15                                      | 0                    | 192        | 0                    | 4          | 0                    | 10                        | 0                    | 4          | 0                    |
| Key Data Updated                                     | 37           | 0                    | 4                                       | 0                    | 72         | 0                    | 4          | 0                    | 5                         | 0                    | 3          | 0                    |
| Declared Payable Date Changed                        | 1            | 0                    | 0                                       | 0                    | 3          | 0                    | 4          | 0                    | 5                         | 0                    | 3          | 0                    |
| Canceled/Deleted Events                              | 8            | 0                    | 0                                       | 0                    | 1          | 0                    | 0          | 0                    | 2                         | 0                    | 0          | 0                    |
| Multiple Events with same Payable Date/Security ID   | 0            | 0                    | 0                                       | 0                    | 0          | 0                    | 2          | 0                    | 2                         | 0                    | 0          | 0                    |
| Events with Zero rate on Payable Date                | 1            | 0                    | 0                                       | 0                    | 1          | 0                    | 1          | 0                    | 2                         | 0                    | 1          | 0                    |
| DTC Rate To Rate Change                              | 0            | 0                    | 0                                       | 0                    | 1          | 0                    | 1          | 0                    | 1                         | 0                    | 1          | 0                    |
| DTC Zero To Rate Change                              | 1            | 0                    | 3                                       | 0                    | 0          | 0                    | 1          | 0                    | 2                         | 0                    | 1          | 0                    |
| DTC Rate To Zero Rate Change                         | 6            | 0                    | 0                                       | 0                    | 1          | 0                    | 2          | 0                    | 6                         | 0                    | 2          | 0                    |
| Warnings (Late Announcements) ⓘ                      |              |                      |   |                      |            |                      |            |                      |                           |                      |            |                      |
| Created 5-2 Days Prior To Declared Payable Date      | 5            | 0                    | 0                                       | 0                    | 28         | 0                    | 0          | 0                    | 2                         | 0                    | 0          | 0                    |
| Created 1 day or less Prior To Declared Payable Date | 0            | 0                    | 0                                       | 0                    | 4          | 0                    | 2          | 0                    | 3                         | 0                    | 0          | 0                    |

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The table contains event counts for DTC-eligible events. These counts are hyperlinks you can click on to view events that fall into each category.

The headings on the top divide the results by event type. The categories on the left divide the announcements by category.

- Click an event count.

The Search Results page appears. It contains only the events that apply to that particular announcement category and event type.

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**ASSET SERVICES**  
**Corporate Actions Web**

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Home | **Announcements** | Instructions | Allocations | Adjustments | Contact Us

Wed Apr 27 2016 14:42:42 GMT-0400

**Redemptions - New Events Search Results**

[Return to Previous Page](#)
Print
CA ID

Displaying 1 to 7 of 7 items
Filter Customize Result Columns Export to Excel Page 1 of 1

| CA ID     | CUSIP     | Event Security Description            | Event Type        | Sub Event Type  | Declared Publication Date | Refunded Maturity Date | Event Stage | Contra Cusip | Asset Ty |
|-----------|-----------|---------------------------------------|-------------------|-----------------|---------------------------|------------------------|-------------|--------------|----------|
| 500673039 | 20775BLX2 | CONNECTICUT HOUSING FINANCE AUTHORITY | Partial Call      |                 | Mar-09-2016               |                        |             |              | 314      |
| 97106396  | 011842NB3 | STATE OF ALASKA                       | Full Prerefunding |                 |                           |                        |             |              | 310      |
| 97106459  | 72771EAC9 | PUBLIC WATER SUPPLY DISTRICT # 3      | Full Prerefunding |                 |                           |                        |             |              | 310      |
| 97106460  | 72771EAD7 | PUBLIC WATER SUPPLY DISTRICT # 3      | Full Prerefunding |                 |                           |                        |             |              | 310      |
| 97101165  | 514088AE3 | LANCASTER COUNTY, SOUTH CAROLINA      | Default           | Interim Payment |                           |                        |             |              | 310      |
| 96930168  | 514088AD5 | LANCASTER COUNTY, SOUTH CAROLINA      | Default           | Final Payment   |                           |                        |             |              | 310      |
| 96969009  | 909317AG4 | UNITED AIRLINES                       | Default           | Final Payment   |                           |                        |             |              | 541      |

Displaying 1 to 7 of 7 items
Filter Customize Result Columns Export to Excel Page 1 of 1

Custom Search Advanced Search

**Saved Search Criteria**
Load

Event Group  
☐ Distributions ☒ Redemptions ☐ Reorganizations

CA Identifier

CUSIP

Event Security Description Starts with

Event/Sub Type  
 Not Applicable

Limit to  
☐ Position

Search Reset

Save This Search

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- Click the **CA ID** of the announcement you want to view.  
The **Record Detail** page appears in that browser window, displaying the **Event Details** tab.



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**Corporate Actions Web**

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Home | Announcements | Instructions | Allocations | Adjustments | Contact Us

Wed Apr 27 2016 14:44:04 GMT-0400

**Record Detail Page - 97106396**

[Return to Previous Page](#)
Print
CA ID

CUSIP: 011842NB3 | Issue Description: REVENUE AND REFUNDING BONDS, SERIES 2003A REVENUE BONDS, SERIES 2003B |  
Issuer Description: STATE OF ALASKA | Asset Class: Municipal Debt | Asset Type: Municipal Bond | Event Group: Redemptions |  
Event Type: Full Prerefunding | Country of Incorporation: US | Processed at DTC: Yes | DTC Eligible: Yes |  
Declared Mandatory / Voluntary: Mandatory | DTC Mandatory / Voluntary: Mandatory | ISO Core M/V: MAND | ISO Event Code: -- Select Action --  
PDEF

Workflow Status: Approved | XBRL Indicator: No
System Data

Event Details | Comments | Related Events | Entitlements

Expand All Collapse All ●●=Critical ●=Required

**Legacy Cross Reference**

**Event Level**

|  |    |  |
|--|----|--|
| <input checked="" type="checkbox"/> Cancelled Flag | No |  |
|--|----|--|

**Core Dates**

|   |             |  |
|---|-------------|--|
| <input checked="" type="checkbox"/> Declared Payable Date | Mar-11-2016 |  |
|---|-------------|--|

**Accrual Information**

|  |     |  |
|--|-----|--|
| <input checked="" type="checkbox"/> Accrual Days Count | 160 |  |
|--|-----|--|

**Chills**

|  |             |  |             |
|--|-------------|--|-------------|
| <input checked="" type="checkbox"/> DTC Last Day for C.O.D.    | Feb-12-2016 | <input checked="" type="checkbox"/> DTC Last Day for Deposit | Feb-12-2016 |
| <input checked="" type="checkbox"/> DTC Last Day for DO        | Mar-10-2016 | <input checked="" type="checkbox"/> DTC Last Day for Pledge  | Mar-08-2016 |
| <input checked="" type="checkbox"/> DTC Last Day for Segregate | Mar-08-2016 | <input checked="" type="checkbox"/> DTC Last Day for W/T     | Feb-12-2016 |

**DTC Processing**

|   |            |  |
|---|------------|--|
| <input checked="" type="checkbox"/> DTC Redemption ID | 1968825404 |  |
|---|------------|--|

**Other Data**

|   |    |  |
|---|----|--|
| <input checked="" type="checkbox"/> Conditional Payment Applicable Flag | No |  |
|---|----|--|

**Options/Payouts**

Option 1 - CASH Cash | Complete | Declared Default Option: Yes | DTC Default Option: Yes | Supported by DTC: Yes | Delete

Click on any other tab to view additional information about this event.

# Distributions Tab

## Please note:

This is the transcript of an animated Help topic. To play the topic, refer to the topic of the same name in the online Help.

### The Announcements Overview Page for Distributions

The screenshot displays the DTCC Asset Services Global Corporate Actions Announcements Overview page. The page has a navigation bar with links: Home, Announcements, Instructions, Allocations, Adjustments, and Contact Us. The 'Announcements' tab is selected. Below the navigation bar, there are tabs for 'Distributions', 'Reorganizations', and 'Redemptions'. The 'Distributions' tab is active, showing a table of DTC-eligible events. The table has columns for 'Cash Dividends', 'Principal and Interest', 'Stock Distributions', 'Optional Dividends', and 'Other'. The table lists various event types with their respective counts in each column. For example, 'New events with DTC Elections' has 12 in Cash Dividends, 42 in Principal and Interest, 0 in Stock Distributions, 0 in Optional Dividends, and 1 in Other. The table also includes a 'Totals' row at the bottom, which shows the total counts for each column: 12 for Cash Dividends, 42 for Principal and Interest, 0 for Stock Distributions, 0 for Optional Dividends, and 1 for Other. The page footer includes the DTCC logo and the text 'DTCC Controlled: Non-Confidential'.

|  | Cash Dividends | Principal and Interest | Stock Distributions | Optional Dividends | Other    |
|--|----------------|------------------------|---------------------|--------------------|----------|
| New events with DTC Elections            | 12             | 42                     | 0                   | 0                  | 1        |
| Late Announcements with DTC Elections    | 1              | 42                     | 0                   | 0                  | 1        |
| Late Announcements without DTC Elections | 27             | 332                    | 4                   | 0                  | 0        |
| Key Data Updated on Event                | 288            | 2874                   | 86                  | 2                  | 0        |
| DTC Rate To Rate Change                  | 25             | 256                    | 0                   | 0                  | 0        |
| DTC Zero Rate To Rate Change             | 66             | 1667                   | 64                  | 0                  | 1        |
| Canceled/Deleted Events                  | 23             | 264                    | 18                  | 2                  | 2        |
| Events with Late Ex Date                 | 1              | 0                      | 1                   | 0                  | 0        |
| <b>Totals</b>                            | <b>12</b>      | <b>42</b>              | <b>0</b>            | <b>0</b>           | <b>1</b> |

The **Announcements** Overview page contains quick links to event announcements.

You can also access your saved queries as well as set important preferences. We'll go into these later.

Right now, let's tour the **Distributions** tab.

The table contains event counts for DTC-eligible events. These counts are hyperlinks you can click on to view events that fall into each category.

We'll go through some event types that are covered by each column.

You can see a list of event types for any of the columns by mousing over them. For example, the **Cash Dividends** column includes these types of events:

1. Capital Gains Distribution
2. Cash Dividends
3. Return of Capital, and
4. Special Dividends

The **Principal and Interest** column may contain announcements for:

5. Interest
6. Principal, and
7. Default-Interim Payment(s)

Within the **Stock Distributions** column, you may see a number of event types such as:

8. Spin-Offs,
9. Stock Dividends,
10. Stock Splits,
11. Automatic Dividend Reinvestments,
12. Pay-In-Kinds,
13. Rights Distributions, and
14. Bonus Issues.

The **Optional Dividends** category shows optional dividends.

Finally, the **Other** category may include a broad range of events, including:

15. Foreign Post-Payable Tax Reclaims.
16. Distributions that include DRIP (DTC-Only) s and Opt Outs (DTC-Only), as well as Tax Credits.
17. Liquidations that are based on Record Date Holdings, and
18. Sales of Rights that are “Poison Pills” and ADRs.

The preset categories appear on the left and show the number of events that have changes today.

For example, to see a list of stock distribution events where key data was updated today, you would click the event count [here](#).

Now, let’s see what the categories mean.

- **Late Announcements** are events that DTC announced today that have a record date of today or a day in the past.  
You can see late announcements broken out by those that contain issuer elections and those that do not.
- **Key Data Updated on Event** shows you announcements in which critical data such as the Payout Type or DTC Instruction Expiration Date have been updated today. DTC monitors more than 35 data points for changes on distribution events.
- In **DTC Rate to Rate Change**, we show you cases where the cash payout rate has changed to a new rate. These categories also show any changes made to security rates.
- You may also want to be aware of events for which DTC has just received a cash or security rate. These rate additions show up in the **DTC Zero Rate to Rate Change category**.
- You can specifically search for **Canceled and Deleted Events**, or
- See **Events with Late Ex Dates**.

Once you have decided what you wish to see, click an event count.

You’re brought to a Search Results page that contains only the events that apply to this search.

You might find it convenient to use a pre-saved company-wide query, or maybe an earlier search of your own that you have saved.

These links always appear along the top of the **Announcements** page.

Click the arrow next to either one to see what searches are available to you.

Finally, if you would like to set your preferences, you can do this from here. For more information, see the Quick Tip on Setting Preferences in the Asset Services Learning Center.

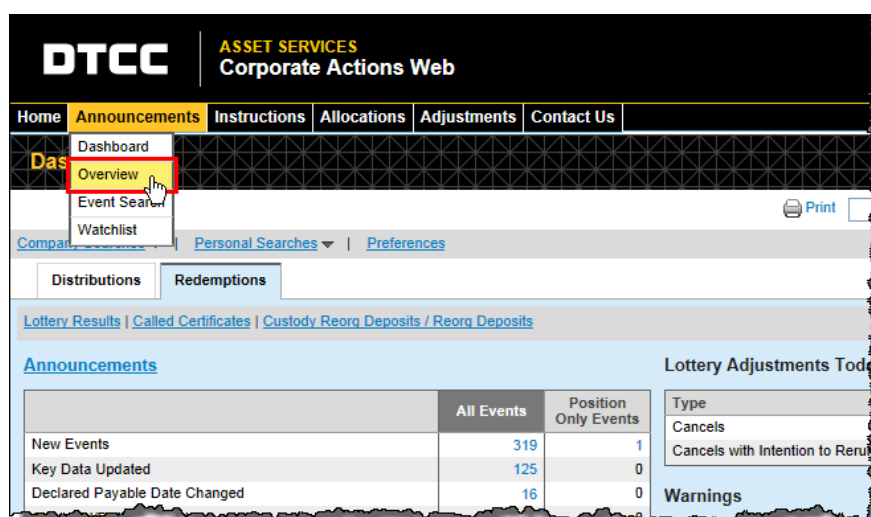
From Preferences, you can choose your CA Web **Home Page**. This is the page you'll see each time you open the CA Web.

You can also ensure that you are viewing all the details on an event including DTC Only options by selecting **Yes** in the **Show DTC Only Fields on the Composite Detail Page** button.

And finally, you can choose how composite search results are exported, either in full or using a customized list of columns from the page.

## Redemptions Tab

The Announcements Overview page provides you with the ability to see all of your allocations information in one place, across redemption types.



From the menu bar:

1. Hover over **Announcements**.
2. Click **Overview**.
3. Click the **Redemptions** tab.

You can also click **Announcements** on the [Dashboard](#).

DTCC

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Corporate Actions Web

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My Preferences

[Home](#) [Announcements](#) [Instructions](#) [Allocations](#) [Adjustments](#) [Contact Us](#)

Wed Apr 20 2016 13:42:40 GMT-0400

Announcements

CA ID

[Company Searches](#)

[Personal Searches](#)

[Preferences](#)

[Distributions](#)

[Reorganizations](#)

[Redemptions](#)

|  | Partial Call |                      | Partial Prerefunding/Partial Defeasance |                      | Full Call  |                      | Maturity   |                      | Termination/Final Paydown |                      | Default    |                      |
|--|--------------|----------------------|---|----------------------|------------|----------------------|------------|----------------------|---------------------------|----------------------|------------|----------------------|
|  | All Events   | Position Only Events | All Events                              | Position Only Events | All Events | Position Only Events | All Events | Position Only Events | All Events                | Position Only Events | All Events | Position Only Events |
| New Events   | 94           | 1                    | 15                                      | 0                    | 192        | 0                    | 4          | 0                    | 10                        | 0                    | 4          | 0                    |
| Key Data Updated                                     | 37           | 0                    | 4                                       | 0                    | 72         | 0                    | 4          | 0                    | 5                         | 0                    | 3          | 0                    |
| Declared Payable Date Changed                        | 1            | 0                    | 0                                       | 0                    | 3          | 0                    | 4          | 0                    | 5                         | 0                    | 3          | 0                    |
| Canceled/Deleted Events                              | 8            | 0                    | 0                                       | 0                    | 1          | 0                    | 0          | 0                    | 2                         | 0                    | 0          | 0                    |
| Multiple Events with same Payable Date/Security ID   | 0            | 0                    | 0                                       | 0                    | 0          | 0                    | 2          | 0                    | 2                         | 0                    | 0          | 0                    |
| Events with Zero rate on Payable Date                | 1            | 0                    | 0                                       | 0                    | 1          | 0                    | 1          | 0                    | 2                         | 0                    | 1          | 0                    |
| DTC Rate To Rate Change                              | 0            | 0                    | 0                                       | 0                    | 1          | 0                    | 1          | 0                    | 1                         | 0                    | 1          | 0                    |
| DTC Zero To Rate Change                              | 1            | 0                    | 3                                       | 0                    | 0          | 0                    | 1          | 0                    | 2                         | 0                    | 1          | 0                    |
| DTC Rate To Zero Rate Change                         | 6            | 0                    | 0                                       | 0                    | 1          | 0                    | 2          | 0                    | 6                         | 0                    | 2          | 0                    |
| Warnings (Late Announcements) ⓘ                      |              |                      |   |                      |            |                      |            |                      |                           |                      |            |                      |
| Created 5-2 Days Prior To Declared Payable Date      | 5            | 0                    | 0                                       | 0                    | 28         | 0                    | 0          | 0                    | 2                         | 0                    | 0          | 0                    |
| Created 1 day or less Prior To Declared Payable Date | 0            | 0                    | 0                                       | 0                    | 4          | 0                    | 2          | 0                    | 3                         | 0                    | 0          | 0                    |

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The **Announcements** Overview page contains quick links to event announcements. You can also [access your company's saved announcement queries](#), access your own queries, or [set important preferences](#) in CA Web from this page.

The table contains event counts for DTC-eligible events. These counts are hyperlinks you can click to [view events](#) that fall into each category. There are separate counts for all events and position only events.

The categories on the left divide the announcements by category. They include new events as well as specific changes that have taken place to existing events.

- **Key Data Updated on Event** shows you announcements in which critical data have been updated today.
- **Declared Payable Date Changed** alerts you to existing events for which you must take note of the new payable date.
- **Canceled/Deleted Events** informs you of your events that have been canceled or deleted today.
- **Multiple Events with same Payable Date/Security ID** groups together events on the same security that will be paid out on the same date.
- **Events with Zero Rate on Payable Date** allows you to see which events have not been assigned a rate as of the payable date.
- **DTC Rate to Rate Change** shows cases where the DTC rate has changed to a new rate today.
- **DTC Zero to Rate Change** shows instances where the DTC rate was assigned today. These categories also show any changes made to security rates.
- **DTC Rate to Zero Change** shows cases where the previously declared DTC rate has today changed to zero.

Additionally, warnings are provided for late announcements and presented according to the length of time between their creation and declared payable date.

The columns sort all announcements by event type. Within each event type, announcements for position-only events are listed separately.

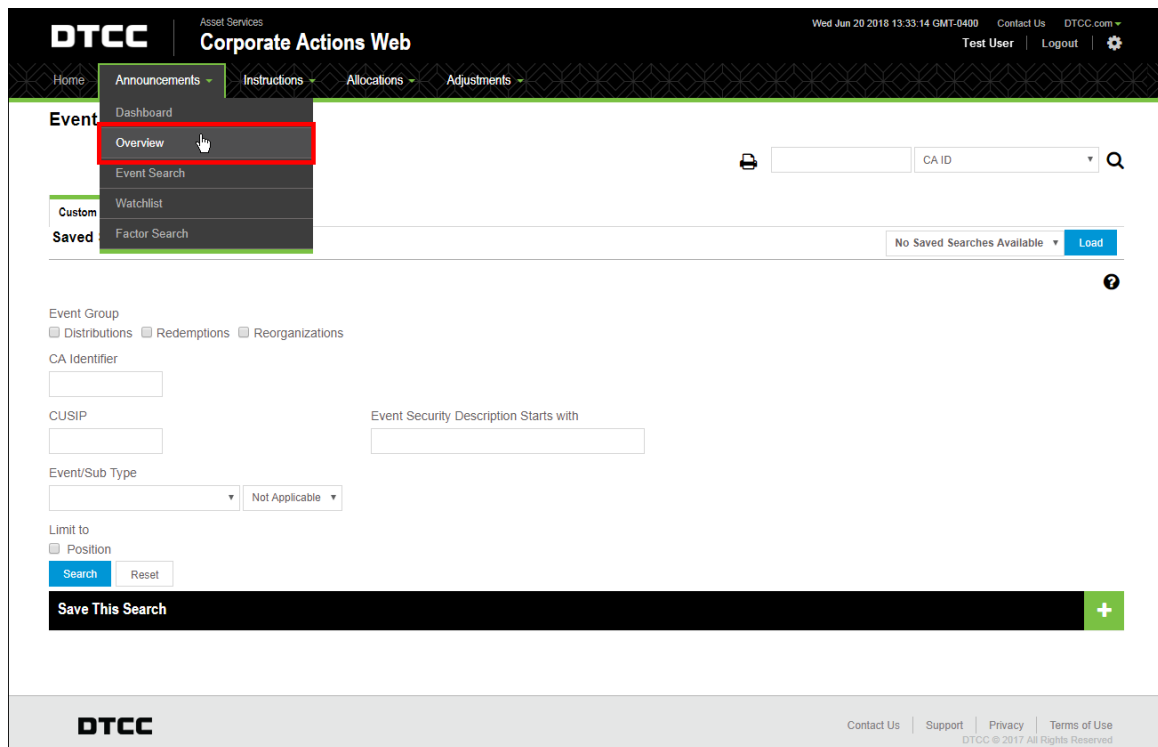
See [Viewing Announcements](#) for more information.

## Reorganizations Tab

The Announcements Overview page provides you with the ability to see all of your announcement information in one place, across reorganization types.

From the menu bar:

1. Click **Announcements**.



2. Click **Overview**.
3. Click the **Reorganizations** tab.

You can also click **Announcements** on the [Dashboard](#).

**DTCC** Asset Services **Corporate Actions Web** Wed Jun 20 2018 13:28:19 GMT-0400 Contact Us DTCC.com Test User Logout

Home Announcements Instructions Allocations Adjustments

**Announcements**

CA ID

Company Searches Personal Searches Preferences

Distributions Redemptions **Reorganizations**

|                        | New events |                      | Amended Events |                      | Key Data Changed |                      | Extended Expirations |                      | Canceled/Deleted Events |                      | Even |
|------------------------|------------|----------------------|----------------|----------------------|------------------|----------------------|----------------------|----------------------|-------------------------|----------------------|------|
|                        | All Events | Position Only Events | All Events     | Position Only Events | All Events       | Position Only Events | All Events           | Position Only Events | All Events              | Position Only Events |      |
| Tender/Exchange        | 0          | 0                    | 1              | 1                    | 0                | 0                    | 0                    | 0                    | 0                       | 0                    | 0    |
| Mergers                | 0          | 0                    | 3              | 1                    | 1                | 1                    | 0                    | 0                    | 0                       | 0                    | 0    |
| Maturities             | 0          | 0                    | 0              | 0                    | 0                | 0                    | 0                    | 0                    | 0                       | 0                    | 0    |
| Name Changes           | 0          | 0                    | 0              | 0                    | 0                | 0                    | 0                    | 0                    | 0                       | 0                    | 0    |
| Security Separation    | 0          | 0                    | 0              | 0                    | 0                | 0                    | 0                    | 0                    | 0                       | 0                    | 0    |
| Rights Subscriptions   | 0          | 0                    | 0              | 0                    | 0                | 0                    | 0                    | 0                    | 0                       | 0                    | 0    |
| Terminations           | 0          | 0                    | 0              | 0                    | 0                | 0                    | 0                    | 0                    | 0                       | 0                    | 0    |
| Warrants               | 0          | 0                    | 0              | 0                    | 0                | 0                    | 0                    | 0                    | 0                       | 0                    | 0    |
| Conversions            | 0          | 0                    | 0              | 0                    | 0                | 0                    | 0                    | 0                    | 0                       | 0                    | 0    |
| PUTS                   | 0          | 0                    | 0              | 0                    | 0                | 0                    | 0                    | 0                    | 0                       | 0                    | 0    |
| Meetings               | 0          | 0                    | 0              | 0                    | 0                | 0                    | 0                    | 0                    | 0                       | 0                    | 0    |
| Reorganizations        | 0          | 0                    | 0              | 0                    | 0                | 0                    | 0                    | 0                    | 0                       | 0                    | 0    |
| Consents               | 0          | 0                    | 0              | 0                    | 0                | 0                    | 0                    | 0                    | 0                       | 0                    | 0    |
| General Information    | 0          | 0                    | 0              | 0                    | 0                | 0                    | 0                    | 0                    | 0                       | 0                    | 0    |
| Worthless              | 0          | 0                    | 0              | 0                    | 0                | 0                    | 0                    | 0                    | 0                       | 0                    | 0    |
| CD Early Redemption    | 0          | 0                    | 0              | 0                    | 0                | 0                    | 0                    | 0                    | 0                       | 0                    | 0    |
| Full Call              | 0          | 0                    | 0              | 0                    | 0                | 0                    | 0                    | 0                    | 0                       | 0                    | 0    |
| Stock Split            | 0          | 0                    | 0              | 0                    | 0                | 0                    | 0                    | 0                    | 0                       | 0                    | 0    |
| Reverse Split          | 0          | 0                    | 0              | 0                    | 0                | 0                    | 0                    | 0                    | 0                       | 0                    | 0    |
| Liquidation            | 0          | 0                    | 0              | 0                    | 0                | 0                    | 0                    | 0                    | 0                       | 0                    | 0    |
| Change                 | 0          | 0                    | 0              | 0                    | 0                | 0                    | 0                    | 0                    | 0                       | 0                    | 0    |
| Mandatory Exchange     | 0          | 0                    | 0              | 0                    | 0                | 0                    | 0                    | 0                    | 0                       | 0                    | 0    |
| Plan of Reorganization | 0          | 0                    | 0              | 0                    | 0                | 0                    | 0                    | 0                    | 0                       | 0                    | 0    |
| Not Processed at DTC   | 0          | 0                    | 0              | 0                    | 0                | 0                    | 0                    | 0                    | 0                       | 0                    | 0    |

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The **Announcements** Overview page contains quick links to event announcements. You can also [access your company's saved announcement queries](#), [access your own queries](#), or [set preferences](#) in CA Web from this page.

The table contains event counts for DTC-eligible events. These counts are hyperlinks you can click to [view events](#) that fall into each category. There are separate counts for all events and position only events.

The list on the left divides the announcements by event type. The columns on the right divide these event types into specific groups. These groups include new events as well as specific changes that have taken place to existing events.

Scroll to the right to view all groupings: some event counts may occur in the scrolling area and not be visible on the initial page.

- **Amended Events** groups together all events that have had any data changed at all (key data or not).
- **Key Data Changed** shows you announcements in which critical pieces of data have been updated today.
- **Extended Expirations** alerts you to existing events for which the expiration date has been extended past its original recorded expiration date.
- **Canceled/Deleted Events** informs you of your events that have been canceled or deleted today.
- **Events Expiring Today** shows you all events with an expiration date of today.
- **Events Expiring within 5 Days** links to a list of events with an expiration date within the next five business days.

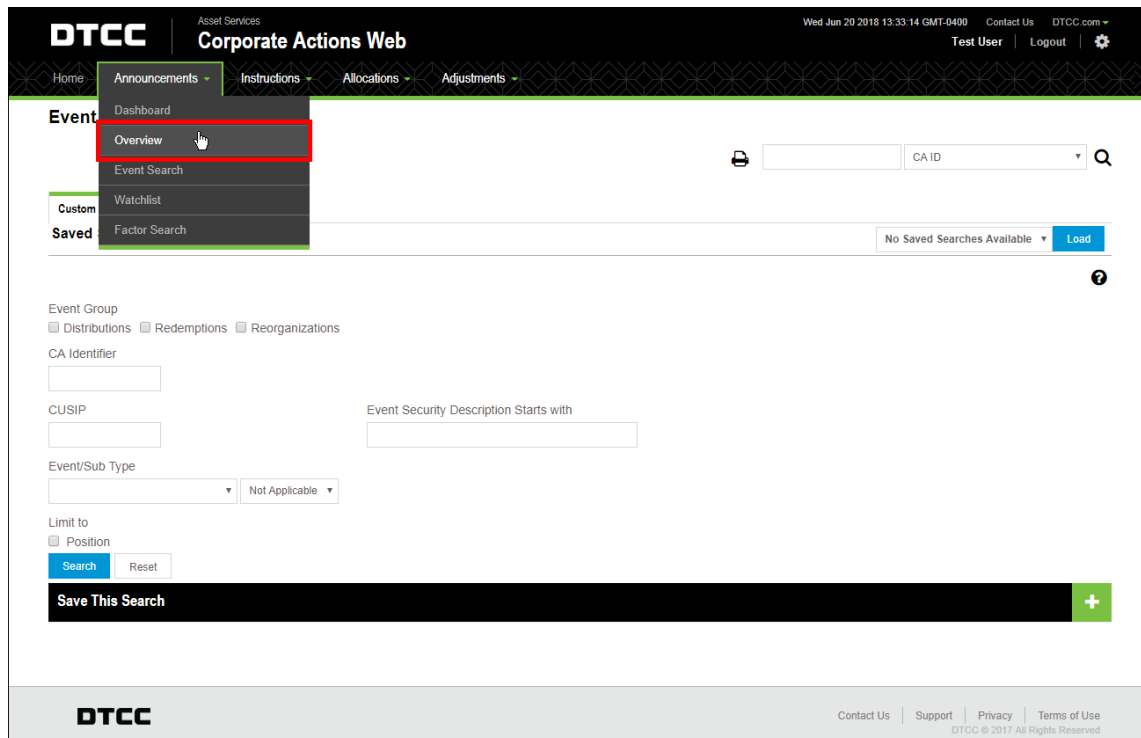
See [Viewing Announcements](#) for more information.



# Viewing Reorganizations Announcements

From the menu bar:

1. Click **Announcements**.
2. Click **Overview**.



The Announcements overview page appears.

3. Click the **Reorganizations** tab.

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Corporate Actions Web

Wed Jun 20 2018 13:28:19 GMT-0400

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New events

Amended Events

Key Data Changed

Extended Expirations

Canceled/Deleted Events

Event

All Events

Position Only Events

All Events

Position Only Events

All Events

Position Only Events

All Events

Position Only Events

All Events

Position Only Events

All Events

Tender/Exchanges

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Mergers

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Mandatory Exchange

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Plan of Reorganization

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Not Processed at DTC

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The table contains counts for DTC-eligible events. The headings on the left divide the results by event type. The categories on the top divide the announcement counts into specific groupings.

These counts are hyperlinks you can click to view events that fall into each group.

- Click an event count.  
The Search Results page appears. It contains only the events that apply to that particular announcement group and event type.

**DTCC** Asset Services **Corporate Actions Web** Wed Jun 20 2018 13:29:32 GMT-0400 Contact Us DTCC.com

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### Reorganizations - Amended Events - Mergers Search Results

[Return to Previous Page](#)

CA ID

| CA ID     | CUSIP     | Ticker | Event Security Description | Event Type | Sub Event Type      | Contra Cusip | Asset Type | DTC M/V | Country of Incorporation | Event S |
|-----------|-----------|--------|----------------------------|------------|---------------------|--------------|------------|---------|--------------------------|---------|
| 517392656 | 049904105 | ATRI   | ATRION CORP                | Merger     | Cash and Securities |              | 010        | M       | US                       | Ca      |
| 517263504 | 90984R101 | UCBA   | UNITED CMNTY BANCORP IND   | Merger     | Cash and Securities |              | 010        | M       | US                       | Ca      |
| 516660409 | 050473107 | AUBN   | AUBURN NATL BANCORP        | Merger     | Securities          |              | 010        | M       | US                       | AF      |

Displaying 1 to 3 of 3 items

Custom Search Advanced Search

Saved Search Criteria No Saved Searches Available Load

Event Group  
☐ Distributions ☐ Redemptions ☒ Reorganizations

CA Identifier

CUSIP

Event Security Description Starts with

Event/Sub Type

Limit to  
☐ Position

Search Reset

Save This Search

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- Click the **CA ID** of the announcement you want to view.  
The [Record Detail](#) page appears in that browser window, displaying the [Event Details](#) tab.

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### Record Detail Page - 517392666

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CA ID

CUSIP: 049904105 | Ticker: ATRI | Issue Description: ATRION CORPORATION DELAWARE - | Issuer Description: ATRION

CORP | Asset Class: Equity | Asset Type: Common Stock | Event Group: Reorganizations | Event Type: Merger -

Sub Event Type: Cash and Securities | Country of Incorporation: US | Processed at DTC: Yes | DTC Eligible: Yes |

Declared Mandatory / Voluntary: Mandatory | DTC Mandatory / Voluntary: Mandatory | ISO Core M/V: MAND |

ISO Event Code: MRGR

Workflow Status: Conditionally Approved | XBRL Indicator: No

System Data

Event Details

Comments

Related Events

Entitlements

Security Position

Settlement Activity

Expand All

Collapse All

Critical

Required

Legacy Cross Reference

+

Event Level

-

|  |             |  |                     |
|--|-------------|--|---------------------|
| <input checked="" type="checkbox"/> Cancelled Flag                     | No          | <input checked="" type="checkbox"/> Sub Event Type           | Cash and Securities |
| Core Dates   |             |  |                     |
| <input checked="" type="checkbox"/> Effective Date                     |             |  |                     |
| Meeting Details  |             |  |                     |
| <input checked="" type="checkbox"/> Meeting Date                       | Apr-19-2018 |  |                     |
| Chills   |             |  |                     |
| <input checked="" type="checkbox"/> DTC Last Day for C.O.D.            | Apr-19-2018 | <input checked="" type="checkbox"/> DTC Last Day for Deposit | Apr-19-2018         |
| <input checked="" type="checkbox"/> DTC Last Day for DO                | Apr-19-2018 | <input checked="" type="checkbox"/> DTC Last Day for Pledge  | Apr-19-2018         |
| <input checked="" type="checkbox"/> DTC Last Day for Segregate         | Apr-19-2018 | <input checked="" type="checkbox"/> DTC Last Day for W/T     | Apr-19-2018         |
| DTC Processing   |             |  |                     |
| <input checked="" type="checkbox"/> DTC Activity Code                  | 90          |  |                     |
| Other Data   |             |  |                     |
| <input checked="" type="checkbox"/> Dissenter's Rights Applicable Flag | No          |  |                     |

Options/Payouts

-

Option 1 - CASE Cash and Securities | Complete | Declared Default Option: Yes | DTC Default Option: Yes | Supported by DTC: Yes | Delete

-

Summary - (Option 001)

|  |                     |   |     |
|--|---------------------|---|-----|
| <input checked="" type="checkbox"/> Option Type                | Cash and Securities | <input checked="" type="checkbox"/> Issuer Supported Flag | Yes |
| <input checked="" type="checkbox"/> Issuer Default Option Flag | Yes                 | <input checked="" type="checkbox"/> DTC Supported Flag    | Yes |
| <input checked="" type="checkbox"/> DTC Default Option Flag    | Yes                 |   |     |

Dates - (Option 001)

|  |             |  |  |
|--|-------------|--|--|
| <input checked="" type="checkbox"/> DTC Anticipated Payment Date | Apr-20-2018 |  |  |
|--|-------------|--|--|

Payouts

Payout 1 | Principal | Complete | Delete

-

Payout Summary - (Payout 001)

|   |           |   |    |
|---|-----------|---|----|
| <input checked="" type="checkbox"/> Payout Type | Principal | <input checked="" type="checkbox"/> Debit Position Flag | No |
|---|-----------|---|----|

Rates/Prices - (Payout 001)

|   |                        |  |  |
|---|------------------------|--|--|
| <input checked="" type="checkbox"/> DTC Cash Rate | 100.44 USD - US Dollar |  |  |
|---|------------------------|--|--|

Allocations - (Payout 001)

|  |                         |  |  |
|--|-------------------------|--|--|
| <input checked="" type="checkbox"/> DTC Allocation Date and Time | Apr-20-2018 10:02:06 AM |  |  |
|--|-------------------------|--|--|

Payout 2 | Securities | Complete | Delete

-

Payout Summary - (Payout 002)

|   |            |   |     |
|---|------------|---|-----|
| <input checked="" type="checkbox"/> Payout Type                   | Securities | <input checked="" type="checkbox"/> Debit Position Flag | Yes |
| <input checked="" type="checkbox"/> DTC Multiply/Divide Indicator | Multiply   | <input checked="" type="checkbox"/> Debit Flag          | No  |

Rates/Prices - (Payout 002)

|   |         |   |  |
|---|---------|---|--|
| <input checked="" type="checkbox"/> DTC Security Rate | 123.112 | <input checked="" type="checkbox"/> DTC Disbursed Security ID | 053015103 CUSIP: AUTOMATIC DATA PROCESSING COM |
|---|---------|---|--|

Disposition Of Fractions - (Payout 002)

|  |                                   |  |  |
|--|-----------------------------------|--|--|
| <input checked="" type="checkbox"/> Fractional Security Rule | Cash in Lieu of Fractional Shares |  |  |
|--|-----------------------------------|--|--|

Allocations - (Payout 002)

|  |                         |  |  |
|--|-------------------------|--|--|
| <input checked="" type="checkbox"/> DTC Allocation Date and Time | Apr-20-2018 10:02:06 AM |  |  |
|--|-------------------------|--|--|

Agents

+

Vendor Records

+

Raw Data

+

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Click the black bars to open and close the event details sections on this page.

Click any other tab to view additional information about this event.

## Record Detail Page

**Record Detail Page - 90986984**

< Return to Previous Page

Enter ID CA ID

BJN7958 SEDOL | 46434V704 CINS/CUSIP | HEWG | ISHARES TRUST ISHARES CURRENCY HEDGED MSCI GERMANY ETF |  
 Issuer Description: ISHARES TR | Asset Class: 1 | Asset Type: 117 | Event Group: Distributions |  
 Event Type: Capital Gains Distribution | Country of Incorporation: US | Country of Listing: US | CFI Code: EUOMSX |  
 Processed at DTCC: Yes | DTC Eligible: Yes | Declared Mandatory/Voluntary: Mandatory |  
 DTC Mandatory/Voluntary: Mandatory | ISO Core M/V: MAND | ISO Event Code: CAPG

Declared Workflow Status: AP | Workflow Status: AP | XBRL Indicator: N

System Data

Event Details Comments Related Events Documentation

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

Legacy Cross Reference

Event Level

EDS Messaging Eligibility Flag N

Cancelled Flag N

The Record Detail page allows you to view all of the relevant information for an individual announcement. It contains an overall [event summary](#) and is divided into four tabs **(1)**.

Click any tab to see the relevant information:

- **Event Details.** This contains important information about the event itself. It is where you will find most of the information you need.
- **Comments.** Here, you will see any external comments about the event (e.g., why an event was canceled). Comments from the ISO 20022 message will appear here.
- **Related Events.** Here, you will see a list of events that are occurring for the same security as well as those that have already occurred, plus any possible future events.
- **Documentation.** This tab will contain links to any relevant outside information, such as press releases and prospectuses on reorg events.

A floating menu on the right **(2)** allows you quick access to any section of the record detail page. Click to expand this menu from anywhere on the page.

For reference, [click here to see a list of Sub-Issue Type Codes](#).

## Event and Sub-Event Types

Corporate Actions are organized in the CA Web around events. When searching for events, you can narrow your searches further by selecting from the following search criteria.

- **Event Type Group:** categories of events such as [Distributions](#), [Redemptions](#), or [Reorganizations](#).
- **Event:** a description of a corporate action. This is the unique logical event name in the new corporate action data model. Before this model, function and activity codes described what is now referred to as an event.

- **Sub-Event:** a further description of the event.

## Distributions

For each event, the CA Web allows you to search on the Event and, if applicable, the Sub-Event type. In some cases, there no sub-event types for an event.

| Event                           | Sub-Event  |
|---------------------------------|--|
| Automatic Dividend Reinvestment | <ul style="list-style-type: none"> <li>• N/A</li> </ul>  |
| Capital Gains Distribution      | <ul style="list-style-type: none"> <li>• DRIP (DTC only)</li> <li>• Opt Out (DTC Only)</li> </ul>  |
| Cash Dividend                   | <ul style="list-style-type: none"> <li>• Currency Election</li> <li>• DRIP (DTC only)</li> <li>• Opt Out (DTC Only)</li> </ul>                       |
| Default                         | <ul style="list-style-type: none"> <li>• Interim Payment</li> </ul>  |
| Distribution                    | <ul style="list-style-type: none"> <li>• DRIP (DTC only)</li> <li>• Opt Out (DTC only)</li> <li>• Tax Credit</li> </ul>                              |
| Dividend with Option            | <ul style="list-style-type: none"> <li>• N/A</li> </ul>  |
| Interest                        | <ul style="list-style-type: none"> <li>• DRIP (DTC only)</li> </ul>  |
| Liquidation                     | <ul style="list-style-type: none"> <li>• Based on Record Date Holdings</li> </ul>  |
| Pay in Kind                     | <ul style="list-style-type: none"> <li>• N/A</li> </ul>  |
| Principal                       | <ul style="list-style-type: none"> <li>• DRIP (DTC only)</li> </ul>  |
| Return of Capital               | <ul style="list-style-type: none"> <li>• DRIP (DTC only)</li> <li>• DRIP (Issuer)</li> <li>• Opt Out (DTC Only)</li> <li>• Sale of Assets</li> </ul> |
| Rights Distribution             | <ul style="list-style-type: none"> <li>• Physical Rights not Issued</li> </ul>   |
| Sale Of Rights                  | <ul style="list-style-type: none"> <li>• ADR</li> <li>• Poison Pill</li> </ul>   |
| Special Dividend                | <ul style="list-style-type: none"> <li>• Currency Election</li> <li>• DRIP (DTC only)</li> <li>• Opt Out (DTC Only)</li> </ul>                       |
| Spin-Off                        | <ul style="list-style-type: none"> <li>• Stock Dividend</li> <li>• Stock Split</li> <li>• Tax Refund</li> </ul>                                      |

## Redemptions

| Event  | Sub-Event   |
|--|---|
| CD Early Redemption*<br><i>*Deferred until Phase 5 implementation.</i> | <ul style="list-style-type: none"> <li>N/A</li> </ul>           |
| Default  | <ul style="list-style-type: none"> <li>Final Payment</li> </ul> |
| Final Paydown  | <ul style="list-style-type: none"> <li>N/A</li> </ul>           |
| Full Call  | <ul style="list-style-type: none"> <li>N/A</li> </ul>           |
| Full Prerefunding  | <ul style="list-style-type: none"> <li>N/A</li> </ul>           |
| Maturity   | <ul style="list-style-type: none"> <li>Securities</li> </ul>    |
| Partial Call   | <ul style="list-style-type: none"> <li>N/A</li> </ul>           |
| Partial Defeasance   | <ul style="list-style-type: none"> <li>N/A</li> </ul>           |
| Partial Prerefunding   | <ul style="list-style-type: none"> <li>N/A</li> </ul>           |
| Termination  | <ul style="list-style-type: none"> <li>N/A</li> </ul>           |



## Reorganizations

| Event                  | Sub-Event   |
|------------------------|---|
| Change                 | <ul style="list-style-type: none"> <li>• ADR Cash Basis</li> <li>• Domicile</li> <li>• Reclassified</li> </ul>                                |
| Consent                | <ul style="list-style-type: none"> <li>• With Payout</li> <li>• Without Payout</li> </ul>   |
| Conversion             | <ul style="list-style-type: none"> <li>• Ongoing</li> </ul>   |
| Dutch Auction          | <ul style="list-style-type: none"> <li>• N/A</li> </ul>   |
| Exchange Offer         | <ul style="list-style-type: none"> <li>• 144a</li> <li>• Cash and Securities</li> <li>• Consent</li> <li>• Reg S</li> <li>• Unwind</li> </ul> |
| Full Call              | <ul style="list-style-type: none"> <li>• N/A</li> </ul>   |
| General Information    | <ul style="list-style-type: none"> <li>• Important Notice</li> </ul>  |
| Liquidation            | <ul style="list-style-type: none"> <li>• Presentation Required</li> </ul>   |
| Mandatory Exchange     | <ul style="list-style-type: none"> <li>• Remarketing</li> </ul>   |
| Mandatory Put          | <ul style="list-style-type: none"> <li>• Retain</li> </ul>  |
| Maturity               | <ul style="list-style-type: none"> <li>• Securities</li> </ul>  |
| Meeting                | <ul style="list-style-type: none"> <li>• N/A</li> </ul>   |
| Merger                 | <ul style="list-style-type: none"> <li>• Cash</li> <li>• Cash and Securities</li> <li>• Securities</li> </ul>                                 |
| Name Change            | <ul style="list-style-type: none"> <li>• N/A</li> </ul>   |
| Odd Lot Offer          | <ul style="list-style-type: none"> <li>• N/A</li> </ul>   |
| Partial Call           | <ul style="list-style-type: none"> <li>• N/A</li> </ul>   |
| Partial Mandatory      | <ul style="list-style-type: none"> <li>• N/A</li> </ul>   |
| Put                    | <ul style="list-style-type: none"> <li>• Retain</li> </ul>  |
| Plan of Reorganization | <ul style="list-style-type: none"> <li>• Vote</li> </ul>  |
| Put                    | <ul style="list-style-type: none"> <li>• Mortgage-Backed</li> <li>• Survivor Options*</li> <li>• * Deferred to Phase V.</li> </ul>            |
| Redemption of Warrants | <ul style="list-style-type: none"> <li>• N/A</li> </ul>   |
| Reorganization         | <ul style="list-style-type: none"> <li>• N/A</li> </ul>   |
| Reverse Stock Split    | <ul style="list-style-type: none"> <li>• N/A</li> </ul>   |
| Rights Subscription    | <ul style="list-style-type: none"> <li>• N/A</li> </ul>   |

| Event               | Sub-Event   |
|---------------------|---|
| Security Separation | • N/A   |
| Stock Split         | • Presentation Required   |
| Tender Offer        | • Bid Tender/Sealed Tender<br>• Cash and Securities<br>• Cash in Lieu<br>• Consent<br>• Convert and Tender<br>• Mini Tender<br>• Offer to Purchase<br>• Self Tender |
| Termination         | • ADR   |
| Warrants Exercise   | • Ongoing   |
| Worthless           | • N/A   |

## Event Summary

**Record Detail Page - 90986984**

< Return to Previous Page

Enter ID CA ID

BJN7958 SEDOL | 46434V704 CINS/CUSIP | HEWG | ISHARES TRUST ISHARES CURRENCY HEDGED MSCI GERMANY ETF |  
 Issuer Description: ISHARES TR | Asset Class: 1 | Asset Type: 117 | Event Group: Distributions |  
 Event Type: Capital Gains Distribution | Country of Incorporation: US | Country of Listing: US | CFI Code: EUOMSX |

Processed at DTCC: Yes (1) DTC Eligible: Yes (2) Declared Mandatory/Voluntary: Mandatory (2) -- Select Action -- (5)

DTC Mandatory/Voluntary: Mandatory (2) ISO Core M/V: MAND | ISO Event Code: CAPG

Declared Workflow Status: AP (3) Workflow Status: AP (3) XBRL Indicator: N

System Data (4)

Event Details | Comments | Related Events | Documentation

+ Expand All - Collapse All ●=Critical ●=Required

Legacy Cross Reference

Event Level

EDS Messaging Eligibility Flag N Canceled Flag N

At the top of the page is a tan Event Summary area. It is visible regardless of the tab you are viewing. It summarizes the event at a high level and provides you with security detail information and the status of the event, allowing you to refer quickly to this data from wherever you are on the event record page.

The information displayed here varies according to the event type. Some information elements are common to all event types, while others are specific to the kind of event they describe. The common information includes the CUSIP, Issue Description, Security Description, Asset Class, and Asset Type.

The **Processed at DTCC** indicator (1) lets you know whether or not the event is being processed at DTCC. If it is not, then this page is informational only. The **DTC** and **Declared Mandatory/Voluntary** indicators (2) let you know whether you need to act on this event.

Numeric codes and acronyms that are not self-explanatory are described on the screen. When you place your mouse over the field, you'll get an explanation of the data.

At the bottom, you can see the status of the event itself **(3)**. Hover your mouse over the codes to see if this event is Approved, Conditionally Approved, Cancelled, or Deleted.

For additional system data, click the gray arrow **(4)**. Here, you can research timestamps related to the announcement. You can see when the announcement was created, when it was last updated, and how long it will be active.

The **Select Action** menu **(5)** allows you to refresh the page, view the audit trail, and request the related ISO 20022 message. You can also submit a corporate actions related inquiry directly to the WINS system.

## Event Details Tab

The Event Details tab provides a wealth of information beyond the event summary, allowing you a full, clear picture of the event.

Notes about this page:



- Click any black header line to open that twisty (the white triangle on the left “twists” open and closed) and view that section’s information in full. These sections vary based on the event type; not all information is relevant to all events.

Declared Workflow Status: AP | Workflow Status: AP | XBRL Indicator: N System Data ▼

Event Details | Comments | Related Events | Documentation

+ Expand All - Collapse All ● Critical ● Required

Legacy Cross Reference

Event Level

☒ EDS Messaging Eligibility Flag  
 Core Dates  
☒ Ex Date  
☒ Declared Payable Date ●  
Interim Monitoring  
☒ Interim Accounting Applicable Flag  
 DTC Processing  
☒ Cut Off Days 0  
☒ DTC FCP Election Indicator N  
☒ DTC Late Indicator N  
☒ Interim Accounting Only Flag N  
☒ DTC Foreign Tax Election Flag N  
☒ DTC Position Capture Date 30-Dec-2014

**Data Element Source Comparison**

| Declared Payable Date  |                       |                              |
|------------------------|-----------------------|------------------------------|
| Source Name            | Declared Payable Date | Source Updated Date and Time |
| Composite Record Value | 02-Jan-2015           | 25-Dec-2014 01:05:12 AM      |
| DTCDIVANN              | 02-Jan-2015           | 25-Dec-2014 01:05:12 AM      |

- Click on any field name to see a mini audit trail for that field, including the last update for that information.

Other Data - (Option 001)

☒ Beneficial Owner Details Flag N

Payouts

▼ Payout 1 | Long Term Capital Gains | Complete | ☐ Delete

Payout Summary - (Payout 001)

|   |   |   |
|---|---|---|
| <input checked="" type="checkbox"/> Payout Type • Long Term Capital Gains | <input checked="" type="checkbox"/> DTC Pay Method                    | <span style="border: 1px solid gray; padding: 2px;">1</span> Payment in U.S. Currency |
| <input checked="" type="checkbox"/> DTC Pay Order 0                       | <input checked="" type="checkbox"/> Portfolio Interest Exemption Flag |   |

Rates/Prices - (Payout 001)

|  |  |
|--|--|
| <input checked="" type="checkbox"/> Declared Estimated Rate Flag N | <input checked="" type="checkbox"/> Declared Cash Rate 0.497049 USD  |
| <input checked="" type="checkbox"/> DTC Withholding Tax Rate 0     | <span style="border: 1px solid red; padding: 2px;">2</span> <input checked="" type="checkbox"/> DTC Withholding Tax Percentage |
| <input checked="" type="checkbox"/> DTC Cash Rate • 0.497049 USD   | <input type="checkbox"/> DTC Currency Conversion Rate  |

Tax Treatment US Sourced Income - (Payout 001)

|  |   |
|--|---|
| <input checked="" type="checkbox"/> NRA Tax Code 021 | <input checked="" type="checkbox"/> NRA Tax Reportable Flag N |
|--|---|

- Hover over codes or acronyms to see a tooltip with a longer explanation of the code **(1)**.
- A green check next to a field indicates that the information provided is final—no further changes will be made. A blue circle next to a field indicates that the information is expected but not yet available **(2)**.

Some important sections on this page are detailed below.

## Legacy Cross Reference

90274F254 CINS/CUSIP |  
 UBS AG TRIGGER PHOENIX AUTOCALLABLE OPTIMIZATION SECURITIES LINKED TO THE LEAST PERFORMING INDEX BETWEEN THE MSCI EMERGING MARKETS |  
 Issuer Description: UBS AG LONDON BRH | Asset Class: 1 | Asset Type: 705 | Event Group: Distributions |  
 Event Type: Cash Dividend | Country of Incorporation: CH | Country of Listing: CH | CFI Code: EMXXXX |  
 Processed at DTCC: Yes | DTC Eligible: Yes | Declared Mandatory/Voluntary: Mandatory |  
 DTC Mandatory/Voluntary: Mandatory | ISO Core M/V: MAND | ISO Event Code: DVCA

Declared Workflow Status: AP | Workflow Status: CA | XBRL Indicator: N

System Data

Event Details | Comments | Related Events | Documentation

+ Expand All - Collapse All ●=Critical ●=Required

▼ Legacy Cross Reference

| FC | Option          | Payout              | Event CUSIP | Seq No. | DTC Disbursed CUSIP | RDP Reference Number             |
|----|-----------------|---------------------|-------------|---------|---------------------|----------------------------------|
| 08 | Option 1 - Cash | Payout 1 - Dividend | 90274F254   | 0       |                     | D0800090274F25401503131503160001 |

▼ Event Level

|  |   |  |   |
|--|---|--|---|
| <input checked="" type="checkbox"/> EDS Messaging Eligibility Flag | N | <input checked="" type="checkbox"/> Cancelled Flag | N |
|--|---|--|---|

This section shows the function code this event is being mapped to from the old system, explaining where the event came from. It is especially useful for ISO clients taking ISO 20022 messages as it ties in the old function codes and activity codes and provides the RDP reference number for each.

## Event Level

**Record Detail Page - 90986984**

BJN7958 SEDOL | 46434V704 CINS/CUSIP | HEWG | ISHARES TRUST ISHARES CURRENCY HEDGED MSCI GERMANY ETF |  
 Issuer Description: ISHARES TR | Asset Class: 1 | Asset Type: 117 | Event Group: Distributions |  
 Event Type: Capital Gains Distribution | Country of Incorporation: US | Country of Listing: US | CFI Code: EUOMSX |  
 Processed at DTCC: Yes | DTC Eligible: Yes | Declared Mandatory/Voluntary: Mandatory |  
 DTC Mandatory/Voluntary: Mandatory | ISO Core M/V: MAND | ISO Event Code: CAPG

-- Select Action --

Print

Declared Workflow Status: AP | Workflow Status: AP | XBRL Indicator: N

System Data

Event Details | Comments | Related Events | Documentation

+ Expand All - Collapse All ●=Critical ●=Required

Legacy Cross Reference

Event Level

|   |  |
|---|--|
| ✓ EDS Messaging Eligibility Flag N <b>1</b>     | ✓ Cancelled Flag N <b>2</b>                      |
| Core Dates                                      |  |
| ✓ Ex Date 26-Dec-2014                           | ✓ Record Date • 30-Dec-2014 <b>a</b>             |
| ✓ Declared Payable Date • 02-Jan-2015           |  |
| Interim Monitoring                              |  |
| ✓ Interim Accounting Applicable Flag N <b>3</b> |  |
| DTC Processing                                  |  |
| ✓ Cut Off Days 0                                | ✓ Interim Accounting Only Flag N <b>c</b>        |
| ✓ DTC FCP Election Indicator N                  | ✓ DTC Foreign Tax Election Flag N                |
| ✓ DTC Late Indicator N                          | ✓ DTC Position Capture Date 30-Dec-2014 <b>b</b> |
| ✓ DTC Position Capture Flag Y                   |  |
| Options/Payouts                                 |  |
| Terms / Restrictions / Vendor Text              |  |
| Agents  |  |

The Event Details tab opens with the Event Level twisty open. It provides you with the relevant dates and processing information for the event itself. Some important fields here include:

- **EDS Messaging Eligibility Flag (1).** This indicates whether the event is eligible for the electronic submission of instructions by clients via ISO messaging, as not all events are eligible.
- **Cancelled Flag (2).** If the value is “Y,” this event was canceled in the market.
- **Interim Accounting (3).** If the value is “Y,” interim accounting is available and the Due Bill Redemption Date field is displayed here. If the value is “N,” only the Record Date **(a)** is displayed as the Position Capture Date **(b)**. If interim accounting is the only option, it is reflected in the **Interim Accounting Only flag (c)**.

## Options/Payouts

The screenshot shows the 'Options/Payouts' interface. At the top, a black header bar contains a dropdown arrow and the text 'Options/Payouts' (1). Below this is a blue header bar for 'Option 1 - CASH Cash | Conditional | Declared Default Option: Yes | DTC Default Option: Yes | Supported by DTC: Yes | Delete' (2). The main content area is divided into sections: 'Summary - (Option 001)' with fields for Option Type (Cash), Issuer Default Option Flag (Y), DTC Default Option Flag (Y), Issuer Supported Flag (Y), and DTC Supported Flag (Y); 'Other Data - (Option 001)' with Beneficial Owner Details Flag (N); 'Payouts' section with a light blue header for 'Payout 1 | Dividend | Conditional | Delete' (3); 'Payout Summary - (Payout 001)' with Payout Type (Dividend), DTC Pay Order (0), and DTC Pay Method (1); 'Rates/Prices - (Payout 001)' (4) with fields for Declared Estimated Rate Flag (N), DTC Withholding Tax Rate (0), DTC Withholding Tax Percentage (0), DTC Currency Conversion Rate (0), Declared Gross Rate (0), Estimated Rate Flag (N), and DTC Cash Rate (0 USD); 'Tax Treatment US Sourced Income - (Payout 001)' (5) with NRA Tax Code (012) and NRA Tax Reportable Flag (N); and 'Fees - (Payout 001)' with Declared Fee Rate (0 USD) and DTC Fee Rate (0 USD).

Click the black header line (1) to open this twisty. It contains a full list of the options available on this event.

Click the dark blue header line to open the twisty for each option. The top option is always the default option; information here includes whether the default is a declared default, whether it is a DTC default, and whether it is supported by DTC. If the option has been deleted, the **Delete** checkbox will be checked (2).

Click the light blue **Payout** line to open the twisty for each payout option. If the payout option has been deleted, the **Delete** checkbox will be checked (3).

The **Rates and Prices** section (4) shows you the DTC Rate and the Declared Rate. Click the field name for either to see source information for the rate.

The **Tax Treatment US Sourced Income** section (5) shows you the NRA tax codes.

## Other Sections

Processed at DTCC: Yes | DTC Eligible: Yes | Declared Mandatory/Voluntary: Mandatory | -- Select Action --

DTC Mandatory/Voluntary: Mandatory | ISO Core M/V: MAND | ISO Event Code: CAPG

Declared Workflow Status: AP | Workflow Status: AP | XBRL Indicator: N System Data

Event Details | Comments | Related Events | Documentation

+ Expand All - Collapse All ●=Critical ●=Required

Legacy Cross Reference

Event Level

Options/Payouts

Terms / Restrictions / Vendor Text

Agents

| Agent Type     | Agent ID | Agent Name | Agent Address | Agent Phone Number | Contact Information Firm | Contact Information Name |
|----------------|----------|------------|---------------|--------------------|--------------------------|--------------------------|
| Transfer Agent | 00001630 |            | (more...)     |                    |                          |                          |

Custodian Records

Derivative Data

Exceptions

Duplicates

Source Comparison

Select up to 20 sources to compare to the composite.  
DTCDIVANN [Select First 20 Sources to Compare](#)

Compare

Internal Information

Updated Source Text

Vendor Records

Raw Data

Based on the event type, you will see other twisty sections on the list. Some common sections include:

- **Terms/Conditions/Vendor Text:** If there are any terms or conditions specified for this event, or if there are any comments from the vendor, they will be displayed here.
- **Agents:** This contains the agent type, agent ID, and contact information for the agent involved in this event.
- **Source Comparison:** Select up to 20 records from the source information list box and click Compare. A separate window opens with columns containing a complete listing of the data for each selected source that this record is drawn from.



## Comments Tab

**Record Detail Page - 90986984**

BJN7958 SEDOL | 46434V704 CINS/CUSIP | HEWG | ISHARES TRUST ISHARES CURRENCY HEDGED MSCI GERMANY ETF |  
 Issuer Description: ISHARES TR | Asset Class: 1 | Asset Type: 117 | Event Group: Distributions |  
 Event Type: Capital Gains Distribution | Country of Incorporation: US | Country of Listing: US | CFI Code: EUOMSX |  
 Processed at DTCC: Yes | DTC Eligible: Yes | Declared Mandatory/Voluntary: Mandatory |  
 DTC Mandatory/Voluntary: Mandatory | ISO Core M/V: MAND | ISO Event Code: CAPG

-- Select Action --

Declared Workflow Status: AP | Workflow Status: AP | XBRL Indicator: N

System Data

Event Details | **Comments** | Related Events | Documentation

+ Expand All - Collapse All

▼ External Comments

Displaying 1 to 2 of 2 items

Print Page 1 of 1

| Date Added              | Comments   |
|-------------------------|--|
| 05-Dec-2014 01:05:31 AM | It gains=0.497049. st gains=0.331034 nyse d/1 12/24/2014 |
| 05-Dec-2014 01:05:12 AM | It gains=0.497049. st gains=0.331034 nyse d/1 12/24/2014 |

On this tab, you can see the external comments made on this event. These comments generally come from the ISO message and include information such as the reason why an event was cancelled.

## Related Events Tab

**Record Detail Page - 90986984**

BJN7958 SEDOL | 46434V704 CINS/CUSIP | HEWG | ISHARES TRUST ISHARES CURRENCY HEDGED MSCI GERMANY ETF |  
 Issuer Description: ISHARES TR | Asset Class: 1 | Asset Type: 117 | Event Group: Distributions |  
 Event Type: Capital Gains Distribution | Country of Incorporation: US | Country of Listing: US | CFI Code: EUOMSX |  
 Processed at DTCC: Yes | DTC Eligible: Yes | Declared Mandatory/Voluntary: Mandatory |  
 DTC Mandatory/Voluntary: Mandatory | ISO Core M/V: MAND | ISO Event Code: CAPG

Declared Workflow Status: AP | Workflow Status: AP | XBRL Indicator: N

System Data

Event Details | Comments | **Related Events** | Documentation

+ Expand All - Collapse All

▼ Event Security

| <input type="checkbox"/>            | CA ID    | WF Status | Event Type | Event Subtype | Match Date  | Declared M/V | DTC M/V | Offeror Name |
|-------------------------------------|----------|-----------|------------|---------------|-------------|--------------|---------|--------------|
| <input checked="" type="checkbox"/> | 90221401 | Deleted   | CD         |               | 30-Dec-2014 | M            |         |              |
| <input checked="" type="checkbox"/> | 86412179 | Approved  | CD         | Cash Dividend | 02-Jul-2014 | M            | M       |              |

Compare

► Disbursed Security

▼ Multi-Market

There is no data to display.

▼ CA Links

There is no data to display.

This tab displays any other events that have occurred (or could occur) on the same security. Here, you can see any related event history as well as any possible future events that are expected to occur on the same security.

Click the **CA ID (1)** to open the Record Detail page for a related event.

You can also compare these events with the current one by selecting the checkboxes next to each and clicking **Compare (2)**. You can compare up to 10 events at a time.

| Composite Comparison: 90986984               |                                    |             |             |             |
|--|------------------------------------|-------------|-------------|-------------|
| <a href="#">&lt; Return to Previous Page</a> |                                    |             |             |             |
| Primary Composite                            |                                    |             |             |             |
| Composite 90986984                           |                                    |             | 86412179    | 90221401    |
| Country Of Listing:                          | US                                 |             | US          | US          |
| Event Type:                                  | CGD                                |             | CD          | CD          |
| Event SubType:                               | Capital Gains Distribution         |             |             |             |
| Workflow Status:                             | AP                                 |             | AP          | DE          |
| Status                                       | Data Element                       | CA Value    | 86412179    | 90221401    |
| ✓  | EDS Messaging Eligibility Flag     | N           | N           | N           |
| N/A  | EDS Messaging Country Code         | N/A         |             | N/A         |
| ✓  | Cancelled Flag                     | N           | N           | N           |
| N/A  | Sub Event Type                     | N/A         |             | N/A         |
| N/A  | Currency Option Flag               | N/A         | N           | N/A         |
| ✓  | Ex Date                            | 26-Dec-2014 | 02-Jul-2014 | 26-Dec-2014 |
| ✓  | Record Date                        | 30-Dec-2014 | 07-Jul-2014 | 30-Dec-2014 |
| ✓  | Declared Payable Date              | 02-Jan-2015 | 09-Jul-2014 | 02-Jan-2015 |
| N/A  | Meeting Date                       | N/A         |             | N/A         |
| N/A  | Increase On Shares Flag            | N/A         |             | N/A         |
| Status                                       | Data Element                       | CA Value    | 86412179    | 90221401    |
| N/A  | Domicile Restrictions Flag         | N/A         |             | N/A         |
| ✓  | Interim Accounting Applicable Flag | N           | N           | N           |

This opens a separate **Composite Comparison** window that provides a side-by-side comparison of the events' key data. Data for the current event is presented in the first column **(3)**. This is especially useful for tracking rate histories and P&I factors.

## Documentation Tab

Record Detail Page - 90986984

BJN7958 SEDOL | 46434V704 CINS/CUSIP | HEWG | ISHARES TRUST ISHARES CURRENCY HEDGED MSCI GERMANY ETF |  
Issuer Description: ISHARES TR | Asset Class: 1 | Asset Type: 117 | Event Group: Distributions |  
Event Type: Capital Gains Distribution | Country of Incorporation: US | Country of Listing: US | CFI Code: EUOMSX |  
Processed at DTCC: Yes | DTC Eligible: Yes | Declared Mandatory/Voluntary: Mandatory |  
DTC Mandatory/Voluntary: Mandatory | ISO Core M/V: MAND | ISO Event Code: CAPG

-- Select Action --
Print

Declared Workflow Status: AP | Workflow Status: AP | XBRL Indicator: N
System Data

Event Details
Comments
Related Events
Documentation

There is no data to display.

When relevant, this tab provides you with links to press releases, letters of transmittal, reorganization event prospectuses, ADR Depositary Fees, and any other documentation that relates to this event.

Please note that Important Notices are provided in the [Event Level](#) section of the [Event Details tab](#) when applicable.

Not all events will have corresponding documentation.

## Sub-Issue Type Codes

| CORPORATE EQUITY |  |
|------------------|--|
| Sub-Issue Type   | Description                                  |
| 010              | Common Stock                                 |
| 011              | Convertible Common Stock                     |
| 012              | Common Stock REIT                            |
| 020              | Preferred Stock                              |
| 022              | Preferred Stock REIT                         |
| 023              | Convertible Preferred Stock                  |
| 024              | Tender Rate Preferred Stock                  |
| 030              | Limited Partnership                          |
| 040              | CMO Denom in "Units" or "Undivided Interest" |
| 041              | ABS Denom in "Units" or "Undivided Interest" |

| CORPORATE EQUITY |  |
|------------------|--|
| <b>042</b>       | Issue Denom in "Units" or "Undivided Interest" |
| <b>102</b>       | Auction Rate Preferred Stock (ARPS)            |
| <b>110</b>       | American Depositary Receipt (ADR)              |
| <b>111</b>       | Depositary Share                               |
| <b>112</b>       | Municipal Option Call Right                    |
| <b>117</b>       | Exchange Traded Funds                          |
| <b>120</b>       | MMI Preferred Stock (in CP-like mode)          |
| <b>121</b>       | Equity 144A Designated Investors               |
| <b>125</b>       | Sealed Envelope                                |
| <b>126</b>       | Custody User CUSIP                             |
| <b>130</b>       | Real Estate Investment Trust (REIT)            |
| <b>700</b>       | Package  |
| <b>705</b>       | Equity Derivative                              |
| <b>710</b>       | Option Derivative                              |
| <b>720</b>       | Warrant  |
| <b>730</b>       | Right  |
| <b>760</b>       | Mutual Fund                                    |
| <b>761</b>       | Closed End Fund                                |
| <b>762</b>       | (IMMI) Institutional MMI Mutual Fund Shares    |
| <b>780</b>       | Equity Unit                                    |
| <b>790</b>       | Unit Investment Trust (UIT)-Nuveen Only        |
| <b>795</b>       | Unit Investment Trust (UIT)                    |

| CORPORATE DEBT |   |
|----------------|---|
| Sub-Issue Type | Description                                   |
| <b>450</b>     | GNMA REMIC Securities                         |
| <b>451</b>     | GNMA Pass-Through Securities                  |
| <b>452</b>     | GNMA Serial Note Securities                   |
| <b>500</b>     | Corporate Bond (CB) or Global Bond Corp (GCB) |
| <b>502</b>     | MMI Bankers' Acceptance Note (BA)             |
| <b>504</b>     | MMI Institutional Certificates of Deposit     |
| <b>505</b>     | Certificated Money Market Instrument          |

| CORPORATE DEBT |  |
|----------------|--|
| 506            | Certificated Money Market-Periodic Player        |
| 507            | Certificates of Deposit                          |
| 510            | CPI Interest at Maturity (IAM) Commercial Paper  |
| 511            | Periodic Payment Commercial Paper                |
| 520            | CPI Discount Commercial Paper (CP)               |
| 525            | MMI Corporate Commercial Paper                   |
| 526            | MMI Corporate VRDO/CP                            |
| 530            | MTN Medium Term Note                             |
| 531            | MMI Deposit Note                                 |
| 532            | MMI Medium Term Bank Note                        |
| 533            | MMI Medium Term Note                             |
| 540            | Collateralized Mtge Obligation or Global CMO     |
| 541            | Asset-Backed Security (ABS) or Global ABS (GABS) |
| 542            | Non-CMO/ABS Amortizing Issue                     |
| 545            | Corporate 144A Designated Investors              |
| 546            | Corporate Other Tax Exempt                       |
| 550            | MMI Short-Term Bank Note                         |
| 551            | Z CPN Denom in Initial Principal Amt             |
| 560            | MMI Discount Note                                |
| 571            | Corporate Auction Rate Note                      |
| 572            | Convertible Corporate Debt                       |
| 573            | Corporate Variable Mode Obligation (CVMO)        |
| 574            | Corporate Short-Term Note                        |
| 575            | Corporate Debenture                              |
| 576            | Corporate VRDO/Municipal VRDO (MMD)              |
| 577            | Corporate Insured Custodial Receipt              |
| 578            | Tender Rate Note                                 |
| 579            | Zero Coupon Bond                                 |
| 601            | Government Security                              |
| 602            | Government Trust Certificate                     |
| 603            | Junk and Treasury Growth Receipt (JGR)           |
| 610            | U.S. Treasury Security                           |

| CORPORATE DEBT |                                 |
|----------------|---------------------------------|
| 611            | U.S. Treasury Bill              |
| 612            | U.S. Treasury Note              |
| 613            | U.S. Treasury Bond              |
| 620            | U.S. Government Agency Security |
| 704            | Corporate Debt Derivative       |
| 781            | Debt Unit                       |

| MUNICIPAL DEBT |  |
|----------------|--|
| Sub-Issue Type | Description                                      |
| 310            | Municipal Bond                                   |
| 311            | Municipal Note                                   |
| 312            | Municipal Auction Rate Note (ARN)                |
| 313            | Municipal Variable Mode Obligation (VMO)         |
| 314            | Municipal Variable Rate Demand Obligation (VRDO) |
| 315            | Municipal Insured Custodial Receipt              |
| 320            | MMI Municipal VRDO/CP                            |
| 330            | MMI Municipal Commercial Paper                   |
| 340            | Bearer, Callable Zero Coupon Bond                |
| 346            | Municipal Other Tax Exempt                       |
| 706            | Municipal Derivative                             |
| 708            | Municipal Amortized Issue                        |

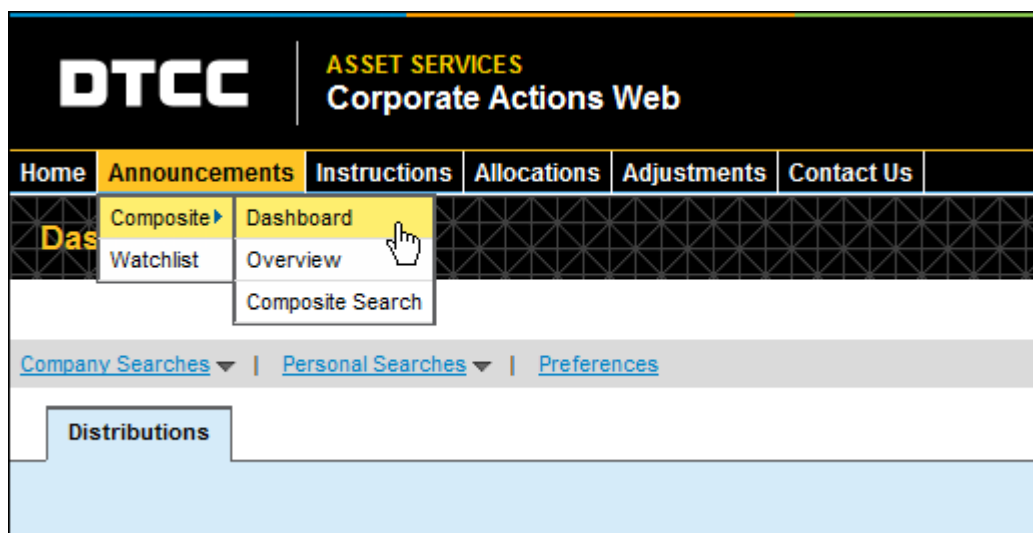
# DISTRIBUTIONS

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## About the CA Web Dashboard

The Dashboard provides you with one convenient launch page that allows you to view all items in CA Web that potentially need your attention.

To get to the Dashboard, hover your mouse over **Announcements > Composite** and click **Dashboard** from the menu:



This invokes the CA Web Dashboard page for your account:



**ASSET SERVICES**  
**Corporate Actions Web**

Welcome  
user@test.com  
00001234

Log out  
My Preferences

Home | **Announcements** | Instructions | Allocations | Adjustments | Contact Us

Fri Dec 26 09:47:15 EST 2014

**Dashboard**

Enter ID CA ID

Company Searches | Personal Searches | Preferences

Distributions

**Instructions**

| Service      | Cut Off Today<br>26-Dec-2014 |            | Cut Off<br>29-Dec-2014 |            | Active       |            |
|--------------|------------------------------|------------|------------------------|------------|--------------|------------|
|              | Uninstructed                 | Instructed | Uninstructed           | Instructed | Uninstructed | Instructed |
| DRIP         | 40                           | 0          | 0                      | 0          | 2            | 0          |
| DRIP Opt-Out | 6                            | 0          | 0                      | 0          | 0            | 0          |
| FCP          | 2                            | 0          | 0                      | 0          | 4            | 0          |
| FOR          | 4                            | 0          | 4                      | 0          | 11           | 2          |
| OPS          | 2                            | 0          | 1                      | 0          | 5            | 0          |
| CRS          | 0                            | 0          | 1                      | 0          | 1            | 0          |
| FTR          | 0                            | 0          | 0                      | 0          | 0            | 0          |

\* For events that offer multiple services, the instructed / uninstructed count will apply only to the individual service offered that has had instructions placed upon it.

**Allocations (Today)**

| Type       | Total Due         |        | Unallocated       |        | Allocated |        |
|------------|-------------------|--------|-------------------|--------|-----------|--------|
|            | Amount*           | Events | Amount*           | Events | Amount*   | Events |
| Cash (USD) | 17,409,762,203.38 | 67,718 | 17,409,762,203.38 | 67,718 | 0.00      | 0      |
| MMI        | 0.00              | 0      | 0.00              | 0      | 0.00      | 0      |
| Stock      | N/A               | 53     | N/A               | 53     | N/A       | 0      |
| Cash (CAD) | 0.00              | 0      | 0.00              | 0      | 0.00      | 0      |

\* Amounts only apply to cash allocations and not stock allocations.

**Adjustments (Today)**

| Cash Adjustment Type | Actual Adjustments |       |
|----------------------|--------------------|-------|
|                      | Net Amount         | Count |
| Cash                 | 273,713,528.96     | 8,737 |
| Stock Loan           | 248,151,742.76     | 6,804 |
| Repo                 | 23,162,089.75      | 1,102 |
| Rate                 | 0.00               | 0     |
| Misc/GL              | 4,500.00           | 3     |
| Fails                | 2,395,196.45       | 828   |
| Coupon               | 0.00               | 0     |

| MMI Adjustment Type | Actual Adjustments |       |
|---------------------|--------------------|-------|
|                     | Net Amount         | Count |
| MMI Stock Loans     | 1,142,844.00       | 107   |
| MMI Repo            | 2,518,740.00       | 12    |
| MMI Rate            | 0.00               | 0     |
| MMI Misc/GL         | 0.00               | 0     |
| MMI Fails           | 568,926.09         | 13    |

| Stock Adjustment Type | Actual Adjustments |  |
|-----------------------|--------------------|--|
|                       | Count              |  |
| Fails                 | 10                 |  |
| Stock Loans           | 66                 |  |
| Stock Adjustments     | 0                  |  |

**Announcements**

|  | Events |
|--|--------|
| New events with DTC Elections            | 41     |
| Late Announcements without DTC Elections | 17     |
| Key Data Updated on Event                | 551    |
| DTC Rate To Rate Change                  | 3      |
| DTC Zero Rate To Rate Change             | 227    |
| Canceled/Deleted Events                  | 0      |
| Events with DTC Position Capture Today   | 33659  |
| Events Carrying Due Bills                | 26     |
| Events with DTC Important Notices Added  | 0      |

|  | Events |
|--|--------|
| Warnings                               |        |
| Late Announcements with DTC Elections* | 12     |
| Events with Late Ex Date*              | 1      |
| Events with Zero rate on Payable date* | 0      |

**Alerts**

| Subject                                    | Date | Time |
|--|------|------|
| There are currently no alerts to be shown. |      |      |
|  | N/A  | N/A  |

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The Dashboard is divided into five main groupings.

## 1. Instructions

The **Instructions** box shows a total of all events, listed out by service, on which you can instruct. It specifically highlights the number of instructions with a cutoff of the current business day, all items that have a cutoff on the next business day, and all active instructions.

- **Cut-off Today** represents the events where you hold a record date position and the instruction window for the service will be “closing” or expiring on the current business day.
- The next **Cut Off** column represents the events where you hold a record date position and the instruction window for the service will be “closing” or expiring on the following business day.
- **Active Instructions** represents the events where you hold a record date position and the instruction window for the service is open and not cutting off today.

Click the **Instructions** heading to reach the [Instructions Overview page](#).

Click any hyperlinked number in the **Uninstructed** and **Instructed** columns to see a Search Results page that lists all events comprising that total. You can reach a particular event's Record Detail page from here.

## 2. Announcements

The **Announcements** box contains event totals divided by category—new event announcements are shown here, as well as announcements on which a particular piece of event information has changed. You can see items grouped as “warnings” here as well. For example, you can see your Late Announcements, which are events that DTC announced today that have a record date of today or a day in the past and therefore require timely attention.

Click the **Announcements** heading to reach the [Announcements Overview page](#).

Click a hyperlinked number in the **Events** column to see a Search Results page that lists all events comprising this total. You can reach a particular event's Record Detail page from here.

## 3. Allocations

The **Allocations** box summarizes all of the events that may be allocated. It displays an amount and count of events for the current business date. The Allocations counts are divided up by entitlement types:

- **Cash (USD)**,
- **MMI**, for your interest payments on Money Market Instruments,
- **Stock**, for all of your security allocations, stock spinoffs, stock splits, rights distributions, etc., and
- **Cash (CAD)** for customers who participate in the Canadian Link Service.

Click the **Allocations (Today)** heading to reach the [Allocations Overview page](#).

Click any hyperlinked number in the **Events** columns to go to a page that lists all events comprising that total. You can reach a particular event's Record Detail page from here.

## 4. Adjustments

Adjustments include all entitlement and allocation activity that is outside the traditional pay date allocations. This includes all post allocation rate adjustments and any activity tracking for stock loans, repos, and due bill fail tracking.

The Adjustments box includes a bird's-eye view of your adjustment totals. You can view today's totals split out by adjustment type as well as the number of records that comprise that total.

Click the **Adjustments (Today)** heading to reach the [Adjustments Overview page](#).

Click any hyperlinked number in the **Count** column to go to a page that lists all events comprising that total. You can reach a particular event's Record Detail page from here.

## 5. Alerts

This section contains a list of any system alerts that are generally helpful or that require your attention. They are posted with the date and time so you can gauge each alert's immediacy.

Click a hyperlink in the **Subject** column to read an alert.

# Instructions

## DTC Corporate Actions

The following services are available for use when instructing on dividend options. Contact your relationship manager to participate in any of these programs.

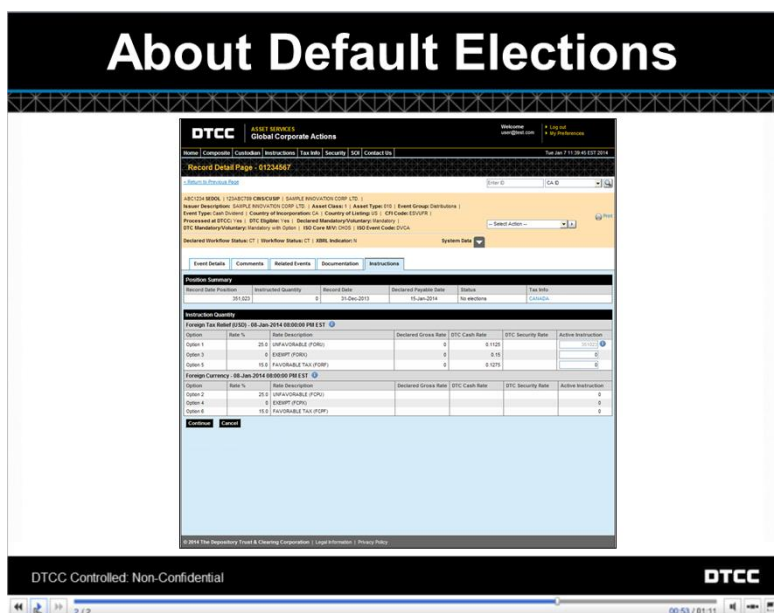
You will see only those programs in the Corporate Action browser to which you subscribe.

|                                 |   |
|---------------------------------|---|
| <b>Foreign Currency Payment</b> | DTC's Foreign Currency Payment (FCP) service allows clients to receive dividends and interest in foreign currency to be paid at the client's bank in the local market on FCP-eligible securities. Payouts can be made either in all foreign currency, all U.S. dollars, or a combination of the two.  |
| <b>TaxRelief</b>                | DTC TaxRelief <sup>sm</sup> (TaxRelief) makes it possible for DTC clients and their qualifying beneficial owners to obtain tax relief "at-source" or via an accelerated refund on certain foreign issues as a result of tax relief arrangements established with issuers, agents, or the tax authorities of various countries. Obtaining benefits at-source means investors receive the income payment with the most favorable rate of tax. |
| <b>Optional Dividends</b>       | The Optional Dividend service allows clients to elect to receive income payments in the form of cash, stock, or a combination of both as set forth in the terms of the options defined by the issuer declaring the distribution.  |
| <b>Dividend Reinvestment</b>    | The DTC Dividend Reinvestment Program (DRiP) allows clients to reinvest income payments for additional securities. The DTC DRiP program also includes an opt-out feature, where income payments on certain issues have been automatically reinvested into securities and DTC clients have the opportunity to instruct to receive cash instead.  |
| <b>Cash-in-Lieu/Round-up</b>    | The Cash-in-Lieu and Round-up service is used when the security's Issuer or Agent agrees to round up fractional entitlements to the beneficial owner level or agrees to pay cash-in lieu for fractional entitlements at the beneficial owner level.   |

# Instructing on the Default Option

## Please note:

This is the transcript of an animated Help topic. To play the topic, refer to the topic of the same name in the online Help.



For services other than Optional Dividends, eligible positions will appear under the Default Rate when the instruction window opens. This Default Rate represents the least favorable rate.

Based on the client's tax status, you may instruct and move position to a more favorable rate.

If you do not make any elections during the election window, or only instruct on part of the record date position, then any unelected quantity will automatically be applied to the default option upon the instruction cutoff.

However, you can choose to instruct on the default. This ability for you to actively elect the default, rather than passively accepting it at cutoff, is a way for you to indicate that an instruction has been made.

The default rate appears grayed out in the Active Instruction area of the event's Record Detail page. Mouse over the blue Information circle. You'll see that this is marked as the Default option.

Click **Continue** at the bottom of the page without changing any instruction amounts. By doing so, you're instructing on the default.

Enter your Submitter Information for the audit trail and click **Submit Election**.

Once you complete submitting the instruction, it will be marked as "Instructed" on your Overview page.

## Related Information

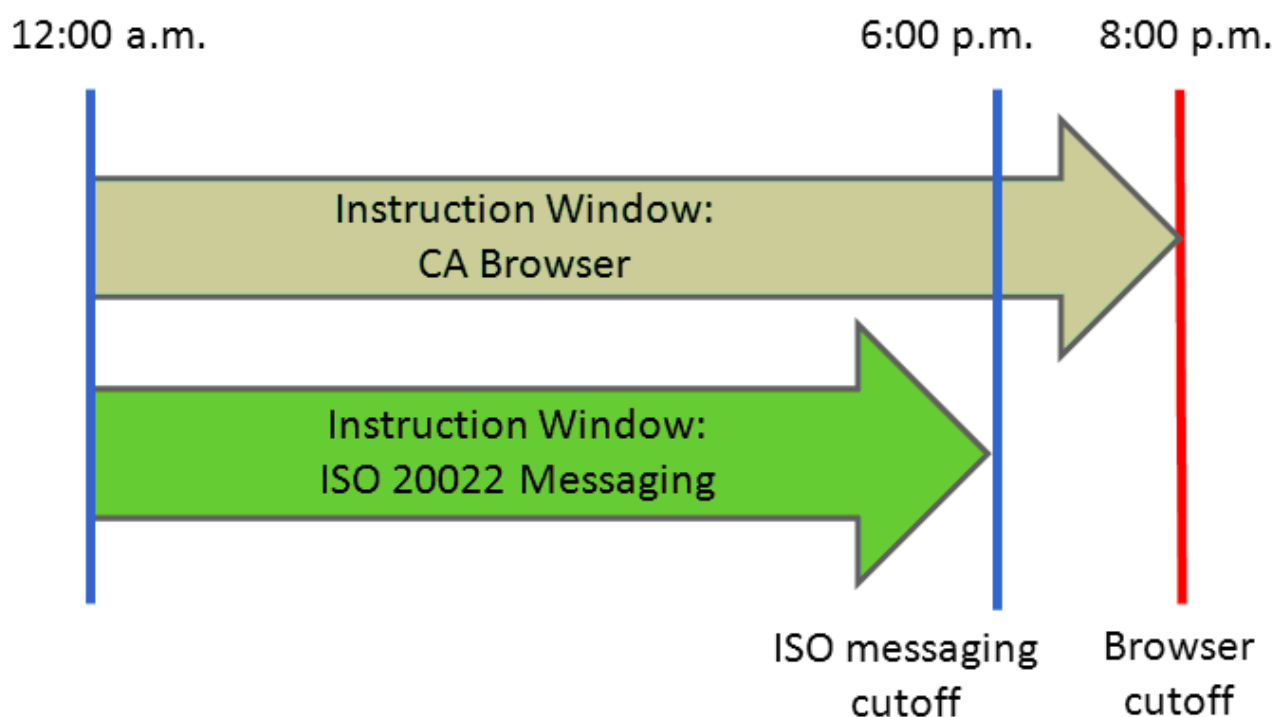
- [How to Submit an Instruction](#)

## Instruction Window Cutoff Times

For the majority of corporate actions distribution events, the instruction window is open from 12:00 midnight until 8:00 p.m. eastern time.

Note that in a minority of cases, the event cutoff may be different than 8:00 p.m. If so, the cutoff time would be noted on the event.

Instructions sent via ISO messaging can be submitted up until two hours before the instruction window closes. Functionally, this means that ISO 20022 messages can be submitted until 6:00 p.m. if the event cutoff is 8:00 p.m.



Please note that, once any instructions originating from ISO 20022 messages have been edited in the browser, you cannot change your instructions using ISO 20022 messages. Use the browser to make any changes past this point. [Read some rules here.](#)

Note that if any amount remains uninstructed at cutoff, that amount will automatically be elected at the default rate. You can choose to [actively elect the default rate](#) instead of automatically accepting it.

## Instructions Overview

About Inactive  
Instruction History

About Instruction  
Audit History

### Please note:

This is the transcript of an animated Help topic. To play the topic, refer to the topic of the same name in the online Help.

| Service                       | Cut Off 07-Jan-2014 |            | Active       |            | Forecast    |          |
|-------------------------------|---------------------|------------|--------------|------------|-------------|----------|
|                               | Uninstructed        | Instructed | Uninstructed | Instructed | No Position | Position |
| Dividend Reinvestment         | 2                   | 0          | 4            | 0          | 4           | 38       |
| Dividend Reinvestment Opt-Out | 0                   | 1          | 0            | 0          | 23          | 33       |
| Foreign Currency              | 1                   | 0          | 28           | 0          | 32          | 11       |
| Foreign Tax Relief            | 1                   | 0          | 39           | 0          | 44          | 23       |
| Optional Dividends            | 2                   | 1          | 9            | 0          | 0           | 1        |
| Cash-in-Lieu / Round Up       | 1                   | 2          | 3            | 0          | 0           | 4        |
| Foreign Tax Reclaim           | 0                   | 0          | 2            | 2          | 0           | 0        |

This is the Instructions Overview page.

This page is essentially a summary that allows you to view all of the Corporate Actions Services offered, broken out by event type.

It specifically highlights instructions that are due on the current business day, all active instructions, and all forecast instructions.

- **Cut-off Today** represents the events where you held a record date position and the instruction window for the service will be “closing” or expiring on the current business date.
- **Active Instructions** represents the events where you held a record date position and the instruction window for the service is open and not cutting off today.
- **Forecast Instructions** include all distribution events that have been announced and are eligible for services, but the instruction window has not yet been opened.

For **Cutoff Today** and **Active instructions**, there are “Instructed” and “Uninstructed” columns.

If you click on any record count, you will be brought to the corresponding search result page where you can drill down for further details.

### Related Information

- [About Corporate Action Services](#)

## Viewing Instruction Audit History

Use this page to search for items for which the expiration window has closed.




From any page in the Corporate Actions Web browser:

1. On the menu bar, hover your mouse over **Instructions** and click **Overview**.
2. Click **Instruction Audit Trail Search** from the links above the table to display the drop-down search menu.
3. In the search area, enter the requested information to find the corporate action event you're looking for.  
The following required fields are marked with a red asterisk **\***:
  - **Service**. Select the Corporate Actions Service.
  - **Note**: You must provide at least one of the following fields in your search:
  - **CUSIP**. Input the CUSIP. This must be nine characters.
  - *or*
  - **Activity Date**. Select a date and specify a time period before or after your selected date.
4. Click **Search**. A list of Instructions displays.
5. Click the link in the **CA ID** column. This takes you to the Instructions tab on the Record Detail page. Click **View Audit Trail** at the top right of the Record Detail display. This shows you the Instruction Audit Trail for the instruction you are viewing.

| Displaying 1 to 2 of 2 items |                   |
|------------------------------|-------------------|
| Activity Timestamp           | Activity Type     |
| 23-Aug-2013<br>07:32:00 AM   | Inserted election |
| 23-Aug-2013<br>07:32:01 AM   | Inserted election |

6. Click on an **Activity Timestamp** to see further detail.

### Helpful Hints

- For Activity Date, type the date in mm/dd/yyyy format or select the date using the calendar tool. 
- For Activity Date, use the "+" or "-" symbol and type the number of days to select a "rolling" time period of up to 30 days before or after your selected date.
- Click  **Print** to print a hard copy of the transaction information.
- Click  **Export to Excel** to export all data in this table to an Excel spreadsheet.

## Viewing Inactive Instruction History

Use this page to search for items for which the instruction window has closed and the event has not yet allocated/paid.




From any page in the Corporate Actions Web browser:

1. On the menu bar, hover your mouse over **Instructions** and click **Overview**.
2. Click **Inactive Instruction Search** from the links above the table.
3. In the search area, enter the requested information to find the corporate action event you're looking for. The following required fields are marked with a red asterisk :
  - **Service**. Select the Corporate Actions service.  
**Note:** You must provide at least one of the following fields in your search:
  - **CUSIP**. Input the CUSIP. This must be nine characters.  
and/or
  - **DTC Expiration Date**. Select a date and specify a time period before or after your selected date.
4. Click **Search**. A list of events with summary data displays.
5. Click the link in the **CA ID** column. This takes you to the Instructions tab on the Record Detail page.
6. Click **View Audit Trail** at the top right of the Record Detail. This shows you the Instruction Audit Trail for the instruction you are viewing.

| Activity Timestamp      | Activity Type     | Option Number | Option Type             | Record Date | Rate  | Election Quantity |
|-------------------------|-------------------|---------------|-------------------------|-------------|-------|-------------------|
| 30-Aug-2013 09:16:56 PM | Inserted election | 1             | Foreign Tax Unfavorable | 2013-08-30  | 25.0% | 2063509           |

7. Click on an **Activity Timestamp** to see further detail.

### Helpful Hints

- For DTC Expiration Date, type the date in mm/dd/yyyy format or select the date using the calendar tool .
- For DTC Expiration Date, use the “+” or “-” symbol and type the number of days to select a “rolling” time period of up to 30 days before or after your selected date.
- Click  **Print** to print a hard copy of the transaction information.
- Click  **Export to Excel** to export the first 15,000 rows of data in this table to an Excel spreadsheet.

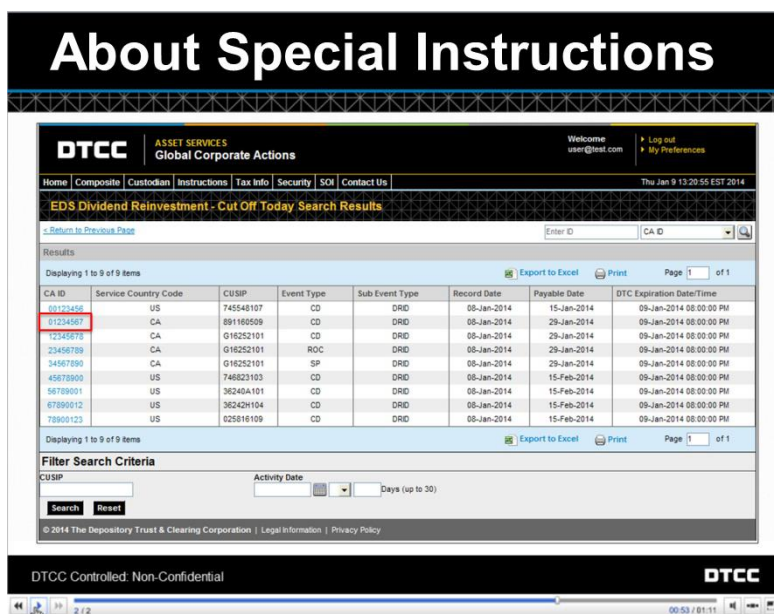


# Instructions Tab: Position Summary and Elections

## About Special Instructions

### Please note:

This is the transcript of an animated Help topic. To play the topic, refer to the topic of the same name in the online Help.



Some distribution events with instruction windows have special instructions that you are required to read before you can make any elections on the event.

If special instructions exist for an event, they will display when you first access the Instructions tab for that event.

When applicable, the Special Instructions page appears before the instructions input page. This ensures that you have viewed all the special instructions about the event before you enter any instructions on it.

Sometimes, an event can have multiple services associated with it—for example, foreign tax combined with dividend reinvestment, or foreign currency combined with foreign tax.

When this happens, the special instructions will appear in a list. Click the white arrow next to each to collapse or expand the special instructions.

Read the special instructions carefully. When you are finished, click **Continue** to move on to the Instructions input page.

Clicking **Continue** indicates that you have read and agree to the special instructions outlined on this page.

Click the hyperlink on the Instructions input page to view the Special Instructions at any time.

The Special Instructions will appear in a separate pop-up window.

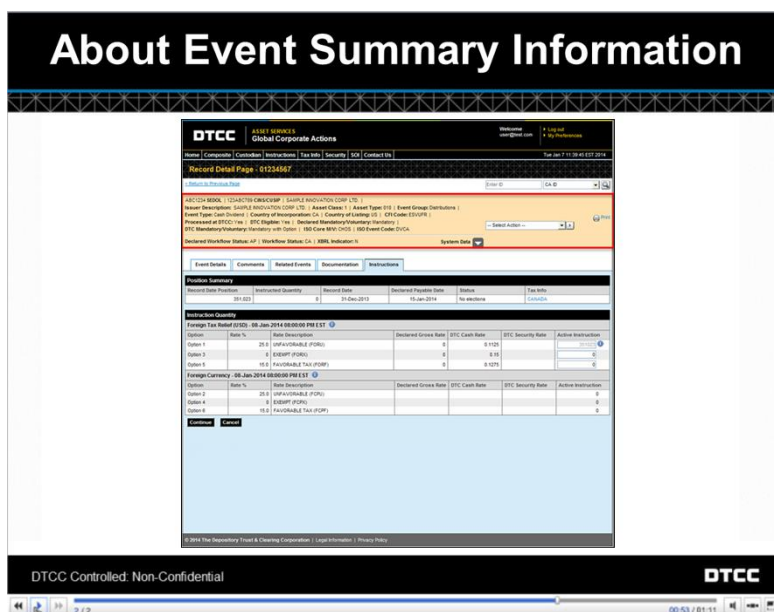
## Related Information

- [How to Submit an Instruction](#)

## Instruction Summary

### Please note:

This is the transcript of an animated Help topic. To play the topic, refer to the topic of the same name in the online Help.



This tan area at the top of every event record summarizes the event at a high level, providing you with security detail information and the status of the event.

This area will appear on every tab for that event.

The Event Summary area allows you to refer quickly to the high-level event and security details from wherever you are on the event record page.

The information displayed here varies according to the event type. Some information elements are common to all event types, while others are specific to the kind of event they describe.

The common information includes the CUSIP, Issue Description, Asset Class, Asset Code, and Mandatory/Voluntary information.

Numeric codes and acronyms that are not self-explanatory are described on the screen using tooltips.

When you place your mouse over the event data, you'll get an explanation of what it represents. Here, for example, you can see a description for the Asset Type code.

At the bottom, you can see the status of the event itself.

Mouse over the codes to see if this event is Approved, Conditionally Approved, Canceled, or Deleted.

For additional system data, click the gray arrow. Here, you can research any relevant times associated with the announcement.

You can see when the announcement was created, when it was last updated and how long it will be active.

This action menu allows you to:

- Refresh the data on this page,
- Request an e-mail copy of the ISO 20022 announcement message, and
- View the audit trail for this record.

### **Related Information**

- [How to Submit an Instruction](#)

## About Foreign Tax Relief, Foreign Currency, and Dividend Reinvestment

The video below provides a high-level tour of this page.

For more detailed information (such as Tax Exempt Control for Canadian Foreign Tax Relief and Beneficial Owner Accounting), see the [Related Information](#) below.

### Please note:

This is the transcript of an animated Help topic. To play the topic, refer to the topic of the same name in the online Help.

**Foreign Tax, FCP, and DRiP**

DTCC ASSET SERVICES Global Corporate Actions

Record Detail Page: 72437565

Record ID: 72437565 System Date: 10-Sep-2013

Position Summary

| Record Date Position | Elected Quantity | Record Date | Declared Payable Date | Status      | TaxInfo    |
|----------------------|------------------|-------------|-----------------------|-------------|------------|
| 10-Sep-2013          | 0                | 10-Sep-2013 | 10-Sep-2013           | Not Elected | Click here |

Election Quantity

| Option   | Rate % | Rate Description         | Declared Gross Rate | DTCC Cash Rate | DTCC Security Rate | Action Election |
|----------|--------|--------------------------|---------------------|----------------|--------------------|-----------------|
| Option 4 | 10.0   | Foreign Tax Relief (FTR) | 0                   | 0.1800         | 0                  | 0               |
| Option 5 | 20.0   | Foreign Tax Relief (FTR) | 0                   | 0.1700         | 0                  | 0               |
| Option 6 | 0      | Foreign Tax Relief (FTR) | 0                   | 0.2200         | 0                  | 0               |
| Option 7 | 20.0   | Foreign Tax Relief (FTR) | 0                   | 0.1800         | 0                  | 0               |
| Option 8 | 0      | Foreign Tax Relief (FTR) | 0                   | 0.1700         | 0                  | 0               |
| Option 9 | 10.0   | Foreign Tax Relief (FTR) | 0                   | 0.2200         | 0                  | 0               |

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This is the Instructions page. It's where you can input your election instructions, and it also serves as an instruction summary.

In order to help you place your instructions, there's a position summary at the top. This captures the high-level information concerning your eligible position for the event and what has been previously elected.

This summary has six columns: Record Date Position, Elected Quantity, Record Date, Declared Payable Date, Status, and TaxInfo.

The **Record Date Position** is the total amount of position you can instruct.

- **Elected Quantity** shows you how much of this position has been instructed on.
- **Status** refers to the status of instructions made on the record date position.
- Click the **TaxInfo** link to launch the document that applies to this event.

You'll notice that this page looks very similar to the EDS function in PTS/PBS. Unlike PBS, though, the information is laid out horizontally from left to right, not vertically.

Below this, you can see the services that apply to you for this event. They are all grouped in one place, allowing you to use multiple services on a single page.

Here, you can submit your instructions for Foreign Tax Relief, Foreign Currency, and Dividend Reinvestment.

Basic information about the event is displayed—the options and payouts, whether or not there's tax relief, what each rate is and its description, along with the declared gross rate, the DTC cash rate, and the DTC security rate. The rates for each option are clearly marked, allowing you to determine the option that works best for you.

The last column is for your instructions. Type the amount of each election in the relevant fields on the right.

Some events are eligible for multiple services, but you may not be eligible to instruct on all of those services. If that's the case, the boxes on the grid for that service will be "grayed out," or disabled, preventing you from using those fields.

Note the information icons. Items marked with a blue circle have the earliest cutoff dates; yellow triangles provide a warning. Mouse over these icons to read helpful information.

For certain services, your entire position is automatically moved into the default option unless you instruct otherwise. You'll see that in the grayed-out box in the election column. Additionally, you have the ability to instruct on this default, which enables you to indicate that you've made a decision and taken action on an item.

Informational messages appear at the top of the page. The messages follow "traffic light" logic: red indicates an error, yellow is a warning, green indicates success, and blue is informational.

Note that your total instructed position can't exceed your record date position—the Browser will validate your instructions and display messages at the top if an instruction needs editing.

Also, please note that once you submit instructions for a particular event through the Browser, you can no longer use ISO messaging to change them. Any future responses to this event must occur in the Browser.

When you are done submitting your instructions, click **Continue** to move to the next step.

### Related Information

- [About Tax Exempt Control Numbers for Canadian Foreign Tax Relief](#)
- [Individual Input of Canadian Tax Exempt Control Numbers](#)
- [Bulk Input of Canadian Tax Control Numbers](#)
- [About Corporate Action Services](#)
- [How to Submit an Instruction](#)
- [About Beneficial Owner Accounting](#)

## Tax Exempt Control Numbers for Canadian Foreign Tax Relief

For distribution events on Canadian securities for which foreign tax relief is available, you are required to enter tax exempt control numbers when you instruct to withhold tax at the exempt rate. The control numbers you provide must be six alphanumeric characters, provided to you by the Canada Revenue Agency (CRA).

The security quantities within the tax relief exempt option may be further broken down into smaller quantities.

Each quantity entered requires a Tax Exempt Control number. You can enter these control numbers [individually](#) or via the [bulk upload feature](#).

You can edit tax exempt control information up until the DTC instruction expiration date.

Click the TaxInfo **CANADA** link to launch a summary of helpful tax information such as documentation requirements.

Learn about inputting Canadian tax exempt control numbers:

- [Individual Input of Tax Exempt Control Numbers](#)
- [Bulk Input of Tax Exempt Control Numbers](#)

## Individual Input of Canadian Tax Exempt Control Numbers

1. Enter the instruction quantity in the **Exempt** row's **Active Instruction** field

**DTCC** ASSET SERVICES  
Corporate Actions Web

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Home | Announcements | Instructions | Allocations | Adjustments | Contact Us | Thu Oct 22 2015 10:46:07 GMT-0400

**Record Detail Page - 505173039**

[Return to Previous Page](#) | Print | CA ID

CUSIP: 73755L107 | Issue Description: \*\*COMMON SHARES\*\* | Issuer Description: POTASH CORPORATION OF SASKATCHEWAN INC. | Asset Class: Equity | Asset Type: 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 | -- Select Action --

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

Event Details | Comments | Related Events | Entitlements | **Instructions** | Adjustments | [View Audit Trail](#)

**Position Summary**

| Record Date | Position  | Instructed Quantity | Record Date | Declared Payable Date | Status          | Tax Info      |
|-------------|-----------|---------------------|-------------|-----------------------|-----------------|---------------|
|             | 6,097,215 | 0                   | 06-Oct-2015 | 01-Nov-2015           | No instructions | <b>CANADA</b> |

**Instruction Quantity**

Foreign Tax Relief (USD) - 26-Oct-2015 08:00:00 PM EST

| Option   | Rate % | Rate Description     | Declared Gross Rate | DTC Cash Rate | DTC Security Rate | Active Instruction |
|----------|--------|----------------------|---------------------|---------------|-------------------|--------------------|
| Option 1 | 25.0   | UNFAVORABLE (FORU)   | 0.35                | 0.2625        |                   | 0                  |
| Option 2 | 15.0   | FAVORABLE TAX (FORF) | 0.35                | 0.2975        |                   | 0                  |
| Option 3 | 0      | EXEMPT (FORX)        | 0.35                | 0.35          |                   | <b>6097215</b>     |

**Continue** | **Cancel**

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2. Click **Continue**.  
The **Tax Exempt Control** fields appear

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**Corporate Actions Web**

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Thu Oct 22 2015 10:46:07 GMT-0400

**Record Detail Page - 505173039**

[Return to Previous Page](#)
Print
CA ID

CUSIP: 73755L107 | Issue Description: \*\*COMMON SHARES\*\* | Issuer Description: POTASH CORPORATION OF SASKATCHEWAN INC. | Asset Class: Equity | Asset Type: 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

-- Select Action --

Workflow Status: Approved | XBRL Indicator: No

System Data

Event Details | Comments | Related Events | Entitlements | **Instructions** | Adjustments

View Audit Trail

**Position Summary**

| Record Date | Position  | Instructed Quantity | Record Date | Declared Payable Date | Status          | Tax Info |
|-------------|-----------|---------------------|-------------|-----------------------|-----------------|----------|
|             | 6,097,215 | 0                   | 06-Oct-2015 | 01-Nov-2015           | No instructions | CANADA   |

**Tax Exempt Control**

Instructed Exempt Quantity: 6,097,215  
Total Exempt Quantity: 6,097,215

Bulk Input

| Delete                   | Control | Quantity | Delete                   | Control | Quantity | Delete                   | Control | Quantity |
|--------------------------|---------|----------|--------------------------|---------|----------|--------------------------|---------|----------|
| <input type="checkbox"/> | 123456  | 600000   | <input type="checkbox"/> | 234567  | 97000    | <input type="checkbox"/> | 345678  | 215 x    |
| <input type="checkbox"/> |         |          | <input type="checkbox"/> |         |          | <input type="checkbox"/> |         |          |

Continue Back Cancel

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**Note:**

Another row of entry fields will appear after you complete each row. For multiple control numbers, you can opt to use [bulk input](#) instead of manual entry.

- Enter the control number in the **Control** field.  
The control number must be six alphanumeric characters.
- Enter the quantity associated with this control number in the **Quantity** field.

**Note:**

The total quantity for all control numbers must equal the instructed exempt quantity.

If the **Total Exempt Quantity** does not equal the **Instructed Exempt Quantity**, you will receive an error message.

- Click **Continue**.  
The Record Detail Page updates with your exempt instructions.
- Type your name and phone number in the **Submitter Information** fields and click **Submit Instruction**.

**DTCC**
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**Corporate Actions Web**

Welcome  
user@test.com

Log out  
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Home | Announcements | Instructions | Allocations | Adjustments | Contact Us

Thu Oct 22 2015 11:55:53 GMT-0400

**Record Detail Page - 505173039**

[Return to Previous Page](#)
Print
CA ID

CUSIP: 73755L107 | Issue Description: \*\*COMMON SHARES\*\* | Issuer Description: POTASH CORPORATION OF SASKATCHEWAN INC. | Asset Class: Equity | Asset Type: 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

-- Select Action --

Workflow Status: Approved | XBRL Indicator: No

System Data

Event Details | Comments | Related Events | Entitlements | **Instructions** | Adjustments

[View Audit Trail](#)

**Position Summary**

| Record Date Position | Instructed Quantity | Record Date | Declared Payable Date | Status          | Tax Info |
|----------------------|---------------------|-------------|-----------------------|-----------------|----------|
| 6,097,215            | 0                   | 06-Oct-2015 | 01-Nov-2015           | No instructions | CANADA   |

**Instruction Quantity**

Foreign Tax Relief (USD) - 26-Oct-2015 08:00:00 PM EST

Edit

| Option   | Rate % | Rate Description     | Declared Gross Rate | DTC Cash Rate | DTC Security Rate | Active Instruction |
|----------|--------|----------------------|---------------------|---------------|-------------------|--------------------|
| Option 1 | 25.0   | UNFAVORABLE (FORU)   | 0.35                | 0.2625        |                   | 0                  |
| Option 2 | 15.0   | FAVORABLE TAX (FORF) | 0.35                | 0.2975        |                   | 0                  |
| Option 3 | 0      | EXEMPT (FORX)        | 0.35                | 0.35          |                   | 6,097,215          |

**Tax Exempt Control**

Instructed Exempt Quantity: 6,097,215

Total Exempt Quantity: 6,097,215

Edit

| Delete                   | Control | Quantity  | Delete                   | Control | Quantity | Delete                   | Control | Quantity |
|--------------------------|---------|-----------|--------------------------|---------|----------|--------------------------|---------|----------|
| <input type="checkbox"/> | 123456  | 6,000,000 | <input type="checkbox"/> | 234567  | 97,000   | <input type="checkbox"/> | 345678  | 215      |
| <input type="checkbox"/> |         |           | <input type="checkbox"/> |         |          | <input type="checkbox"/> |         |          |

**Submitter Information**

Name \*
Phone Number \*
Extn

Test User
212-555-1212
01

Submit Instruction
Cancel

Click to Submit Instruction

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A “Save” message appears after your exempt instructions are sent.

An **Audit Trail** area appears at the bottom of the page. Your recent “Exempt” instructions appear at the top of this list.



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Thu Oct 22 2015 11:55:53 GMT-0400

**Record Detail Page - 505173039**

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Print
CA ID

CUSIP: 73755L107 | Issue Description: \*\*COMMON SHARES\*\* | Issuer Description: POTASH CORPORATION OF SASKATCHEWAN INC. | Asset Class: Equity | Asset Type: 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

-- Select Action --

Workflow Status: Approved | XBRL Indicator: No

System Data

Event Details
Comments
Related Events
Entitlements
**Instructions**
Adjustments

Your instructions have been saved successfully.

View Audit Trail

**Position Summary**

| Record Date Position | Instructed Quantity | Record Date | Declared Payable Date | Status | Tax Info |
|----------------------|---------------------|-------------|-----------------------|--------|----------|
| 6,097,215            | 6,097,215           | 06-Oct-2015 | 01-Nov-2015           | Active | CANADA   |

**Instruction Quantity**

Foreign Tax Relief (USD) - 26-Oct-2015 08:00:00 PM EST

| Option   | Rate % | Rate Description     | Declared Gross Rate | DTC Cash Rate | DTC Security Rate | Active Instruction |
|----------|--------|----------------------|---------------------|---------------|-------------------|--------------------|
| Option 1 | 25.0   | UNFAVORABLE (FORU)   | 0.35                | 0.2625        |                   | 0                  |
| Option 2 | 15.0   | FAVORABLE TAX (FORF) | 0.35                | 0.2975        |                   | 0                  |
| Option 3 | 0      | EXEMPT (FORX)        | 0.35                | 0.35          |                   | 6,097,215          |

**Tax Exempt Control**

Instructed Exempt Quantity: 6,097,215  
Total Exempt Quantity: 6,097,215

| Delete                   | Control | Quantity  | Delete                   | Control | Quantity | Delete                   | Control | Quantity |
|--------------------------|---------|-----------|--------------------------|---------|----------|--------------------------|---------|----------|
| <input type="checkbox"/> | 123456  | 6,000,000 | <input type="checkbox"/> | 234567  | 97,000   | <input type="checkbox"/> | 345678  | 215      |
| <input type="checkbox"/> |         |           | <input type="checkbox"/> |         |          | <input type="checkbox"/> |         |          |

**Audit Trail**

Displaying 1 to 1 of 1 items
Filter
Page 1 of 1

| Activity Timestamp      | Activity Type        | Option Number | Option Type        | Record Date | DTC Cash Rate | Rate % | Instruction Quantity |
|-------------------------|----------------------|---------------|--------------------|-------------|---------------|--------|----------------------|
| 22-Oct-2015 12:19:57 PM | Inserted instruction | 3             | Foreign Tax Exempt | 06-Oct-2015 | 0.35          | 0      | 6,097,215            |

Displaying 1 to 1 of 1 items
Filter
Page 1 of 1

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## Bulk Input of Canadian Tax Control Numbers

To enter a larger group of tax exempt control numbers, you can use the Bulk Input functionality. The easiest way to do this is to use a spreadsheet.

- Enter the control numbers in the first column of the spreadsheet and their quantities in the second. You can enter up to 600 control numbers and their associated amounts.

The screenshot shows a Microsoft Excel window titled "CanadaTaxExemptControlNumbers - Microsoft Excel". The ribbon is set to "Home". The spreadsheet has columns A through H and rows 1 through 17. Columns A and B are populated with numbers. The formula bar shows the value 361197 for cell B16.

|    | A      | B      | C | D | E | F | G | H |
|----|--------|--------|---|---|---|---|---|---|
| 1  | 123456 | 1000   |   |   |   |   |   |   |
| 2  | 234567 | 1000   |   |   |   |   |   |   |
| 3  | 345678 | 1000   |   |   |   |   |   |   |
| 4  | 456789 | 1000   |   |   |   |   |   |   |
| 5  | 567890 | 1000   |   |   |   |   |   |   |
| 6  | 678901 | 1000   |   |   |   |   |   |   |
| 7  | 789012 | 1000   |   |   |   |   |   |   |
| 8  | 890123 | 1000   |   |   |   |   |   |   |
| 9  | 901234 | 1000   |   |   |   |   |   |   |
| 10 | 111234 | 10000  |   |   |   |   |   |   |
| 11 | 222345 | 989    |   |   |   |   |   |   |
| 12 | 333456 | 878    |   |   |   |   |   |   |
| 13 | 444567 | 767    |   |   |   |   |   |   |
| 14 | 555678 | 656    |   |   |   |   |   |   |
| 15 | 666789 | 545    |   |   |   |   |   |   |
| 16 | 777890 | 361197 |   |   |   |   |   |   |
| 17 |        |        |   |   |   |   |   |   |

The status bar at the bottom shows: Average: 265113.7813 Count: 32 Sum: 8483641. The zoom level is 100%.

2. Select all of the populated cells and copy them.
3. In Corporate Actions Web, enter the instruction quantity in the **Exempt** row's **Active Instruction** field.

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Thu Oct 22 2015 12:58:37 GMT-0400

**Record Detail Page - 505033541**

[< Return to Previous Page](#)
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CA ID

CUSIP: 199907106 | Ticker: CDVIF | Issue Description: COM DEV INTL LTD F- | Issuer Description: COM DEV INTL LTD |  
Asset Class: Equity | Asset Type: 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

-- Select Action --

Workflow Status: Approved | XBRL Indicator: No

System Data

Event Details | Comments | Related Events | Entitlements | **Instructions**

View Audit Trail

**Position Summary**

| Record Date Position | Instructed Quantity | Record Date | Declared Payable Date | Status          | Tax Info |
|----------------------|---------------------|-------------|-----------------------|-----------------|----------|
| 3,634,832            | 0                   | 25-Sep-2015 | 30-Oct-2015           | No instructions | CANADA   |

**Instruction Quantity**

**Foreign Tax Relief (USD) - 23-Oct-2015 08:00:00 PM EST**

| Option   | Rate % | Rate Description     | Declared Gross Rate | DTC Cash Rate | DTC Security Rate | Active Instruction |
|----------|--------|----------------------|---------------------|---------------|-------------------|--------------------|
| Option 1 | 25.0   | UNFAVORABLE (FORU)   | 0.15                | 0.15          |                   | 0                  |
| Option 3 | 15.0   | FAVORABLE TAX (FORF) | 0.15                | 0.17          |                   | 0                  |
| Option 5 | 0      | EXEMPT (FORX)        | 0.15                | 0.2           |                   | 3634832            |

**Foreign Currency - 23-Oct-2015 08:00:00 PM EST**

| Option   | Rate % | Rate Description     | Declared Gross Rate | DTC Cash Rate | DTC Security Rate | Active Instruction |
|----------|--------|----------------------|---------------------|---------------|-------------------|--------------------|
| Option 2 | 25.0   | UNFAVORABLE (FCPU)   | 0.15                |               |                   | 0                  |
| Option 4 | 15.0   | FAVORABLE TAX (FCPF) | 0.15                |               |                   | 0                  |
| Option 6 | 0      | EXEMPT (FCPX)        | 0.15                |               |                   | 0                  |

Continue Cancel

Click to Continue

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4. Click **Continue**.The **Tax Exempt Control** area appears on the page.

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**Record Detail Page - 505033541**

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CA ID

CUSIP: 199907106 | Ticker: CDVIF | Issue Description: COM DEV INTL LTD F- | Issuer Description: COM DEV INTL LTD |  
Asset Class: Equity | Asset Type: 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

-- Select Action --

Workflow Status: Approved | XBRL Indicator: No

System Data

Event Details | Comments | Related Events | Entitlements | **Instructions**

View Audit Trail

**Position Summary**

| Record Date Position | Instructed Quantity | Record Date | Declared Payable Date | Status          | Tax Info |
|----------------------|---------------------|-------------|-----------------------|-----------------|----------|
| 3,634,832            | 0                   | 25-Sep-2015 | 30-Oct-2015           | No instructions | CANADA   |

**Tax Exempt Control**

Instructed Exempt Quantity: 3,634,832  
Total Exempt Quantity: 0

| Delete                   | Control | Quantity | Delete                   | Control | Quantity | Delete                   | Control | Quantity |
|--------------------------|---------|----------|--------------------------|---------|----------|--------------------------|---------|----------|
| <input type="checkbox"/> |         |          | <input type="checkbox"/> |         |          | <input type="checkbox"/> |         |          |

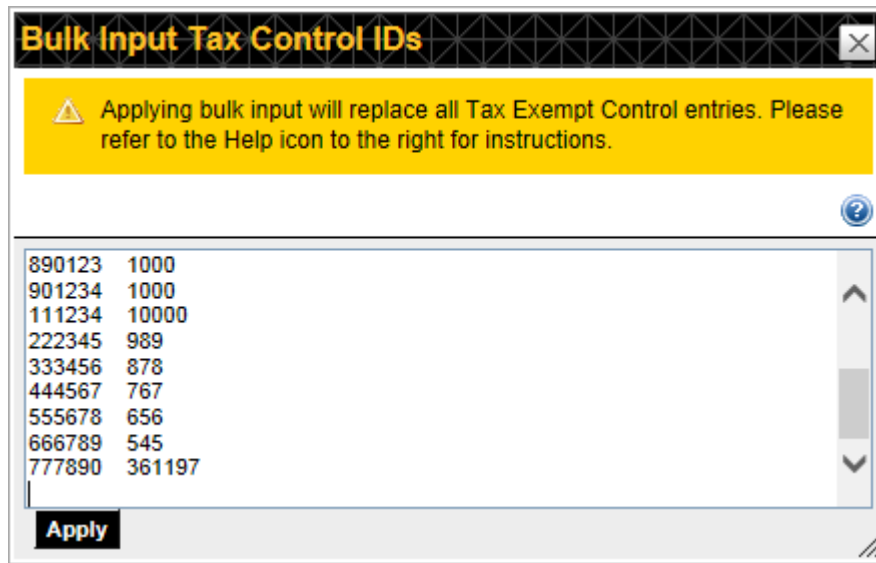
Continue Back Cancel

Bulk Input  
Click to Bulk Input

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- Click **Bulk Input**.

The **Bulk Input Tax Control IDs** popup appears.



**Bulk Input Tax Control IDs**

⚠ Applying bulk input will replace all Tax Exempt Control entries. Please refer to the Help icon to the right for instructions.

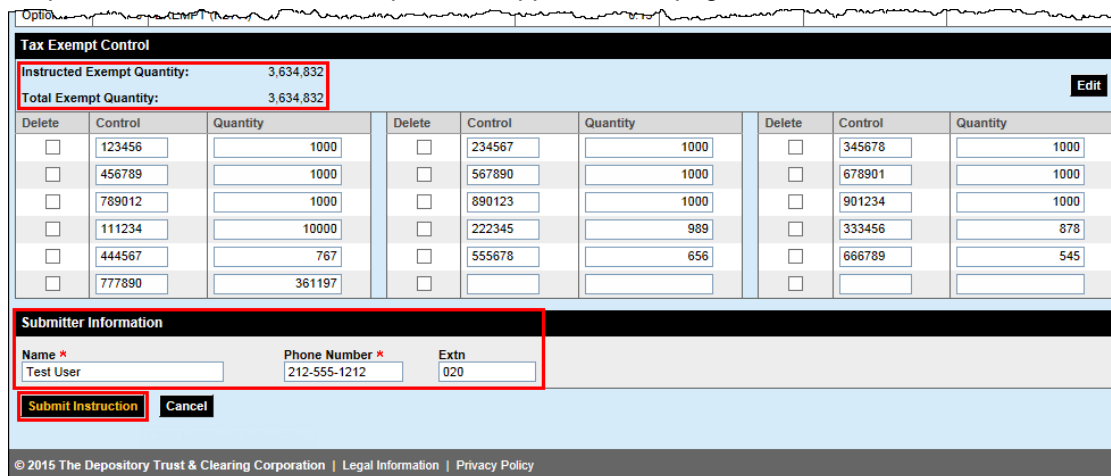
|        |        |
|--------|--------|
| 890123 | 1000   |
| 901234 | 1000   |
| 111234 | 10000  |
| 222345 | 989    |
| 333456 | 878    |
| 444567 | 767    |
| 555678 | 656    |
| 666789 | 545    |
| 777890 | 361197 |

**Apply**

- Paste the spreadsheet cells into the window.

- Click **Apply**.

The imported control numbers and quantities appear on the page.



**Tax Exempt Control**

Instructed Exempt Quantity: 3,634,832  
Total Exempt Quantity: 3,634,832

| Delete                   | Control | Quantity | Delete                   | Control | Quantity | Delete                   | Control | Quantity |
|--------------------------|---------|----------|--------------------------|---------|----------|--------------------------|---------|----------|
| <input type="checkbox"/> | 123456  | 1000     | <input type="checkbox"/> | 234567  | 1000     | <input type="checkbox"/> | 345678  | 1000     |
| <input type="checkbox"/> | 456789  | 1000     | <input type="checkbox"/> | 567890  | 1000     | <input type="checkbox"/> | 678901  | 1000     |
| <input type="checkbox"/> | 789012  | 1000     | <input type="checkbox"/> | 890123  | 1000     | <input type="checkbox"/> | 901234  | 1000     |
| <input type="checkbox"/> | 111234  | 10000    | <input type="checkbox"/> | 222345  | 989      | <input type="checkbox"/> | 333456  | 878      |
| <input type="checkbox"/> | 444567  | 767      | <input type="checkbox"/> | 555678  | 656      | <input type="checkbox"/> | 666789  | 545      |
| <input type="checkbox"/> | 777890  | 361197   | <input type="checkbox"/> |         |          | <input type="checkbox"/> |         |          |

**Submitter Information**

Name \*  Phone Number \*  Extn

**Submit Instruction** **Cancel**

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**Note:**

The **Instructed Exempt Quantity** must match the **Total Exempt Quantity**. You will see an error message if the quantities do not match.

- Enter your **Name**, **Phone Number**, and **Extension** in the **Submitter Information** fields.

- Click **Submit Instruction**.

After the instruction is submitted, a "Success" message appears at the top of the page.

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**Record Detail Page - 505033541**
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CA ID

CUSIP: 199907106 | Ticker: CDVIF | Issue Description: COM DEV INTL LTD F. | Issuer Description: COM DEV INTL LTD |  
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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

-- Select Action --

Workflow Status: Approved | XBRL Indicator: No

System Data

Event Details
Comments
Related Events
Entitlements
**Instructions**
Adjustments

Your instructions have been saved successfully.

View Audit Trail

**Position Summary**
**Instruction Quantity**

Foreign Tax Relief (USD) - 23-Oct-2015 08:00:00 PM EST

Edit

Foreign Currency - 23-Oct-2015 08:00:00 PM EST

**Tax Exempt Control**

Instructed Exempt Quantity: 3,634,832  
Total Exempt Quantity: 3,634,832

**Audit Trail**

Displaying 1 to 1 of 1 items

Filter
Page 1 of 1

Displaying 1 to 1 of 1 items

Filter
Page 1 of 1

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Audit Trail information appears at the bottom of the page.




To make any changes to the instructions, click the **Edit** button at the top of the **Instruction Quantity** section.


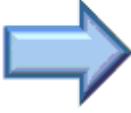
## How to Submit an Instruction









### Three main steps





Click to view the associated steps.

|  |   |
|--|---|
| <b>Step</b><br> | <a href="#">Locate the Event</a>                  |
| <b>Step</b><br> | <a href="#">Enter the Instruction Information</a> |
| <b>Step</b><br> | <a href="#">Submit the Instruction</a>            |

|   |  |   |  |
|---|--|---|--|
| <b>Step</b><br> | <b>Locate the Event</b>  |   |  |
| 1.  | There are a number of ways to display the Instructions tab.  |   |  |
|   |  | <ul style="list-style-type: none"> <li>• <b>From the Instructions Overview.</b><br/>Click to drill-down through event counts. Click events that cut off today or are active as of Record Date + 1. If event counts are greater than one record, a Search Results List displays.</li> <li>• <b>From the Search Results List.</b><br/>Select the CA ID for the desired event.</li> <li>• <b>From the Composite Search.</b><br/>Enter the CA ID directly to display the exact Event Record Detail for that event. Click the Instructions tab.</li> </ul> |  |
| 2.  | <b>Conditionally Required</b><br> | <b>Accept Special Instructions</b> , if any.<br>To accept special instructions, click Continue.   | <b>Learn More</b><br> |
| 3.  | <b>Best Practice</b><br>          | <b>Confirm it is the right record</b> based on the event summary information and the record date position.  | <b>Learn More</b><br> |

|    |   |   |  |
|----|---|---|--|
| 4. | <b>Best Practice</b><br> | <b>Review Warnings and Informational Messages</b> , if any. | <b>Learn More</b><br> |
|----|---|---|--|

| <b>Step</b><br> | <b>Enter the Instruction Information</b>   |   |  |
|--|--|---|--|
| 1.   | <b>Required</b><br>                | <ul style="list-style-type: none"> <li>• Enter the election quantity against the specific options.</li> <li>• The total election quantity you enter may not exceed the record date position. If the quantity you enter exceeds the record date position you will be prompted to adjust the election quantities you entered.</li> <li>• For services other than Dividends with Options, eligible positions will appear under the Default Rate when the instruction window opens. This Default Rate represents the least favorable rate.<br/>Based on the beneficial owner's tax status, you may instruct and move position to a more favorable rate.</li> <li>• Any unelected quantity will automatically be applied to the default option upon the instruction cutoff.</li> <li>• You can change your election quantity until the instruction cutoff occurs. For most events, the cutoff occurs at 8 pm ET on the cutoff date. You can see the cutoff in the DTCC Expiration Date/Time field on Search Results lists. Events cutting off today are shown on the Instruction Overview page.</li> </ul> | <b>Learn More</b><br>  |
| 2.   | <b>Conditionally Required</b><br> | <b>Enter supplementary information, if applicable.</b> <ul style="list-style-type: none"> <li>• For certain services and eligible CUSIPS, Beneficial Owner, Tax Exempt Control and Wire information may be required.</li> </ul>   | <b>Learn More</b><br> |
| 3.   | <b>Required</b><br>               | <b>Add Contact Information.</b><br>Enter your name and phone number.  |  |
| 4.   | <b>Best Practice</b><br>          | <b>Review your submission.</b><br>Click the twisties to expand and show any portion of the instruction. Make any edits required by clicking the Edit button. Click Continue to advance forward to the Submit button.  | <b>Learn More</b><br> |

|  |  |   |  |
|--|--|---|--|
| <div>Step</div> <div></div> | <div>Submit the Instruction</div>  |   |  |
| 1.   | <div>Click Submit.</div> <div>Additional instruction updates on this event can be made on the Corporate Action Web until the instruction cutoff.</div> | <div>Learn More</div> <div></div>      |  |
|  | <div>Best Practice</div> <div></div>                                  | <div><ul style="list-style-type: none"><li>To review your instruction, open the Instruction Audit Search.</li></ul></div> | <div>Learn More</div> <div></div> |



## About Cash in Lieu

### Please note:

This is the transcript of an animated Help topic. To play the topic, refer to the topic of the same name in the online Help.

**Cash-In-Lieu Instructions Page**

**DTCC** ASSET SERVICES Global Corporate Actions

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My Queues | Composite | Custodian | Instructions | Tax Info | Security | SOI | Reference Data | Configuration | Contact Us | Wed Oct 23 13:55:47 EDT 2013

**Record Detail Page - 77434738**

Quick Search | Enter ID | CA ID

1234567 SEDOL | 123456789 CINS/CUSIP | Y | SAMPLE GROUP INC | Issuer Description: SG INC | Asset Class: 1 | Asset Type: 010 | Event Group: Distributions | Event Type: Spin-Off | Country of Incorporation: US | Country of Listing: US | CRN Code: 123456789 | CCA Requires Attention: N | CCA Requires Review: N | Queue: DTC\_3\_Simple\_US\_01\_On\_Or\_Past\_SLABeginDate | Processed at DTCC: Yes | DTC Eligible: Yes | Declared Mandatory/Voluntary: Mandatory | DTC Mandatory/Voluntary: Mandatory | ISO Core MNo: MAND | ISO Event Code: SOFF

Declared Workflow Status: CT | Workflow Status: CT | XBRL Indicator: N | System Data

Event Details | Comments | Related Events | Documentation | Instructions | View Audit Trail

**Position Summary - 60001234 Test Company Inc.**

| Record Date Position | Entitlements | Record Date | Declared Payable Date | Status       | Service Country          |
|----------------------|--------------|-------------|-----------------------|--------------|--------------------------|
| 83,858,360           | 16,731,672   | 16-Oct-2013 | 30-Nov-2013           | No elections | UNITED STATES OF AMERICA |

**Instruction Quantity (Cash-In-Lieu) - Option Number: 1 - Cut-off Date: 24-Oct-2013 08:00:00 PM EST**

| Cash-In-Lieu | Net Stock Quantity |
|--------------|--------------------|
| 0            | 16,731,672         |

Number of whole shares to be paid in CL | Instruction Quantity

Continue | Cancel

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This is your Cash-In-Lieu Instructions page for a particular issue. When an Issuer or Agent agrees to pay cash-in lieu for fractional entitlements at the beneficial owner level, you can enter your instructions on this page.

It shows your Record Date Position, as well as your entitlement based on that position. You can also see the Record Date, this event's Declared Payable Date, and the status of your instructions on the event. When you first open this page, the status reads "No elections."

Below, you can see your Instruction Quantities: Cash-In-Lieu and Net Stock Quantity. Before you make an instruction, your Cash-In-Lieu quantity will be zero and your net stock quantity will be equal to your entitlement.

Here, you can enter the amount of shares to cash out. You can enter any amount up to, but not exceeding, your entitlement.

When you view this instruction later, you'll see that the Cash-In-Lieu Quantity is updated to show your instructed amount. Also, your Net Stock Quantity will reflect your entitlement minus your cashed-out shares.

### Related Information

- [About Corporate Action Services](#)
- [How to Submit an Instruction](#)



## About Foreign Tax Reclaim

### Please note:

This is the transcript of an animated Help topic. To play the topic, refer to the topic of the same name in the online Help.

**About Post-Payable Tax Reclaims**

**DTCC** ASSET SERVICES Global Corporate Actions

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Home Composite Custodian Instructions Tax Info Security SOI Contact Us Wed Nov 20 14:17:07 EST 2013

Record Detail Page - 1234567

Return to Previous Page Enter ID CA ID

1234567 SEDOL | 123ABC789 CINS/CUSIP | XX | EUR 0.10 (ORDINARY NEW YORK REGISTERED SHARES) | Issuer Description: 0000 TEST CO | Asset Class: | Asset Type: 110 | Event Group: Distributions | Event Type: Tax Refund | Country of Incorporation: NL | Country of Listing: US | CFI Code: EDRUFI | Processed at DTCC: Yes | DTC Eligible: Yes | Declared Mandatory/Voluntary: | DTC Mandatory/Voluntary: Voluntary | ISO Core MV: VOLU | ISO Event Code: TREC | --Select Action--

Declared Workflow Status: AP | Workflow Status: CA | XBRL Indicator: N System Data

Event Details Comments Related Events Documentation Instructions View Special Instructions View Audit Trail

**Position Summary**

| Record Date Position | Instructed Quantity | Record Date | Declared Payable Date | Status       | Tax Info    |
|----------------------|---------------------|-------------|-----------------------|--------------|-------------|
| 161.860              | 161.860             | 23-Oct-2013 | 17-Dec-2013           | No elections | NETHERLANDS |

**Instruction Quantity**

Foreign Tax Reclaim (USD) - 09-Dec-2013 08:00:00 PM EST

| Option   | Rate % | Rate Description              | Declared Gross Rate | DTC Cash Rate | DTC Security Rate | Original Instruction | Reclaim Instruction |
|----------|--------|-------------------------------|---------------------|---------------|-------------------|----------------------|---------------------|
| Option 1 | 15.0   | UNFAVORABLE RATE (FORU)       |                     | 0             |                   | 161860               |                     |
| Option 2 | 0      | TAX EXEMPT RATE (FORX)        |                     | 0             |                   | 0                    |                     |
| Option 3 | 10.0   | OTHER TREATY COUNTRIES (FORP) |                     | 0             |                   | 0                    |                     |

Continue Back Cancel

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Sometimes, dividends paid on foreign securities are eligible for post-payable tax reclaim.

This service is useful when extensive documentation requirements exist and the instruction window is short, or when tax relief at-source is not an option.

It works like this. Say that the original instruction was submitted at the default withholding rate. Later, during the post-payable tax window, an instruction on the original position is submitted as a tax reclaim. *This* instruction allows you to receive the reduced withholding rate, and the difference will be credited to your account.

Countries such as Germany, the Netherlands, and Ireland offer this post-payable tax reclaim opportunity.

To see the supporting documentation required for the post-payable reduced tax rates, you can refer to the Important Notice.

Click the **Event Details** tab and then click the **Important Notice** link on the event-level detail.

The notice contains the forms required to instruct at the exempt or favorable rates across different beneficial owner tax categories.

In order to help you place your tax reclaim instructions, there's a position summary at the top of the Instruction page. This captures the high-level information concerning your eligible position for the event, as well as what was originally instructed.

This summary has six columns: Record Date Position, Instructed Quantity, Record Date, Declared Payable Date, Status, and TaxInfo.

- The **Record Date Position** is the total amount of position you can instruct.

- **Instructed Quantity** shows you how much of this position has been instructed on.
- **Status** refers to the status of the instructions.
- Click the **TaxInfo** link to launch the document that applies to this event. This is a summary of helpful tax information such as statutory rates and documentation requirements for the country of investment.

Below this, you can see basic information about the event—such as the options and payouts, what each rate is and its description, and the original instruction quantity.

Because this is a post-payable tax reclaim, you can now reallocate the shares across the other rates.

Type the amount of position you want to instruct at the post-payable reduced tax rates in the **Reclaim Instruction** fields. You must instruct the full record date position so that the sum of the reclaim quantities equals the record date position.

Please note that informational messages can appear at the top of the page. You can also mouse over the icons next to fields to read helpful information. These all follow “traffic light” logic: red indicates an error, yellow is a warning, green indicates success, and blue is informational.

Take a moment to check these indicators before moving on.

Once you have entered your reclaim quantities and clicked **Continue**, the Browser will validate your instructions.

If the total *reclaimed* position exceeds your record date position, you will receive an error message.

Also, please note that once you submit instructions for a particular event through the Browser, you can no longer use ISO messaging to change them. Any future responses to this event must occur in the Browser.

When you are done entering your post-payable tax reclaim quantities, click Continue to move to the next step: entering beneficial owner information.

### Related Information

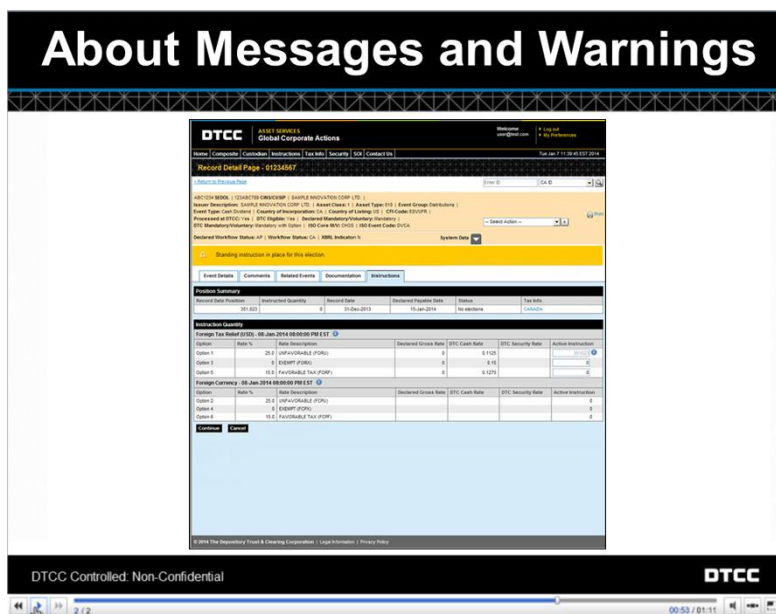
- [About Corporate Action Services](#)
- [How to Submit an Instruction](#)

## Warnings and Informational Messages

### About Messages and Warnings

#### Please note:

This is the transcript of an animated Help topic. To play the topic, refer to the topic of the same name in the online Help.



Any available informational, warning or error messages for the event, as well as any status messages regarding the instructions, will be displayed above the content area of the instructions tab. These messages follow “traffic signal” logic of red, yellow, green, and blue: red indicates an error, yellow is a warning, green indicates success, and blue is informational.

For example, if there are standing instructions in place for this event, a yellow message in this space informs you of that.

Here is an example of a blue informational message. This one appears if your profile settings do not allow you to make a particular kind of instruction.

Red messages indicate that there is an error. If you make a mistake when entering instructions, a red message in this space directs you to the data that needs correction.

For example, if you enter instruction quantities that add up to a number greater than the record date position amount, you will see an error message that reads “Total instruction quantity for all options may not exceed the record date position.”

A green “Success” message appears in this space after you have successfully submitted an instruction.

A very important example of a yellow caution message appears regarding ISO 20022 messages.

If your firm is submitting automated instructions to DTC via ISO 20022 messaging, and also uses the Corporate Actions Browser to instruct DTC on a particular event, once you use the browser, DTC will no longer accept an ISO 20022 instruction for that event.

In other words, from that point on, any additional changes or instructions for that event would have to be done using the browser.

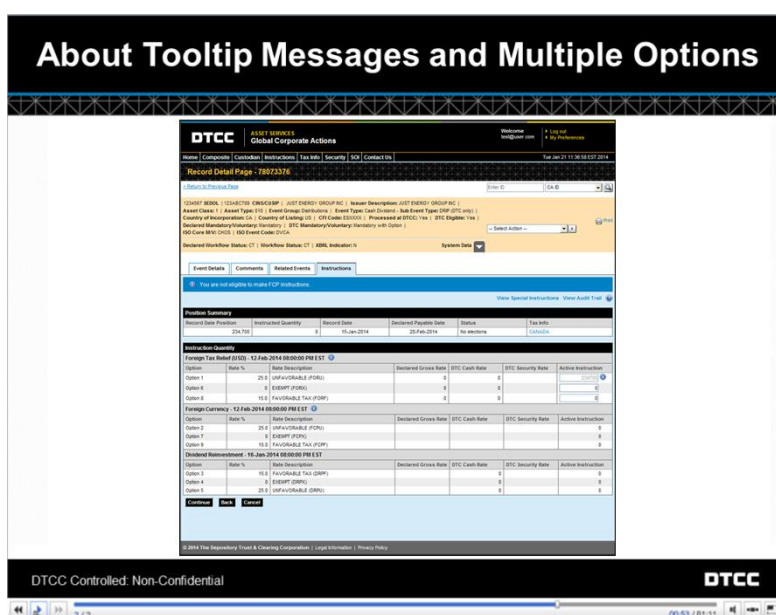
Note that more than one message may be displayed in this area at once.

Keep checking this message space for important information while you use the Corporate Actions browser.

## About Tooltip Messages and Multiple Options

### Please note:

This is the transcript of an animated Help topic. To play the topic, refer to the topic of the same name in the online Help.



Throughout CA Web, helpful information is explained with “tooltips.” Tooltip information becomes visible when you hover your mouse over certain icons. On the Instructions entry page, these include yellow caution triangles and blue information dots.

These tooltips are important when an event has multiple services available for instruction.

Here, the blue information dots are letting you know that, on this event, the cutoff for foreign tax relief and foreign currency instructions share the earliest cutoff among the three services available.

When you mouse over this blue information dot, you can see that this is the default option for this event.

The icons are there to make sure that you have the best possible information before submitting your instructions.

# Standing Instructions

## About Standing Instructions

The Corporate Actions Web allows you to enter standing instructions on securities that are eligible for DRIP, DRIP Opt-Out, and Foreign Currency services at DTC. These “set it and forget it” instructions determine how future events on a CUSIP will be handled within CA Web.

Standing instructions can be created at the global level or at the CUSIP level.

- **Global standing instructions** are only applicable to DRIP Opt-Out and Foreign Currency services. Once applied to the DRIP Opt-Out service or a non-USD currency eligible for the Foreign Currency Payment service, the standing instruction will apply to all events and positions within the events for these services.
- **CUSIP-level standing instructions** are security-driven and apply only to corporate actions performed on that security eligible for the service.

You can perform the following actions using CA Web:

- Add CUSIP-level standing instructions for Foreign Currency,
- Add CUSIP-level standing instructions for Dividend Reinvestments (Opt-Outs),
- Add global-level standing instructions for Opt-Outs,
- Add global-level standing instructions for Foreign Currency,
- View, edit, and delete existing standing instructions, and
- View audit trail information for any standing instructions.

Standing instructions are automatically applied on Record Date +1 to either:

- A specific amount applied during the original standing instruction input, or
- All of the position that is held on Record Date, if a global standing instruction was requested.

Because of this, any events affected by standing instructions will be displayed on your **Instructions Overview** page as “Instructed” rather than “Uninstructed” after the application of standing instructions on Record Date + 1.

## Adding CUSIP-Level Standing Instructions for Dividend Reinvestments

You can enter CUSIP-level standing instructions for DRIP Opt-Outs.

1. On the menu bar, hover your mouse over **Instructions > Standing Instructions** and click **Search**.

The screenshot shows the DTCC Asset Services Corporate Actions Web interface. The top navigation bar includes 'Home', 'Announcements', 'Instructions', 'Allocations', 'Adjustments', and 'Contact Us'. The 'Instructions' menu is highlighted, and the 'Standing Instructions' sub-menu is open, showing the 'Search' option. The 'Standing Instructions Search' page is displayed below the menu.

| Service                       | Cut Off 05-Mar-2015 |            | Active       |            | Forecast    |          |
|-------------------------------|---------------------|------------|--------------|------------|-------------|----------|
|                               | Uninstructed        | Instructed | Uninstructed | Instructed | No Position | Position |
| Dividend Reinvestment         | 11                  | 0          | 0            | 0          | 3554        | 335      |
| Dividend Reinvestment Opt-Out | 0                   | 10         | 1            | 1          | 135         | 176      |
| Foreign Currency              | 1                   | 0          | 24           | 0          | 256         | 33       |
| Foreign Tax Relief            | 4                   | 0          | 32           | 8          | 105         | 82       |
| Optional Dividends            | 0                   | 0          | 1            | 0          | 0           | 2        |
| Cash-in-Lieu / Round Up       | 0                   | 0          | 0            | 0          | 1           | 0        |
| Foreign Tax Reclaim           | 0                   | 0          | 0            | 0          | 0           | 0        |

\* For events that offer multiple services, the instructed / uninstructed count will apply only to the individual service offered that has had instructions placed upon it.

This brings you to the **Standing Instructions Search** page.

2. Enter the **CUSIP** (if known) and select "Dividend Reinvestment" from the **EDS Service Type** drop-down list.

The screenshot shows the DTCC Asset Services Corporate Actions Web interface. The 'Standing Instructions Search' page is displayed. The 'Search Criteria' section is highlighted, showing the 'CUSIP' field and the 'EDS Service Type' drop-down menu with 'Dividend Reinvestment' selected.

Search Criteria

CUSIP:

EDS Service Type:

Limit to: ☐ CUSIPs with standing instructions

Search Reset



Then, select the Opt-Out indicator from the **Opt-Out** drop-down list that appears and click **Search**.

- Select “No” in the **Opt-Out** dropdown list for securities that are eligible for the DRIP Opt-Out service. By selecting “No,” your search will be limited to CUSIPs that allow you to reinvest any dividends resulting from a corporate action.
- Select “Yes” in the **Opt-Out** dropdown list for securities that are eligible for the DRIP Opt-Out service. By selecting “Yes,” your search will be limited to CUSIPs that allow you to opt out of reinvesting any dividends resulting from a corporate action and receive cash.

**DTCC** | ASSET SERVICES | Corporate Actions Web

Welcome user@test.com 00001234 | Log out | My Preferences

Home | Announcements | Instructions | Allocations | Adjustments | Contact Us | Thu Mar 12 19:35:12 EDT 2015

**Standing Instructions Search**

Enter ID | CA ID

**Search Criteria**

CUSIP:  EDS Service Type \*: Dividend Reinvestment Opt-Out: No

Limit to: ☐ CUSIPs with standing instructions

**Search** **Reset**

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Your search results appear.

3. Click **Add** next to the CUSIP for which you want to add instructions.

**Standing Instructions Search**

Enter ID | CA ID

Only the first 1,000 records are shown. To retrieve the entire list, use the Export feature.

Displaying 1 to 20 of 1000 items | Export to Excel | Print | Page 1 of 50

| Action               | Audit                | CUSIP     | Security Description                     | EDS Service Type      | Opt Out | Instruction Quantity |
|----------------------|----------------------|-----------|--|-----------------------|---------|----------------------|
| <a href="#">Edit</a> | <a href="#">View</a> | G65773106 | NORDIC AMERICAN TANKERS LIMITED RR       | Dividend Reinvestment | No      | All                  |
| <b>Add</b>           | <a href="#">View</a> | G6648D109 | HOME LN SERVICING SOLU RR                | Dividend Reinvestment | No      |                      |
| <a href="#">Add</a>  | <a href="#">View</a> | G67742109 | ONEBEACON INSURANCE F                    | Dividend Reinvestment | No      |                      |
| <a href="#">Add</a>  | <a href="#">View</a> | G81075106 | SHIP FINANCE INTL LTDF                   | Dividend Reinvestment | No      |                      |
| <a href="#">Add</a>  | <a href="#">View</a> | Y2066G104 | DIANA SHIPPING INC. F RR                 | Dividend Reinvestment | No      |                      |
| <a href="#">Add</a>  | <a href="#">View</a> | Y75638109 | SEASPAR CORP F                           | Dividend Reinvestment | No      |                      |
| <a href="#">Add</a>  | <a href="#">View</a> | Y8564W103 | TEEKAY CORPORATION F< (MARSHALL ISLANDRR | Dividend Reinvestment | No      |                      |
| <a href="#">Add</a>  | <a href="#">View</a> | 000868109 | ACNB CORP -                              | Dividend Reinvestment | No      |                      |
| <a href="#">Add</a>  | <a href="#">View</a> | 001055102 | AFLAC INCORPORATED <                     | Dividend Reinvestment | No      |                      |
| <a href="#">Add</a>  | <a href="#">View</a> | 001204106 | AGL RES INC COM<                         | Dividend Reinvestment | No      |                      |
| Action               | Audit                | CUSIP     | Security Description                     | EDS Service Type      | Opt Out | Instruction Quantity |
| <a href="#">Add</a>  | <a href="#">View</a> | 00162Q304 | ETF ALPS ETF TR (CRBQ)                   | Dividend Reinvestment | No      |                      |
| <a href="#">Add</a>  | <a href="#">View</a> | 00162Q643 | ETF ALPS ETF TR BE<                      | Dividend Reinvestment | No      |                      |
| <a href="#">Add</a>  | <a href="#">View</a> | 00162Q676 | ETF ALPS ETF TR BE+                      | Dividend Reinvestment | No      |                      |
| <a href="#">Add</a>  | <a href="#">View</a> | 00162Q718 | ETF ALPS ETF TR BE+                      | Dividend Reinvestment | No      |                      |
| <a href="#">Add</a>  | <a href="#">View</a> | 00162Q726 | ETF ALPS ETF TR BE<                      | Dividend Reinvestment | No      |                      |
| <a href="#">Add</a>  | <a href="#">View</a> | 00162Q734 | ETF ALPS ETF TR BE<                      | Dividend Reinvestment | No      |                      |
| <a href="#">Add</a>  | <a href="#">View</a> | 00162Q783 | ETF ALPS ETF TR BE<                      | Dividend Reinvestment | No      |                      |
| <a href="#">Add</a>  | <a href="#">View</a> | 00162Q791 | ETF ALPS ETF TR BE<                      | Dividend Reinvestment | No      |                      |
| <a href="#">Add</a>  | <a href="#">View</a> | 00162Q817 | ETF ALPS ETF TR BE<                      | Dividend Reinvestment | No      |                      |
| <a href="#">Add</a>  | <a href="#">View</a> | 00162Q825 | ETF ALPS ETF TR BE<                      | Dividend Reinvestment | No      |                      |

Displaying 1 to 20 of 1000 items | Export to Excel | Print | Page 1 of 50

**Search Criteria**

CUSIP:  EDS Service Type \*: Dividend Reinvestment Opt-Out: No

Limit to: ☐ CUSIPs with standing instructions

**Search** **Reset**

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4. Select the instruction quantity and click **Save**.

**Add Standing Instructions**

[Return to Previous Page](#) Enter ID CA ID

**Standing Instruction Information** \* = Required Field

CUSIP G6648D109 EDS Service Type Dividend Reinvestment Opt-Out N

Instruction Quantity 1000 OR \* All ☐

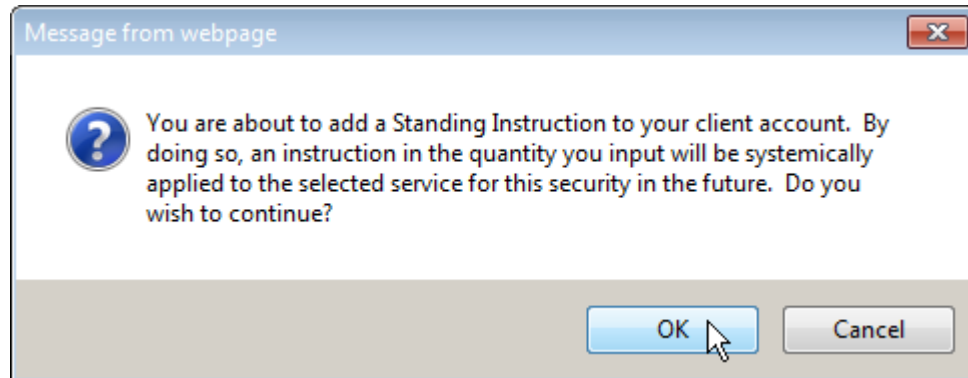
**Save** **Reset** **Cancel**

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**Note:**

- For the **Instruction Quantity**, you can select one of two options:
  - a) Click **All** to indicate that you want to take this action with all applicable shares that are held on record date (for this CUSIP with this Opt-Out designation).
  - b) Enter a whole number of shares (no fractions) in the **Instruction Quantity** field. Any shares beyond this amount will take the default election.

A dialog box appears, confirming that you want these instructions applied to all applicable events for this security in the future.



5. Click **OK** to confirm the standing instructions.
- Click **Cancel** if you do not want to apply these instructions to all applicable events for this security in the future.
- Your new instructions appear in the **Search** results as editable.

### Standing Instructions Search

Enter ID  CA ID

Only the first 1,000 records are shown. To retrieve the entire list, use the Export feature.

Displaying 1 to 20 of 1000 items [Export to Excel](#) [Print](#) Page 1 of 50

| Action               | Audit                | CUSIP     | Security Description                     | EDS Service Type      | Opt Out | Instruction Quantity |
|----------------------|----------------------|-----------|--|-----------------------|---------|----------------------|
| <a href="#">Edit</a> | <a href="#">View</a> | G65773106 | NORDIC AMERICAN TANKERS LIMITED RR       | Dividend Reinvestment | No      | All                  |
| <a href="#">Edit</a> | <a href="#">View</a> | G6648D109 | HOME LN SERVICING SOLU RR                | Dividend Reinvestment | No      | 1000                 |
| <a href="#">Add</a>  | <a href="#">View</a> | G67742109 | ONEBEACON INSURANCE F                    | Dividend Reinvestment | No      |                      |
| <a href="#">Add</a>  | <a href="#">View</a> | G81075106 | SHIP FINANCE INTL LTDF                   | Dividend Reinvestment | No      |                      |
| <a href="#">Add</a>  | <a href="#">View</a> | Y2066G104 | DIANA SHIPPING INC. F RR                 | Dividend Reinvestment | No      |                      |
| <a href="#">Add</a>  | <a href="#">View</a> | Y75638109 | SEASPAR CORP F                           | Dividend Reinvestment | No      |                      |
| <a href="#">Add</a>  | <a href="#">View</a> | Y8564W103 | TEEKAY CORPORATION F< (MARSHALL ISLANDRR | Dividend Reinvestment | No      |                      |
| <a href="#">Add</a>  | <a href="#">View</a> | 000868109 | ACNB CORP -                              | Dividend Reinvestment | No      |                      |
| <a href="#">Add</a>  | <a href="#">View</a> | 001055102 | AFLAC INCORPORATED <                     | Dividend Reinvestment | No      |                      |
| <a href="#">Add</a>  | <a href="#">View</a> | 001204106 | AGL RES INC COM<                         | Dividend Reinvestment | No      |                      |

| Action              | Audit                | CUSIP     | Security Description   | EDS Service Type      | Opt Out | Instruction Quantity |
|---------------------|----------------------|-----------|------------------------|-----------------------|---------|----------------------|
| <a href="#">Add</a> | <a href="#">View</a> | 00162Q304 | ETF ALPS ETF TR (CRBQ) | Dividend Reinvestment | No      |                      |
| <a href="#">Add</a> | <a href="#">View</a> | 00162Q643 | ETF ALPS ETF TR BE<    | Dividend Reinvestment | No      |                      |
| <a href="#">Add</a> | <a href="#">View</a> | 00162Q676 | ETF ALPS ETF TR BE+    | Dividend Reinvestment | No      |                      |
| <a href="#">Add</a> | <a href="#">View</a> | 00162Q718 | ETF ALPS ETF TR BE+    | Dividend Reinvestment | No      |                      |
| <a href="#">Add</a> | <a href="#">View</a> | 00162Q726 | ETF ALPS ETF TR BE<    | Dividend Reinvestment | No      |                      |
| <a href="#">Add</a> | <a href="#">View</a> | 00162Q734 | ETF ALPS ETF TR BE<    | Dividend Reinvestment | No      |                      |
| <a href="#">Add</a> | <a href="#">View</a> | 00162Q783 | ETF ALPS ETF TR BE<    | Dividend Reinvestment | No      |                      |
| <a href="#">Add</a> | <a href="#">View</a> | 00162Q791 | ETF ALPS ETF TR BE<    | Dividend Reinvestment | No      |                      |
| <a href="#">Add</a> | <a href="#">View</a> | 00162Q817 | ETF ALPS ETF TR BE<    | Dividend Reinvestment | No      |                      |
| <a href="#">Add</a> | <a href="#">View</a> | 00162Q825 | ETF ALPS ETF TR BE<    | Dividend Reinvestment | No      |                      |

Displaying 1 to 20 of 1000 items [Export to Excel](#) [Print](#) Page 1 of 50

#### Search Criteria

CUSIP  EDS Service Type \*  Opt-Out

Limit to ☐ CUSIPs with standing instructions

[Search](#) [Reset](#)

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6. Click View in the Audit column to see an audit trail for these standing instructions. The Standing Instructions Audit page appears.

### DTCC ASSET SERVICES Corporate Actions Web

Welcome user@test.com 00001234 [Log out](#) [My Preferences](#)

[Home](#) [Announcements](#) [Instructions](#) [Allocations](#) [Adjustments](#) [Contact Us](#) Wed Mar 25 11:17:53 EDT 2015

### Standing Instructions Audit

[Return to Previous Page](#) Enter ID  CA ID

#### Summary Information

| CUSIP     | Security Description      | EDS Service Type      |
|-----------|---------------------------|-----------------------|
| G6648D109 | HOME LN SERVICING SOLU RR | Dividend Reinvestment |

Displaying 1 to 1 of 1 items [Print](#) Page 1 of 1

| Timestamp               | Status | Instruction Quantity | Opt Out | User          |
|-------------------------|--------|----------------------|---------|---------------|
| 12-Mar-2015 10:34:24 PM | Add    | 1000                 | No      | user@test.com |

Displaying 1 to 1 of 1 items [Print](#) Page 1 of 1

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## Adding CUSIP-Level Standing Instructions for Foreign Currency

- On the menu bar, hover your mouse over **Instructions > Standing Instructions** and click **Search**.

**DTCC** ASSET SERVICES Corporate Actions Web

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Home | Announcements | **Instructions** | Allocations | Adjustments | Contact Us

Thu Mar 5 12:01:45 EST 2015

**Instructions Overview**

- Overview
- Standing Instructions**
  - Search
  - Global Standing Instructions - Dividend Reinvestment
  - Global Standing Instructions - Foreign Currency Payment
- TaxInfo
- Auto Dividend Reinvestment (DRIP) CUSIP List

Inactive Instruction Search

Distributions

| Service                       | Cut Off 05-Mar-2015 |            | Active       |            | Forecast    |          |
|-------------------------------|---------------------|------------|--------------|------------|-------------|----------|
|                               | Uninstructed        | Instructed | Uninstructed | Instructed | No Position | Position |
| Dividend Reinvestment         | 11                  | 0          | 0            | 0          | 3554        | 335      |
| Dividend Reinvestment Opt-Out | 0                   | 10         | 1            | 1          | 135         | 176      |
| Foreign Currency              | 1                   | 0          | 24           | 0          | 256         | 33       |
| Foreign Tax Relief            | 4                   | 0          | 32           | 8          | 105         | 82       |
| Optional Dividends            | 0                   | 0          | 1            | 0          | 0           | 2        |
| Cash-in-Lieu / Round Up       | 0                   | 0          | 0            | 0          | 1           | 0        |
| Foreign Tax Reclaim           | 0                   | 0          | 0            | 0          | 0           | 0        |

\* For events that offer multiple services, the instructed / uninstructed count will apply only to the individual service offered that has had instructions placed upon it.

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This brings you to the **Standing Instructions Search** page.

- Enter the **CUSIP** (if known) and select "Foreign Currency" from the **EDS Service Type** drop-down list.

**DTCC** ASSET SERVICES Corporate Actions Web

Welcome user@test.com 00001234 | Log out | My Preferences

Home | Announcements | **Instructions** | Allocations | Adjustments | Contact Us

Thu Mar 5 12:39:40 EST 2015

**Standing Instructions Search**

Enter ID CA ID

**Search Criteria**

**CUSIP**

**EDS Service Type \***

- Dividend Reinvestment
- Foreign Currency**

Limit to

☐ CUSIPs with standing instructions

**Search** **Reset**

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3. Select the currency for your instructions from the **Currency** drop-down list that appears and click **Search**.

The screenshot shows the DTCC Asset Services Corporate Actions Web interface. The top navigation bar includes links for Home, Announcements, Instructions, Allocations, Adjustments, and Contact Us. The user is logged in as user@test.com with ID 00001234. The date is Thu Mar 5 12:39:40 EST 2015.

The main section is titled "Standing Instructions Search". It contains a search criteria form with the following fields:

- CUSIP:** A text input field.
- EDS Service Type:** A dropdown menu currently set to "Foreign Currency".
- Currency:** A dropdown menu that is open, showing a list of currencies. The "EUR - Euro (Europe)" option is highlighted with a red box and a mouse cursor.
- Limit to:** A checkbox labeled "CUSIPs with standing instructions".
- Buttons:** "Search" and "Reset" buttons.

The footer of the page includes the copyright notice: © 2015 The Depository Trust & Clearing Corporation | Legal Information.

Your search results appear.

**Note:**

If you did not search by an individual CUSIP, the results include all CUSIPS for your selected currency type.

4. Click **Add** next to the CUSIP for which you want to add instructions.

Only the first 1,000 records are shown. To retrieve the entire list, use the Export feature.

Displaying 1 to 20 of 1000 items [Export to Excel](#) [Print](#) Page 1 of 50

| Action              | Audit                | CUSIP     | Security Description                          | EDS Service Type | Currency | Instruction Quantity |
|---------------------|----------------------|-----------|---|------------------|----------|----------------------|
| <b>Add</b>          | <a href="#">View</a> | D4085DET0 | GCB KFW F D01/19/10 3.625% J 20               | Foreign Currency | EUR      |                      |
| <a href="#">Add</a> | <a href="#">View</a> | G0442QAH4 | GABS REGS AQUILAE CLO D12/18/03 0.010% JD15   | Foreign Currency | EUR      |                      |
| <a href="#">Add</a> | <a href="#">View</a> | G2803GAA0 | GCBREGS DOLPHIN CAP PA D04/05/13 05.500% JD18 | Foreign Currency | EUR      |                      |
| <a href="#">Add</a> | <a href="#">View</a> | G31608AA3 | Unknown                                       | Foreign Currency | EUR      |                      |
| <a href="#">Add</a> | <a href="#">View</a> | G316089A5 | Unknown                                       | Foreign Currency | EUR      |                      |
| <a href="#">Add</a> | <a href="#">View</a> | G42049AB5 | GABSREGS G SQUARE06-1F D03/31/06 0.010% JJ51  | Foreign Currency | EUR      |                      |
| <a href="#">Add</a> | <a href="#">View</a> | G7247RAQ4 | GABSREGS PRIMORIS B2 F D06/26/07 0.010% MS17  | Foreign Currency | EUR      |                      |
| <a href="#">Add</a> | <a href="#">View</a> | G7526KAD0 | GCMO REGS RMS 14 F D03/25/03 0.010% MS36      | Foreign Currency | EUR      |                      |
| <a href="#">Add</a> | <a href="#">View</a> | G7526KAF5 | GCMO REGS RMS 14 F D03/25/03 0.010% MS36      | Foreign Currency | EUR      |                      |
| <a href="#">Add</a> | <a href="#">View</a> | G7526KAM0 | GCMO REGS RMS 14 F D03/25/03 0.010% MS36      | Foreign Currency | EUR      |                      |

| Action              | Audit                | CUSIP     | Security Description                         | EDS Service Type | Currency | Instruction Quantity |
|---------------------|----------------------|-----------|--|------------------|----------|----------------------|
| <a href="#">Add</a> | <a href="#">View</a> | G7526KAU2 | GCMO REGS RMS 14 F D03/25/03 0.010% MS36     | Foreign Currency | EUR      |                      |
| <a href="#">Add</a> | <a href="#">View</a> | G7603YAC8 | GCMO REGS RMAC 04-NS1F D03/03/04 0.010% MS20 | Foreign Currency | EUR      |                      |
| <a href="#">Add</a> | <a href="#">View</a> | G7603YAF1 | GCMO REGS RMAC 04-NS1F D03/03/04 0.010% MS36 | Foreign Currency | EUR      |                      |
| <a href="#">Add</a> | <a href="#">View</a> | G7604PAD4 | GCMO REGS RMAC04-NS2F D06/29/04 0.010% MS36  | Foreign Currency | EUR      |                      |
| <a href="#">Add</a> | <a href="#">View</a> | G7604QAD2 | GCMO REGS RMAC 04NS3 F D09/29/04 0.010% MS36 | Foreign Currency | EUR      |                      |
| <a href="#">Add</a> | <a href="#">View</a> | G8280TAH6 | GABSREGS SOUTHST VIF D05/25/05 0.010% JJ41   | Foreign Currency | EUR      |                      |
| <a href="#">Add</a> | <a href="#">View</a> | G84037AE3 | GABS REGS STACK LTD F D03/24/05 0.010% JJ40  | Foreign Currency | EUR      |                      |
| <a href="#">Add</a> | <a href="#">View</a> | G84037AF0 | Unknown                                      | Foreign Currency | EUR      |                      |
| <a href="#">Add</a> | <a href="#">View</a> | L0173HAA8 | GABSREGS ALZETTE CLO F D12/10/04 0.010% MS20 | Foreign Currency | EUR      |                      |
| <a href="#">Add</a> | <a href="#">View</a> | L0173HAC4 | GABSREGS ALZETTE CLO F D12/10/04 0.010% MS20 | Foreign Currency | EUR      |                      |

Displaying 1 to 20 of 1000 items [Export to Excel](#) [Print](#) Page 1 of 50

**Search Criteria**

CUSIP  EDS Service Type \*  Currency

Limit to  
☐ CUSIPs with standing instructions

[Search](#) [Reset](#)

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5. Enter information for all required fields and click **Save**.

**Standing Instruction Information** \* = Required Field

CUSIP D4085DET0 EDS Service Type Foreign Currency Currency EUR

Instruction Quantity  
 1000 OR \* All ☐

**Wire Instruction Information** \* All Fields Required

Beneficiary Bank \*  Bank Address \*  City \*  Country \*

Beneficiary's Account Name \*  Beneficiary's Account # \*  Attention \*  Reference \*  In Favor Of \*

Contact Name \*  Contact Phone Number \*

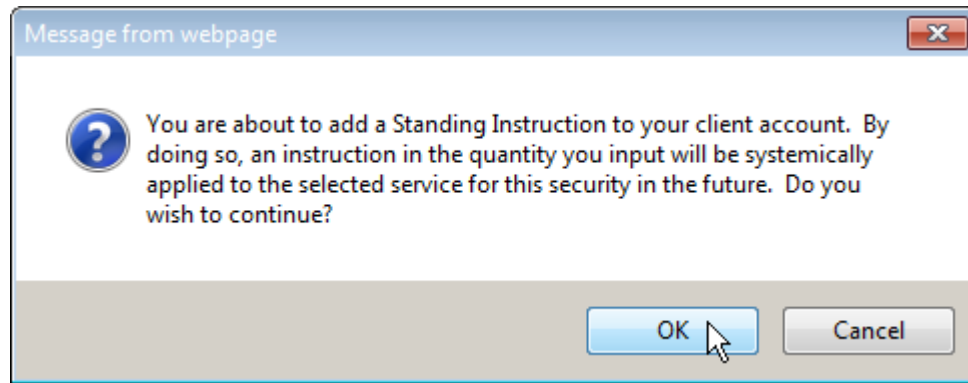
[Save](#) [Reset](#) [Cancel](#)

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#### Notes:

- For the **Instruction Quantity**, you can select one of two options:
  - Click **All** to indicate that you want to take this action with all applicable shares that are held on record date (for this CUSIP in this currency).
  - Enter a whole number of shares (no fractions) in the **Instruction Quantity** field. Any shares beyond this amount will take the default election.

A dialog box appears, confirming that you want these instructions applied to all applicable events (for this CUSIP in this currency) in the future.



6. Click **OK** to confirm the standing instructions.

Click **Cancel** if you do not want to apply these instructions to all applicable events for this security and currency in the future.

Your new instructions appear in the Search results as editable.

Only the first 1,000 records are shown. To retrieve the entire list, use the Export feature.

Displaying 1 to 20 of 1000 items Export to Excel Print Page 1 of 50

| Action               | Audit                | CUSIP     | Security Description                          | EDS Service Type | Currency | Instruction Quantity |
|----------------------|----------------------|-----------|---|------------------|----------|----------------------|
| <a href="#">Edit</a> | <a href="#">View</a> | D4085DET0 | GCB KFW F D01/19/10 3.625% J 20               | Foreign Currency | EUR      | 1000                 |
| <a href="#">Add</a>  | <a href="#">View</a> | G0442QA44 | GABS REGS AQUILAE CLO D12/18/03 0.010% JD15   | Foreign Currency | EUR      |                      |
| <a href="#">Add</a>  | <a href="#">View</a> | G2803GAA0 | GCBREGS DOLPHIN CAP PA D04/05/13 05.500% JD18 | Foreign Currency | EUR      |                      |
| <a href="#">Add</a>  | <a href="#">View</a> | G31608AA3 | Unknown                                       | Foreign Currency | EUR      |                      |
| <a href="#">Add</a>  | <a href="#">View</a> | G31608AA5 | Unknown                                       | Foreign Currency | EUR      |                      |
| <a href="#">Add</a>  | <a href="#">View</a> | G42049AB5 | GABSREGS G SQUARE06-1F D03/31/06 0.010% JJ51  | Foreign Currency | EUR      |                      |
| <a href="#">Add</a>  | <a href="#">View</a> | G7247RAQ4 | GABSREGS PRIMORIS B2 F D06/26/07 0.010% MS17  | Foreign Currency | EUR      |                      |
| <a href="#">Add</a>  | <a href="#">View</a> | G7526KAD0 | GCMO REGS RMS 14 F D03/25/03 0.010% MS36      | Foreign Currency | EUR      |                      |
| <a href="#">Add</a>  | <a href="#">View</a> | G7526KAF5 | GCMO REGS RMS 14 F D03/25/03 0.010% MS36      | Foreign Currency | EUR      |                      |
| <a href="#">Add</a>  | <a href="#">View</a> | G7526KAM0 | GCMO REGS RMS 14 F D03/25/03 0.010% MS36      | Foreign Currency | EUR      |                      |
| Action               | Audit                | CUSIP     | Security Description                          | EDS Service Type | Currency | Instruction Quantity |
| <a href="#">Add</a>  | <a href="#">View</a> | G7526KAU2 | GCMO REGS RMS 14 F D03/25/03 0.010% MS36      | Foreign Currency | EUR      |                      |
| <a href="#">Add</a>  | <a href="#">View</a> | G7603YAC8 | GCMO REGS RMAC 04-NS1F D03/03/04 0.010% MS20  | Foreign Currency | EUR      |                      |
| <a href="#">Add</a>  | <a href="#">View</a> | G7603YAF1 | GCMO REGS RMAC 04-NS1F D03/03/04 0.010% MS36  | Foreign Currency | EUR      |                      |
| <a href="#">Add</a>  | <a href="#">View</a> | G7604PAD4 | GCMO REGS RMAC04-NSP2F D06/29/04 0.010% MS36  | Foreign Currency | EUR      |                      |
| <a href="#">Add</a>  | <a href="#">View</a> | G7604QAD2 | GCMO REGS RMAC 04NS3 F D09/29/04 0.010% MS36  | Foreign Currency | EUR      |                      |
| <a href="#">Add</a>  | <a href="#">View</a> | G8280TAH6 | GABSREGS SOUTHCST VIIF D05/25/05 0.010% JJ41  | Foreign Currency | EUR      |                      |
| <a href="#">Add</a>  | <a href="#">View</a> | G84037AE3 | GABS REGS STACK LTD F D03/24/05 0.010% JJ40   | Foreign Currency | EUR      |                      |
| <a href="#">Add</a>  | <a href="#">View</a> | G84037AF0 | Unknown                                       | Foreign Currency | EUR      |                      |
| <a href="#">Add</a>  | <a href="#">View</a> | L0173HAA8 | GABSREGS ALZETTE CLO F D12/10/04 0.010% MS20  | Foreign Currency | EUR      |                      |
| <a href="#">Add</a>  | <a href="#">View</a> | L0173HAC4 | GABSREGS ALZETTE CLO F D12/10/04 0.010% MS20  | Foreign Currency | EUR      |                      |

Displaying 1 to 20 of 1000 items Export to Excel Print Page 1 of 50

**Search Criteria**

CUSIP  EDS Service Type \*  Currency

Limit to ☐ CUSIPs with standing instructions

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7. Click **View** in the **Audit** column to see an audit trail for these standing instructions.  
The **Standing Instructions Audit** page appears.

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Wed Mar 25 12:28:38 EDT 2015

### Standing Instructions Audit

[< Return to Previous Page](#)

| Summary Information |                                 |
|---------------------|---------------------------------|
| CUSIP               | Security Description            |
| D4085DET0           | GCB KFW F D01/19/10 3.625% J 20 |
| EDS Service Type    |                                 |
| Foreign Currency    |                                 |

Displaying 1 to 6 of 6 items

Print

Page 1 of 1

| Wire Details          | Timestamp               | Status | Instruction Quantity | Currency | User          |
|-----------------------|-------------------------|--------|----------------------|----------|---------------|
| <a href="#">Audit</a> | 12-Mar-2015 01:00:39 PM | Update | All                  | EUR      | user@test.com |
| <a href="#">Audit</a> | 12-Mar-2015 01:00:34 PM | Update | All                  | EUR      | user@test.com |
| <a href="#">Audit</a> | 12-Mar-2015 12:54:50 PM | Update | All                  | EUR      | user@test.com |
| <a href="#">Audit</a> | 11-Mar-2015 01:53:16 PM | Add    | 1000                 | EUR      | user@test.com |
| <a href="#">Audit</a> | 11-Mar-2015 10:43:02 AM | Delete | 1000                 | EUR      | user@test.com |
| <a href="#">Audit</a> | 09-Mar-2015 01:56:45 PM | Add    | 1000                 | EUR      | user@test.com |

Displaying 1 to 6 of 6 items

Print

Page 1 of 1

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On this page, you can click **Audit** to see details for this standing instruction.

**Standing Instructions - Wire Details**

**Foreign Tax Currency Payment - Wire Instruction Details**

**Currency**  
EUR

|                                   |                                |                  |                  |
|-----------------------------------|--------------------------------|------------------|------------------|
| <b>Beneficiary Bank</b>           | <b>Bank Address</b>            | <b>City</b>      | <b>Country</b>   |
| BNP Paribas SA                    | 16 Boulevard des Italiens      | Paris            | France           |
| <b>Beneficiary's Account Name</b> | <b>Beneficiary's Account #</b> | <b>Attention</b> | <b>Reference</b> |
| Special Savings                   | 12345678                       | Jean Forgeron    | 0123456          |
| <b>In Favor Of</b>                |                                |                  |                  |
| Sample Info                       |                                |                  |                  |
| <b>Contact Name</b>               | <b>Contact Phone Number</b>    |                  |                  |
| Amelie Beaulieu                   | 3312341234                     |                  |                  |



## Editing CUSIP-Level Standing Instructions

- On the menu bar, hover your mouse over **Instructions > Standing Instructions** and click **Search**.

The screenshot shows the DTCC Corporate Actions Web interface. The top navigation bar includes 'Home', 'Announcements', 'Instructions', 'Allocations', 'Adjustments', and 'Contact Us'. The 'Instructions' menu is expanded, showing 'Overview', 'Standing Instructions', 'Taxinfo', and 'Auto Dividend Reinvestment (DRIP) CUSIP List'. The 'Standing Instructions' option is highlighted, and the 'Search' link is visible. Below the menu, there is a table with columns for 'Service', 'Cut Off 05-Mar-2015', 'Active', and 'Forecast'. The table lists various services like Dividend Reinvestment, Dividend Reinvestment Opt-Out, Foreign Currency, Foreign Tax Relief, Optional Dividends, Cash-in-Lieu / Round Up, and Foreign Tax Reclaim, with counts for Uninstructed and Instructed instructions. A footer note states: 'For events that offer multiple services, the instructed / uninstructed count will apply only to the individual service offered that has had instructions placed upon it.'

This brings you to the **Standing Instructions Search** page.

- Enter the **CUSIP** (if known) and select the **EDS Service Type** from the drop-down list.

The screenshot shows the 'Standing Instructions Search' page. It includes a search criteria section with fields for 'CUSIP', 'EDS Service Type' (set to 'Dividend Reinvestment'), and 'Opt-Out' (set to 'Yes'). There is a checkbox for 'Limit to CUSIPs with standing instructions' which is checked. Below the search criteria are 'Search' and 'Reset' buttons. The footer includes the DTCC logo and copyright information.

- For "Dividend Reinvestment," select "Y" for DRIP Opt-Out or "N" for DRIP Voluntary from the drop-down list that appears.
- For "Foreign Currency," select the correct currency from the drop-down list that appears.

3. Click the **Limit to: CUSIPs with standing instructions** check box and click **Search**.  
This brings you to the **Standing Instructions Search** results page.

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Home | Announcements | Instructions | Allocations | Adjustments | Contact Us | Wed Mar 25 12:23:35 EDT 2015

### Standing Instructions Search

Enter ID CA ID

Displaying 1 to 20 of 366 items

Export to Excel Print Page 1 of 19

| Action      | Audit | CUSIP     | Security Description                           | EDS Service Type      | Opt Out | Instruction Quantity |
|-------------|-------|-----------|--|-----------------------|---------|----------------------|
| Add         | View  | 003031101 | ABERDEEN GREATER CHINA FUND INC <              | Dividend Reinvestment | Yes     |                      |
| Add         | View  | 00306J109 | ABERDEEN JAPAN EQUITY FUND, INC.               | Dividend Reinvestment | Yes     |                      |
| <b>Edit</b> | View  | 003244100 | ABERDEEN SINGAPORE FUND INC +                  | Dividend Reinvestment | Yes     | 2850                 |
| Add         | View  | 007639107 | CEF ADVENT CLAYMORE CON SEC & INCOME FUND I RR | Dividend Reinvestment | Yes     |                      |
| Add         | View  | 00764C109 | CEF ADVENT CLAYMORE CV RR                      | Dividend Reinvestment | Yes     |                      |
| Add         | View  | 00765E104 | CEF ADVENT/CLAYMORE FD                         | Dividend Reinvestment | Yes     |                      |
| Add         | View  | 01374T102 | ALCENTRA CAP CORP +                            | Dividend Reinvestment | Yes     |                      |
| Add         | View  | 02082E205 | CEF ALPINE GLOBAL DYN <                        | Dividend Reinvestment | Yes     |                      |
| Add         | View  | 02083A103 | CEF ALPINE GLOBAL PREM RR                      | Dividend Reinvestment | Yes     |                      |
| Add         | View  | 021060207 | CEF ALPINE TOTAL DYNA <                        | Dividend Reinvestment | Yes     |                      |
| Add         | View  | 02504D108 | CEF AMERICAN CAP SR F +                        | Dividend Reinvestment | Yes     |                      |
| Add         | View  | 03761U106 | CEF APOLLO INVESTMENT                          | Dividend Reinvestment | Yes     |                      |
| Add         | View  | 037636107 | CEF APOLLO SR FLOATIN <                        | Dividend Reinvestment | Yes     |                      |
| Add         | View  | 04010L103 | CEF ARES CAPITAL CORP                          | Dividend Reinvestment | Yes     |                      |
| Add         | View  | 04014F102 | CEF ARES DYNAMIC CR A <                        | Dividend Reinvestment | Yes     |                      |
| Add         | View  | 04014Q108 | CEF ARES MULTI-STRATE <                        | Dividend Reinvestment | Yes     |                      |
| Add         | View  | 05543L106 | BDCA VENTURE, INC. RR                          | Dividend Reinvestment | Yes     |                      |
| Add         | View  | 05617T100 | CEF BABSON CAP GLOBAL <                        | Dividend Reinvestment | Yes     |                      |
| Add         | View  | 091941104 | CEF BLACKROCK FLOATING RATE INCOME TRUST RR    | Dividend Reinvestment | Yes     |                      |
| Add         | View  | 09247D105 | BLACKROCK INV QUAL TR                          | Dividend Reinvestment | Yes     |                      |

Displaying 1 to 20 of 366 items

Export to Excel Print Page 1 of 19

### Search Criteria

CUSIP:  EDS Service Type:  Opt-Out:

Limit to: ☐ CUSIPs with standing instructions

**Search** **Reset**

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Any standing instructions matching your search criteria are displayed on this page.

4. Click **Edit** for the standing instructions you want to edit.  
This brings you to an edit screen containing the instruction record's information. Note that the edit page will be different for Dividend Reinvestment and Foreign Currency instructions.

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Home | Announcements | Instructions | Allocations | Adjustments | Contact Us | Wed Mar 25 12:24:59 EDT 2015

### Update Standing Instructions

< Return to Previous Page Enter ID CA ID

Global Standing Instructions exist.

### Standing Instruction Information \* = Required Field

CUSIP: 003244100 EDS Service Type: Dividend Reinvestment Opt-Out: Y

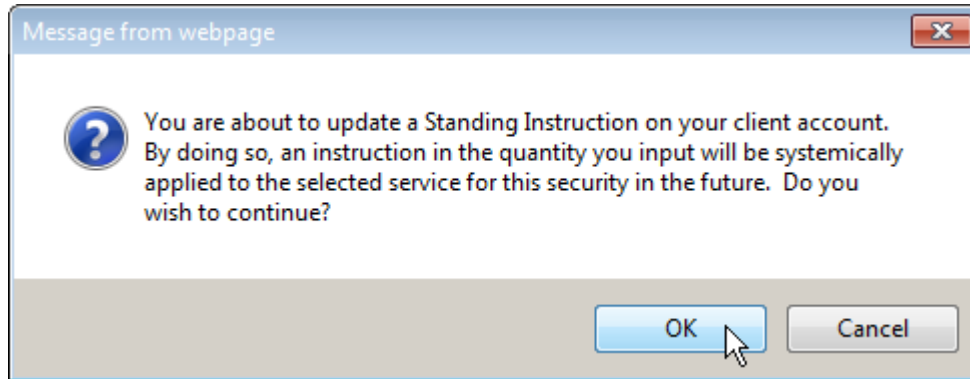
Instruction Quantity: 3000 OR \* All ("All" is not a valid selection when Global Standing Instructions exist)

**Save** **Reset** **Cancel** **Delete**

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5. Make any changes to the information on this screen and click **Save**.

A dialog box appears, confirming that you want these edited instructions applied to *all* applicable events for this security (and currency, if applicable) in the future.



6. Click **OK** to confirm the edited instructions.

Click **Cancel** if you do not want to change these instructions for all applicable events for this security (and currency, if applicable) in the future.

You are returned to the **Standing Instructions Search** results page. Any changes are reflected in the listing in this table.

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### Standing Instructions Search

Displaying 1 to 20 of 366 items

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| Action | Audit                | CUSIP     | Security Description                            | EDS Service Type      | Opt Out | Instruction Quantity |
|--------|----------------------|-----------|---|-----------------------|---------|----------------------|
| Add    | <a href="#">View</a> | 003031101 | ABERDEEN GREATER CHINA FUND INC <               | Dividend Reinvestment | Yes     |                      |
| Add    | <a href="#">View</a> | 00306J109 | ABERDEEN JAPAN EQUITY FUND, INC.                | Dividend Reinvestment | Yes     |                      |
| Edit   | <a href="#">View</a> | 003244100 | ABERDEEN SINGAPORE FUND INC +                   | Dividend Reinvestment | Yes     | 3000                 |
| Add    | <a href="#">View</a> | 007639107 | CEF ADVENT CLAYMORE CON SEC & INCOME FUND II RR | Dividend Reinvestment | Yes     |                      |
| Add    | <a href="#">View</a> | 00764C109 | CEF ADVENT CLAYMORE CV RR                       | Dividend Reinvestment | Yes     |                      |
| Add    | <a href="#">View</a> | 00765E104 | CEF ADVENT/CLAYMORE FD                          | Dividend Reinvestment | Yes     |                      |
| Add    | <a href="#">View</a> | 01374T102 | ALCENTRA CAP CORP +                             | Dividend Reinvestment | Yes     |                      |
| Add    | <a href="#">View</a> | 02082E205 | CEF ALPINE GLOBAL DYN <                         | Dividend Reinvestment | Yes     |                      |
| Add    | <a href="#">View</a> | 02083A103 | CEF ALPINE GLOBAL PREM RR                       | Dividend Reinvestment | Yes     |                      |
| Add    | <a href="#">View</a> | 021060207 | CEF ALPINE TOTAL DYNA <                         | Dividend Reinvestment | Yes     |                      |

| Action | Audit                | CUSIP     | Security Description                        | EDS Service Type      | Opt Out | Instruction Quantity |
|--------|----------------------|-----------|---|-----------------------|---------|----------------------|
| Add    | <a href="#">View</a> | 02504D108 | CEF AMERICAN CAP SR F +                     | Dividend Reinvestment | Yes     |                      |
| Add    | <a href="#">View</a> | 03761U106 | CEF APOLLO INVESTMENT                       | Dividend Reinvestment | Yes     |                      |
| Add    | <a href="#">View</a> | 037636107 | CEF APOLLO SR FLOATIN <                     | Dividend Reinvestment | Yes     |                      |
| Add    | <a href="#">View</a> | 04010L103 | CEF ARES CAPITAL CORP                       | Dividend Reinvestment | Yes     |                      |
| Add    | <a href="#">View</a> | 04014F102 | CEF ARES DYNAMIC CR A <                     | Dividend Reinvestment | Yes     |                      |
| Add    | <a href="#">View</a> | 04014Q108 | CEF ARES MULTI-STRATE <                     | Dividend Reinvestment | Yes     |                      |
| Add    | <a href="#">View</a> | 05543L106 | BDCA VENTURE, INC. RR                       | Dividend Reinvestment | Yes     |                      |
| Add    | <a href="#">View</a> | 05617T100 | CEF BABSON CAP GLOBAL <                     | Dividend Reinvestment | Yes     |                      |
| Add    | <a href="#">View</a> | 091941104 | CEF BLACKROCK FLOATING RATE INCOME TRUST RR | Dividend Reinvestment | Yes     |                      |
| Add    | <a href="#">View</a> | 09247D105 | BLACKROCK INV QUAL TR                       | Dividend Reinvestment | Yes     |                      |

Displaying 1 to 20 of 366 items

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#### Search Criteria

CUSIP

EDS Service Type \*  
Dividend Reinvestment

Opt-Out  
Yes

Limit to  
☐ CUSIPs with standing instructions

Search | Reset

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7. To view the audit trail for these instructions, click **View**.  
The **Standing Instructions Audit** page appears.

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**Standing Instructions Audit**

< Return to Previous Page | Enter ID | CA ID

**Summary Information**

|           |                             |                       |
|-----------|-----------------------------|-----------------------|
| CUSIP     | Security Description        | EDS Service Type      |
| 003244100 | ABERDEEN SINGAPORE FUND INC | Dividend Reinvestment |

Displaying 1 to 2 of 2 items | Print | Page 1 of 1

| Timestamp               | Status | Instruction Quantity | Opt Out | User          |
|-------------------------|--------|----------------------|---------|---------------|
| 25-Mar-2015 12:25:35 PM | Update | 3000                 | Yes     | user@test.com |
| 24-Mar-2014 01:51:51 PM | Add    | 2850                 | Yes     | user@test.com |

Displaying 1 to 2 of 2 items | Print | Page 1 of 1

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## Adding and Deleting Global Standing Instructions for Dividend Reinvestments

You can add global standing instructions for DRIP Opt-Outs. By doing so, you are requesting an instruction into cash for all securities (i.e. global) that have DRIP Opt-Out events going forward, unless edited.

- On the menu bar, hover your mouse over **Instructions > Standing Instructions** and click **Global Standing Instructions–Dividend Reinvestment**.

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Home | Announcements | **Instructions** | Allocations | Adjustments | Contact Us | Fri Mar 13 09:22:14 EDT 2015

**Composite Reco**

- Overview
- Standing Instructions**
  - Search
  - Global Standing Instructions - Dividend Reinvestment
  - Global Standing Instructions - Foreign Currency Payment
- TaxInfo
- Auto Dividend Reinvestment (DRIP) CUSIP List

Inactive Instruction Search | Print

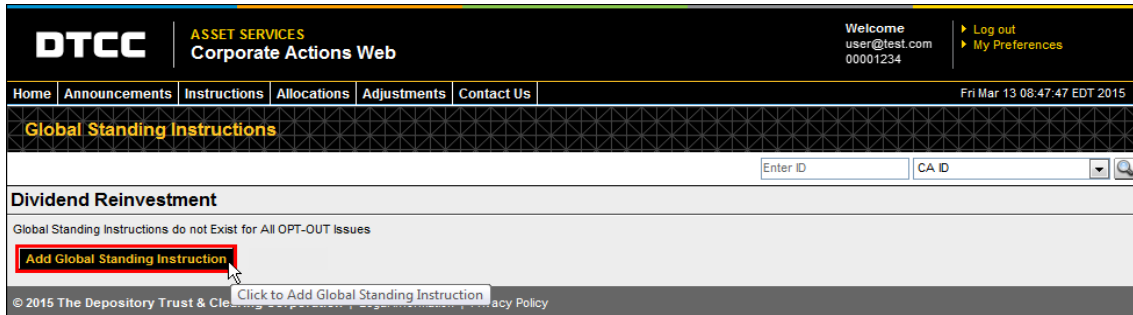
**Distributions**

| Service                       | Cut Off 13-Mar-2015 |            | Active       |            | Forecast    |          |
|-------------------------------|---------------------|------------|--------------|------------|-------------|----------|
|                               | Uninstructed        | Instructed | Uninstructed | Instructed | No Position | Position |
| Dividend Reinvestment         | 30                  | 0          | 3            | 0          | 670         | 311      |
| Dividend Reinvestment Opt-Out | 0                   | 6          | 0            | 0          | 161         | 178      |
| Foreign Currency              | 2                   | 0          | 8            | 0          | 273         | 36       |
| Foreign Tax Relief            | 5                   | 0          | 18           | 1          | 138         | 88       |
| Optional Dividends            | 0                   | 0          | 1            | 0          | 0           | 4        |
| Cash-in-Lieu / Round Up       | 0                   | 0          | 0            | 0          | 1           | 0        |
| Foreign Tax Reclaim           | 0                   | 0          | 0            | 0          | 0           | 0        |

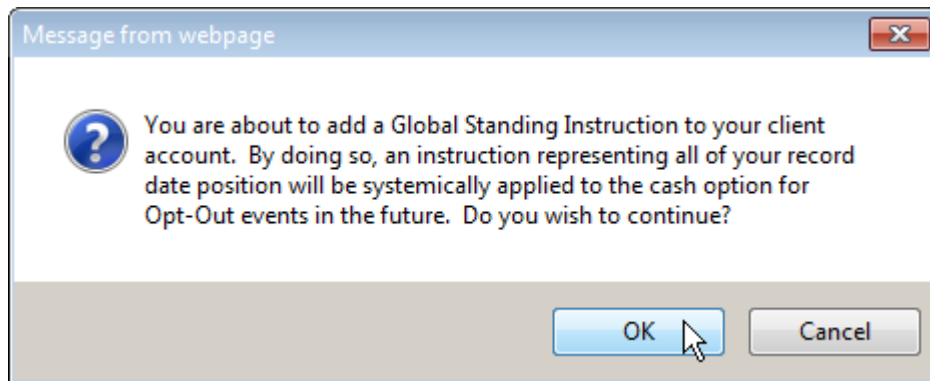
\* For events that offer multiple services, the instructed / uninstructed count will apply only to the individual service offered that has had instructions placed upon it.

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2. Click **Add Global Standing Instructions**.



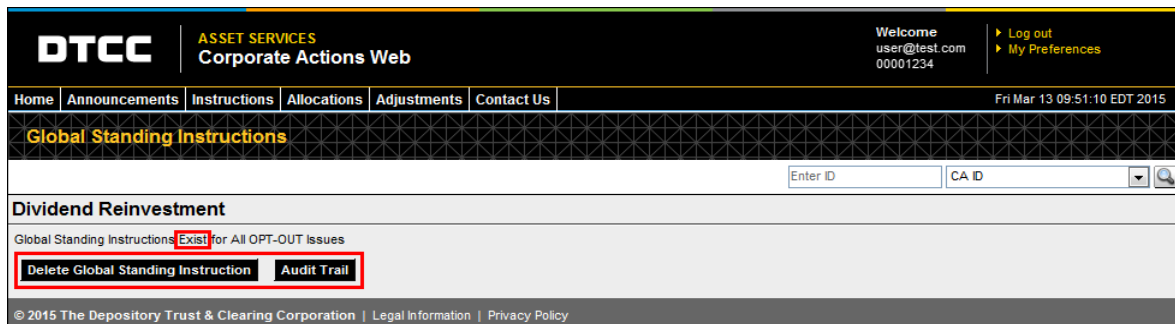
A dialog box appears, confirming that you want these instructions applied to *all* applicable events for *all* securities in the future.



3. Click **OK** to confirm the standing instructions.

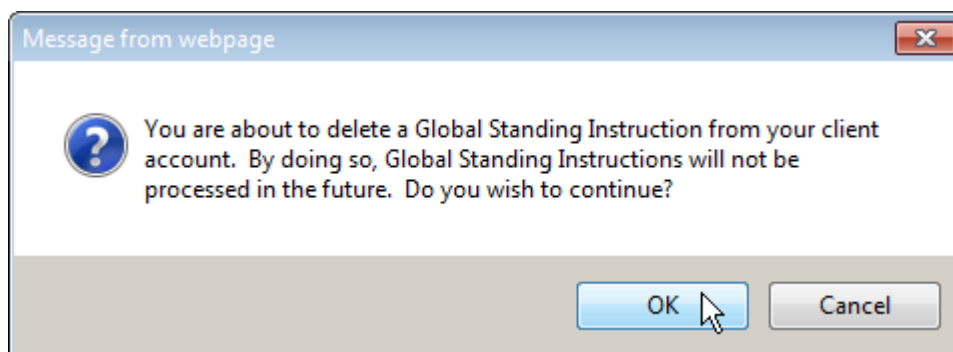
Click **Cancel** if you do not want to apply these instructions to *all* applicable events for *all* securities in the future.

A confirmation message appears, stating that global standing instructions now exist for all Opt-Out issues.



**Notes:**

- After saving global standing instructions, the **Add** button changes to a **Delete** button. Click this button to remove the standing instructions at any time. A dialog box asks you to confirm your deletion:



- Click OK to continue with the deletion of your standing instructions.
- Click Cancel to cancel the deletion.
- After the first time you create standing instructions for dividend reinvestments, you are able to view an audit trail from this page as well. Click the **Audit Trail** button to view a history of standing instructions.

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Wed Mar 25 12:34:16 EDT 2015

### Dividend Reinvestment Global Standing Instructions Audit

[< Return to Previous Page](#)

**Summary Information**

|           |       |         |
|-----------|-------|---------|
| Client ID | CUSIP | Opt Out |
| 00002027  | All   | Yes     |

Displaying 1 to 3 of 3 items 

 Page 1 of 1
 

| Timestamp               | Status | User          |
|-------------------------|--------|---------------|
| 13-Mar-2015 08:48:46 AM | Add    | user@test.com |
| 13-Mar-2015 08:09:48 AM | Delete | user@test.com |
| 04-Mar-2015 09:47:34 AM | Add    | user@test.com |

Displaying 1 to 3 of 3 items 

 Page 1 of 1

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## Adding and Deleting Global Standing Instructions for Foreign Currency

Global standing instructions can be added for individual foreign currencies.

These instructions will apply to a specific foreign currency on all applicable securities where a cash payout other than USD is offered optionally on a distribution event.

1. On the menu bar, hover your mouse over **Instructions > Standing Instructions** and click **Global Standing Instructions–Foreign Currency Payment**.

The screenshot shows the DTCC Corporate Actions Web interface. The top navigation bar includes 'Home', 'Announcements', 'Instructions', 'Allocations', 'Adjustments', and 'Contact Us'. The 'Instructions' menu is expanded, showing 'Overview', 'Standing Instructions', 'Taxinfo', and 'Auto Dividend Reinvestment (DRIP) CUSIP List'. The 'Standing Instructions' sub-menu is further expanded, showing 'Global Standing Instructions - Dividend Reinvestment' and 'Global Standing Instructions - Foreign Currency Payment'. The 'Global Standing Instructions - Foreign Currency Payment' option is highlighted. Below the menu, there is a table showing the status of instructions for various services as of March 13, 2015.

| Service                       | Cut Off 13-Mar-2015 |            | Active       |            | Forecast    |          |
|-------------------------------|---------------------|------------|--------------|------------|-------------|----------|
|                               | Uninstructed        | Instructed | Uninstructed | Instructed | No Position | Position |
| Dividend Reinvestment         | 30                  | 0          | 3            | 0          | 670         | 311      |
| Dividend Reinvestment Opt-Out | 0                   | 6          | 0            | 0          | 161         | 178      |
| Foreign Currency              | 2                   | 0          | 8            | 0          | 273         | 36       |
| Foreign Tax Relief            | 5                   | 0          | 18           | 1          | 138         | 88       |
| Optional Dividends            | 0                   | 0          | 1            | 0          | 0           | 4        |
| Cash-in-Lieu / Round Up       | 0                   | 0          | 0            | 0          | 1           | 0        |
| Foreign Tax Reclaim           | 0                   | 0          | 0            | 0          | 0           | 0        |

\* For events that offer multiple services, the instructed / uninstructed count will apply only to the individual service offered that has had instructions placed upon it.

2. Click **Add**.

The screenshot shows the DTCC Corporate Actions Web interface. The top navigation bar includes 'Home', 'Announcements', 'Instructions', 'Allocations', 'Adjustments', and 'Contact Us'. The 'Instructions' menu is expanded, showing 'Overview', 'Standing Instructions', 'Taxinfo', and 'Auto Dividend Reinvestment (DRIP) CUSIP List'. The 'Standing Instructions' sub-menu is further expanded, showing 'Global Standing Instructions - Dividend Reinvestment' and 'Global Standing Instructions - Foreign Currency Payment'. The 'Global Standing Instructions - Foreign Currency Payment' option is highlighted. Below the menu, there is a table showing the status of instructions for various services as of March 13, 2015.

| Service                       | Cut Off 13-Mar-2015 |            | Active       |            | Forecast    |          |
|-------------------------------|---------------------|------------|--------------|------------|-------------|----------|
|                               | Uninstructed        | Instructed | Uninstructed | Instructed | No Position | Position |
| Dividend Reinvestment         | 30                  | 0          | 3            | 0          | 670         | 311      |
| Dividend Reinvestment Opt-Out | 0                   | 6          | 0            | 0          | 161         | 178      |
| Foreign Currency              | 2                   | 0          | 8            | 0          | 273         | 36       |
| Foreign Tax Relief            | 5                   | 0          | 18           | 1          | 138         | 88       |
| Optional Dividends            | 0                   | 0          | 1            | 0          | 0           | 4        |
| Cash-in-Lieu / Round Up       | 0                   | 0          | 0            | 0          | 1           | 0        |
| Foreign Tax Reclaim           | 0                   | 0          | 0            | 0          | 0           | 0        |

\* For events that offer multiple services, the instructed / uninstructed count will apply only to the individual service offered that has had instructions placed upon it.

A **Global Standing Instructions** entry window appears.

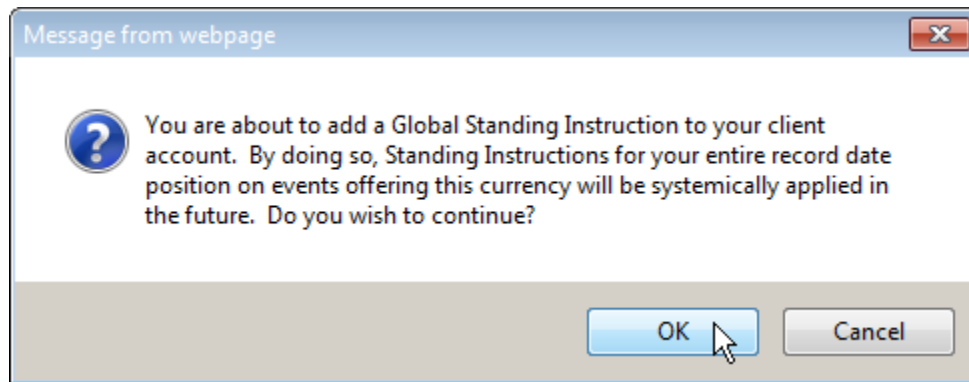
3. Select a **Currency** for these instructions and enter all beneficiary, reference, and contact information.

**Note:**

All fields in this window are required.

4. Click **Save**.

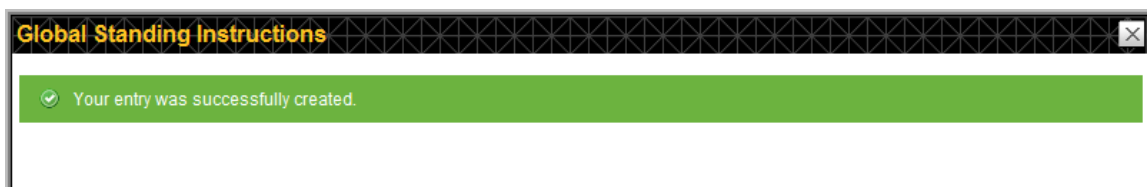
A dialog box appears, confirming that you want these instructions applied to all events for this currency in the future.



5. Click **OK** to confirm the standing instructions.

Click **Cancel** if you do not want to apply these instructions to *all* events for this currency in the future.

A confirmation message appears when your standing instructions have been successfully added to CA Web.





Your new standing instructions appear on the **Global Standing Instructions** page for Foreign Currency Payment.

**DTCC** ASSET SERVICES Corporate Actions Web

Welcome user@test.com 00001234 | Log out | My Preferences

Home | Announcements | Instructions | Allocations | Adjustments | Contact Us | Fri Mar 13 11:31:39 EDT 2015

**Global Standing Instructions**

Enter ID | CA ID

**Foreign Currency Payment**

Displaying 1 to 1 of 1 items | Print | Page 1 of 1

| Currency | Audit | Status | Action |
|----------|-------|--------|--------|
| EUR      | Audit | Active | Delete |

Displaying 1 to 1 of 1 items | Print | Page 1 of 1

**Add**

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#### Notes:

- Each currency will be listed separately on this page as it is added.

**DTCC** ASSET SERVICES Corporate Actions Web

Welcome user@test.com 00001234 | Log out | My Preferences

Home | Announcements | Instructions | Allocations | Adjustments | Contact Us | Fri Mar 13 11:31:39 EDT 2015

**Global Standing Instructions**

Enter ID | CA ID

**Foreign Currency Payment**

Displaying 1 to 2 of 2 items | Print | Page 1 of 1

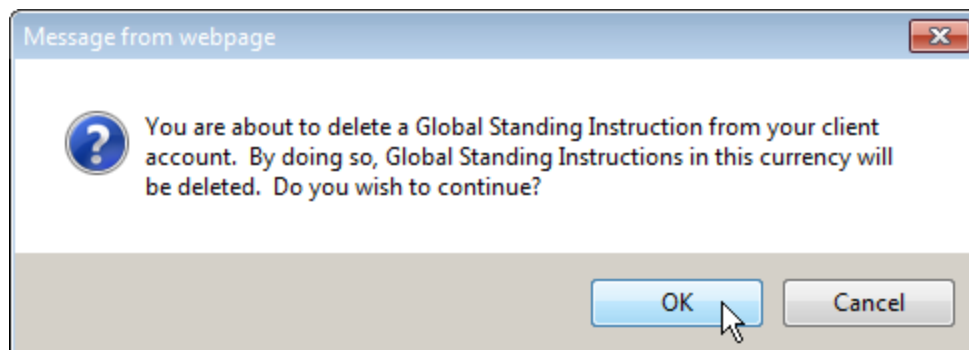
| Currency | Audit | Status | Action |
|----------|-------|--------|--------|
| EUR      | Audit | Active | Delete |
| JPY      | Audit | Active | Delete |

Displaying 1 to 2 of 2 items | Print | Page 1 of 1

**Add**

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- Click the **Currency** link (e.g. “EUR” or “JPY” above) to edit the global standing instructions for that currency.
- Click the **Delete** link to delete the standing instructions for a particular currency. A dialog box asks you to confirm your deletion:



- Click **OK** to continue with the deletion of your standing instructions.
- Click **Cancel** to cancel the deletion.

- Click the **Add** button to add global standing instructions for a new currency.
- Click the **Audit** link to view an audit history summary for standing instructions that apply to a particular currency.

**DTCC**
**ASSET SERVICES**  
**Corporate Actions Web**

Welcome  
user@test.com  
00001234

Log out  
My Preferences

Home | Announcements | Instructions | Allocations | Adjustments | Contact Us

Wed Mar 25 12:38:17 EDT 2015

**Foreign Currency Payment Global Standing Instructions Audit**

[Return to Previous Page](#)

**Summary Information**

|           |       |          |
|-----------|-------|----------|
| Client ID | CUSIP | Currency |
| 00002027  | All   | EUR      |

Displaying 1 to 1 of 1 items
Page 1 of 1

|                       |                         |        |               |
|-----------------------|-------------------------|--------|---------------|
| Wire Details          | Timestamp               | Status | User          |
| <a href="#">Audit</a> | 13-Mar-2015 11:20:21 AM | Add    | user@test.com |

Displaying 1 to 1 of 1 items
Page 1 of 1

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- On the **Foreign Currency Payment Global Standing Instructions Audit** summary page, click **Audit** to see details for this standing instruction.

**Global Standing Instructions - Wire Details**

**Wire Details**

**Currency**  
EUR

|                         |                           |             |                |
|-------------------------|---------------------------|-------------|----------------|
| <b>Beneficiary Bank</b> | <b>Bank Address</b>       | <b>City</b> | <b>Country</b> |
| BNP Paribas SA          | 16 Boulevard des Italiens | Paris       | France         |

|                                   |                                |                  |                  |                    |
|-----------------------------------|--------------------------------|------------------|------------------|--------------------|
| <b>Beneficiary's Account Name</b> | <b>Beneficiary's Account #</b> | <b>Attention</b> | <b>Reference</b> | <b>In Favor Of</b> |
| Special Savings                   | 12345678                       | Jean Forgeron    | 0123456          | Sample Info        |

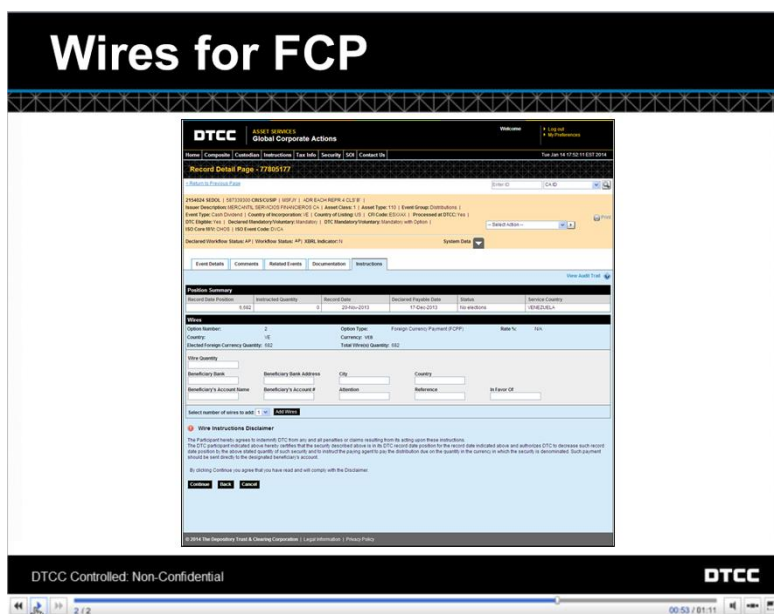
|                     |                             |
|---------------------|-----------------------------|
| <b>Contact Name</b> | <b>Contact Phone Number</b> |
| Jeanne D'Eaux       | 3312345678                  |

# Wires, Beneficial Owner, and Tax Exempt Control Information

## About Wires for Foreign Currency Payment

### Please note:

This is the transcript of an animated Help topic. To play the topic, refer to the topic of the same name in the online Help.



Certain distribution events require the collection of information at the beneficial owner level. For example, if you're instructing on an event with a foreign currency payment option, you'll need to enter wire instructions.

These instructions are for the beneficial owner banks in the local market and indicate where the foreign currency will be paid.

The Wires page contains three areas: the summary information for each FCP option, wire instruction entry area, and the wire disclaimer.

A summary area for wires shows you key information such as the FCP Option Number and Rate, and the country and currency codes.

You will need to enter a wire for each beneficial owner receiving a payment at the rate shown here.

Enter wire and beneficiary account information as needed.

Continue adding any wire entries you'll need for the different beneficiaries receiving currency at this rate.

You can add up to 3 wires at a time for a total of 45 per option, up to 100 per event.

To remove an entry entirely, click **Delete Wire**.

As you enter wire quantities and beneficiary bank account entries, CA Web calculates a running total of beneficial shares in the **Total Wire(s) Quantity** field.

The amount of securities must equal the amount of instructed securities shown in the **Instructed Foreign Currency** Quantity field.

If the total wire quantity doesn't equal the instructed foreign currency quantity, you'll get an error message.

Read the wire instructions disclaimer before continuing.

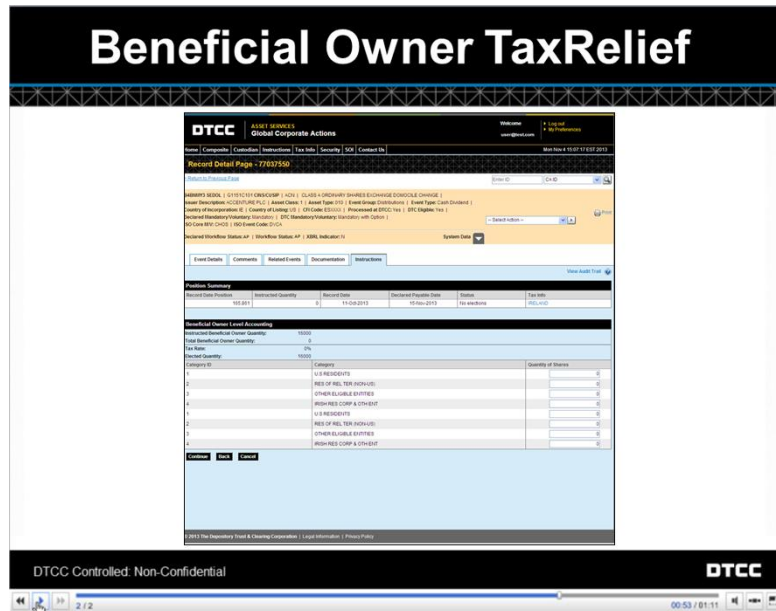
When you are done adding beneficial owner wire information, click **Continue** to move to the next step.

You can edit wire information up until the DTC expiration date.

## About Beneficial Owner Accounting For Foreign Tax Relief

**Please note:**

This is the transcript of an animated Help topic. To play the topic, refer to the topic of the same name in the online Help.



Certain distribution events require the collection of beneficial owner information. For example, when you enter instructions using the Foreign Tax service, you may need to provide beneficial owner information.

It works like this: the tax withholding rates of exempt, favorable, and unfavorable are further broken down by categories. Categories are created by DTC in accordance with the tax laws of countries that require this information.

In this example, we see categories for beneficial owners set up within the exempt rate for a security from Ireland.

Enter the number of shares in the appropriate category as needed. For example, 60,000 shares are due to beneficial owners who are U.S. residents and 100,000 shares are due to companies based in Ireland.

The sum of all beneficial shares must equal the amount of instructed shares shown in the **Instructed Beneficial Owner Quantity** field. If the **Total Beneficial Owner Quantity** does not equal the **Instructed Beneficial Owner Quantity**, you will receive an error message.

When you are done entering beneficial owner information, click **Continue** to move to the next step.

You can edit beneficial owner information until the DTC Instruction Expiration date.



To delete the entire line, highlight the number in the **Total Number of Accounts** field and press the **Delete** key.

As you enter account and share quantities, the Browser calculates a running total of beneficial shares in the **Total Beneficial Owner Quantity** field.

The amount of beneficial shares must equal the amount of instructed shares shown in the **Instructed Beneficial Owner Quantity** field.

If the Beneficial Owner Quantity does not equal the Instructed Beneficial Owner Quantity, you will receive an error message.

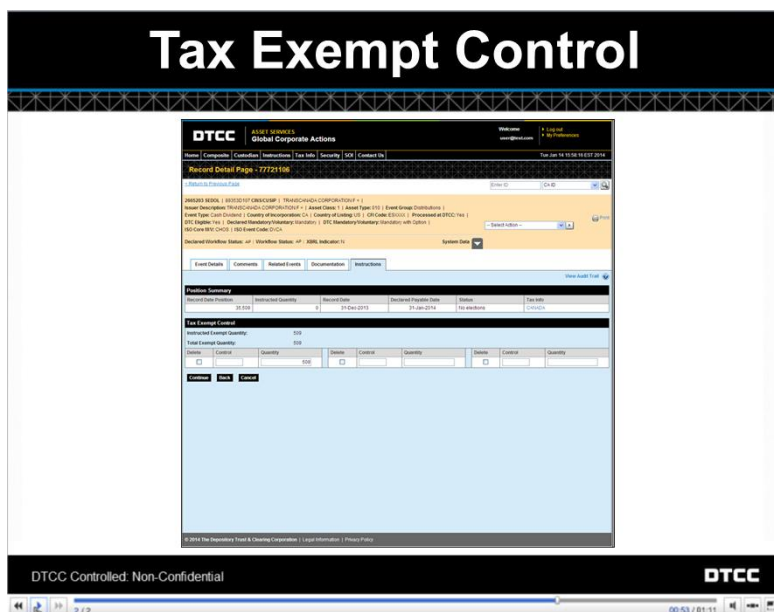
When you are done adding beneficial owner information, click **Continue** to move to the next step which is the Instruction Confirmation page.

You can edit beneficial entry information up until the DTC expiration date.

## About Tax Exempt Control for Foreign Tax Relief

### Please note:

This is the transcript of an animated Help topic. To play the topic, refer to the topic of the same name in the online Help.



Certain distribution events require the collection of tax exempt control information. For example, when you instruct to withhold tax at the exempt rate on a Canadian cash dividend, you will need to provide a control number in the format provided to you by the Canada Revenue Agency.

Click the **TaxInfo CANADA** link to launch a summary of helpful tax information such as documentation requirements.

It works like this: the security quantities within the tax relief exempt option may be further broken down into smaller quantities. Each quantity entered here requires a Tax Exempt Control number.

The Tax Exempt Control page shows the total position instructed at the exempt rate.

Enter the security quantities. A running total displays as you enter quantities. Use the Tab key to add more rows.

In this example, all 509 shares instructed at the exempt rate are identified by the Control ID “123456.”

Enter the control number.

The amount of shares entered must be equal to the amount of shares shown in the “Instructed Exempt Quantity” field. If the Total Exempt Quantity is not equal to the Instructed Exempt Quantity, you will receive an error message.

When you are done entering tax exempt control information, click **Continue** to move to the next step.

You can edit tax exempt control information up until the DTC instruction expiration date.

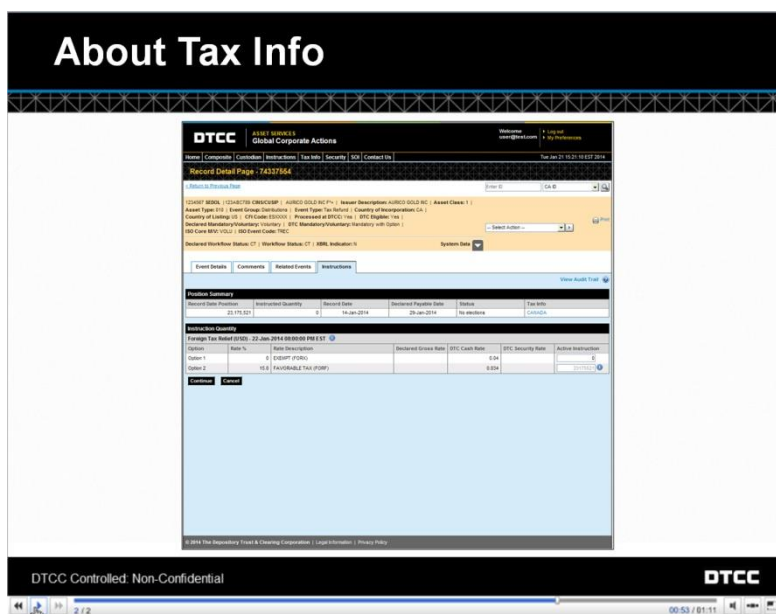


# TaxInfo

## About TaxInfo on Foreign Tax Relief

### Please note:

This is the transcript of an animated Help topic. To play the topic, refer to the topic of the same name in the online Help.



Understanding and determining tax relief entitlements for various investor types can be challenging. The rules and regulations are often complicated and hard to figure out.

TaxInfo is a useful information repository. It can help you locate the latest foreign tax rates and determine eligibility requirements for withholding tax relief on income payments from foreign securities.

You can access this information in two ways:

- From the Corporate Actions menu bar at the top of the screen, you can access the full range of TaxInfo documents.
- From the instructions entry page, you can launch the TaxInfo PDF document that pertains to the event.

All TaxInfo documents are in PDF format. In these documents, you can find:

- Beneficial owner definitions under various tax treaties,
- Tax rates for different investor types, and
- Documentation requirements.

You can also find links to the websites of foreign taxing authorities.

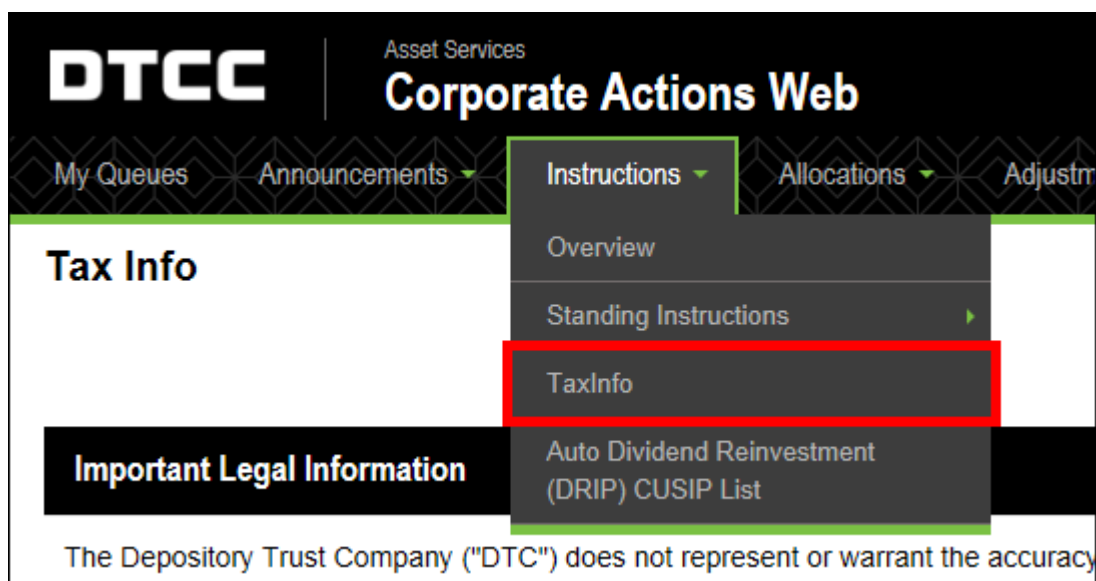
The information is compiled from various sources, including tax treaties, international taxing authorities, issuers, paying agents, and international accounting and law firms.

Offered in conjunction with DTC's Foreign Tax Relief service, the TaxInfo repository can provide a convenient way to look up country of investor withholding rates prior to making an instruction.

When using TaxInfo, please take a moment to read the Important Legal Information on the main TaxInfo landing page.

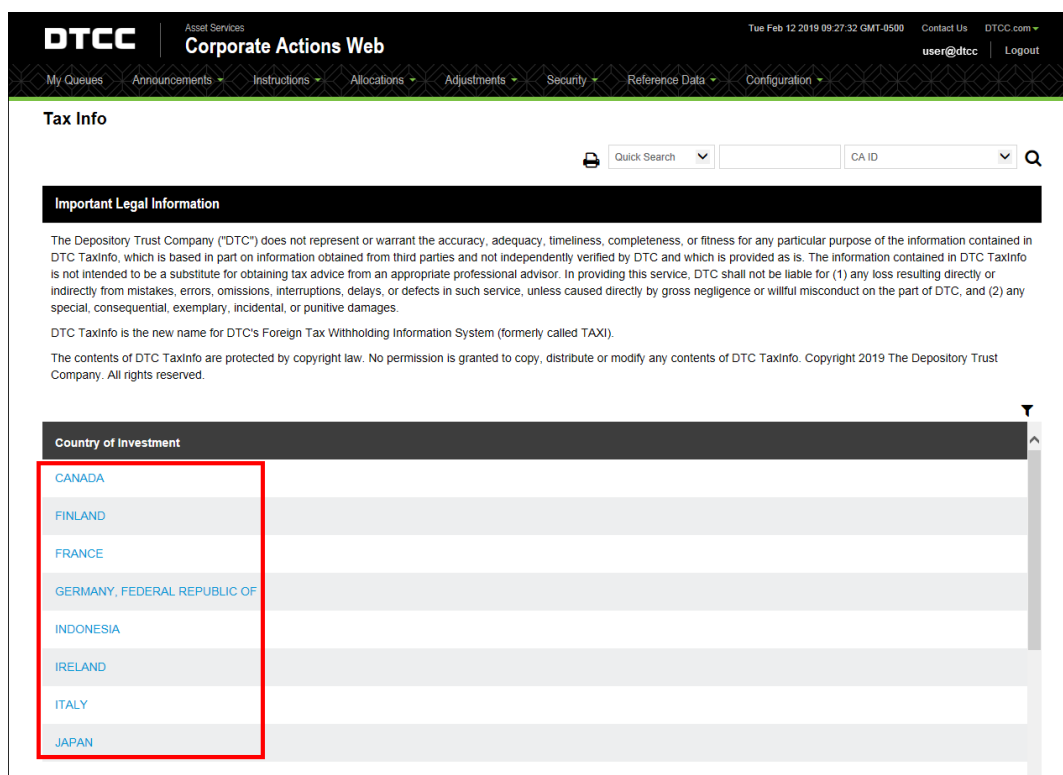
## Viewing TaxInfo Information

1. From the CA Web menu bar, click **Instructions > TaxInfo**.



This brings you to the TaxInfo page.

2. Click the name of the country for which you want to view the tax information.

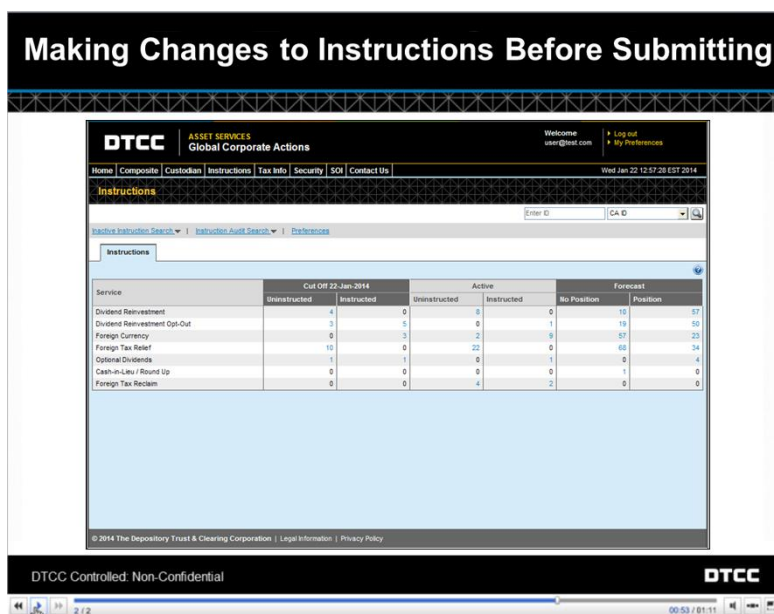


## Submitter Information

### Making Changes before Submitting

**Please note:**

This is the transcript of an animated Help topic. To play the topic, refer to the topic of the same name in the online Help.



You can make changes to any instruction up until the event's cutoff. This includes items in the Active column, as well as items in the Cutoff column up until the actual cutoff time. When you're using the CA Browser to make these changes, the cutoff time for most events will be 8:00 p.m.

**Please note:**

if your firm submits automated instructions to DTC via ISO 20022 messaging, and subsequently uses the Corporate Actions Browser to instruct DTC on a particular event, DTC will not accept any further ISO 20022 instructions for that event.

Search for the event using the CA ID, or click on a record count to navigate to the instructions you want to edit.

Enter any changes to your instruction quantities.

For optional dividends, please note that all instruction quantities must be equal to the record date position for this event.

For Foreign Currency, Foreign TaxRelief including Reclaims, and DRiP including Opt-outs, you are automatically rebalanced to the default option.

Click **Continue**.

Please note that if the instruction contains supplemental information such as beneficial owner, wire instructions, or tax exempt control, you will be prompted to update this information to account for the new quantities you just entered.

Click **Continue** when you are done.

When you're done entering your instruction information, enter your Submitter Information for the audit trail and click **Submit Election**.

A green "success" message appears at the top, indicating that the edited information was saved to the browser.

The audit trail for this event is detailed at the bottom of the page.

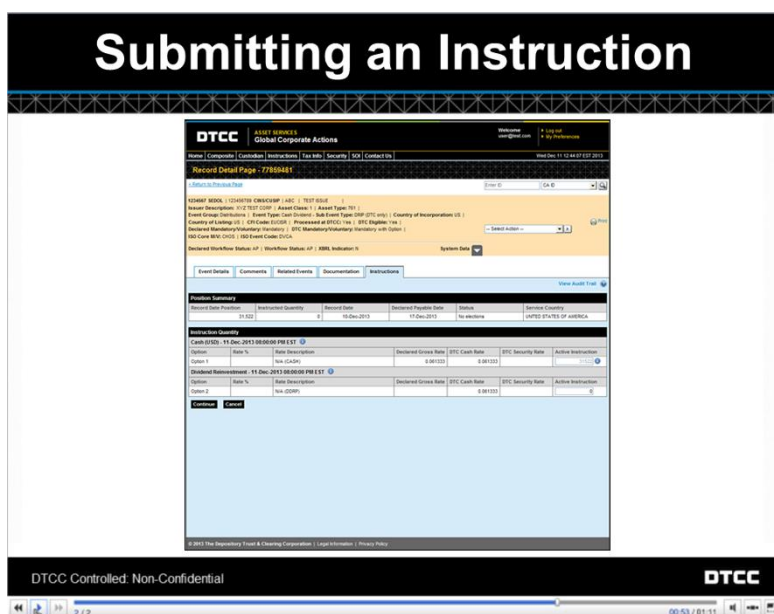
### **Related Information**

- [How to Submit an Instruction](#)

## Submitting an Instruction

### Please note:

This is the transcript of an animated Help topic. To play the topic, refer to the topic of the same name in the online Help.



After you have finished entering your instructions on an event, click **Continue** at the bottom of the page.

Under **Submitter Information**, you must type your name and phone number in order to proceed. This is necessary to augment the audit trail in case DTC needs to contact the submitter of these instructions.

Type your name.

When you type your phone number, use numbers only-don't include any dashes.

Click **Submit Election**.

After you successfully submit an instruction, you will see a green message at the top of the page. At the bottom, you will see the audit trail information for the instruction you just submitted.

### Related Information

- [How to Submit an Instruction](#)

## Aggregating Instructions Views

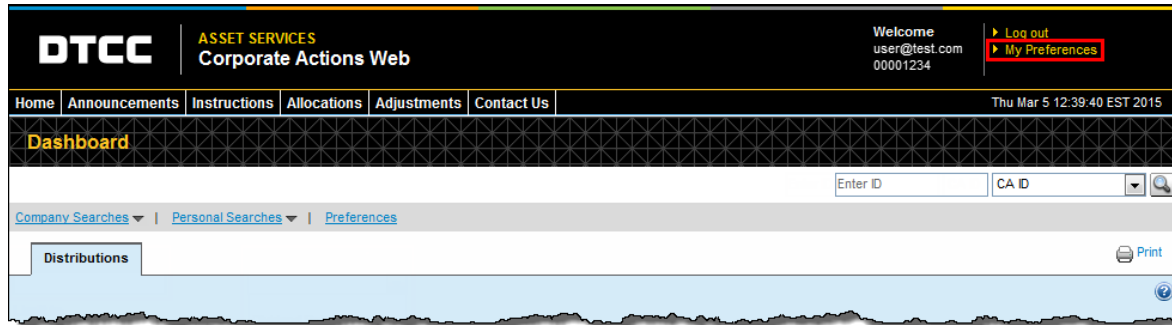
### Introduction to Instructions Aggregation

If you have multiple DTC participant account numbers linked to your User ID and use the Instructions functionality to process Elective Dividend events, you can choose to aggregate the results on your Instructions Overview page. This allows you to:

- See a combined view of all your accounts on the Instructions Overview page,
- View uninstructed/instructed counts by entering an individual account number in the **Client ID** field (located at the top right of the Overview page),
- Click on a count to obtain a search results list, and
- Select a CA ID to obtain the Client Selection List. There, all accounts linked to the User ID will be available for viewing, printing, or exporting to Excel.

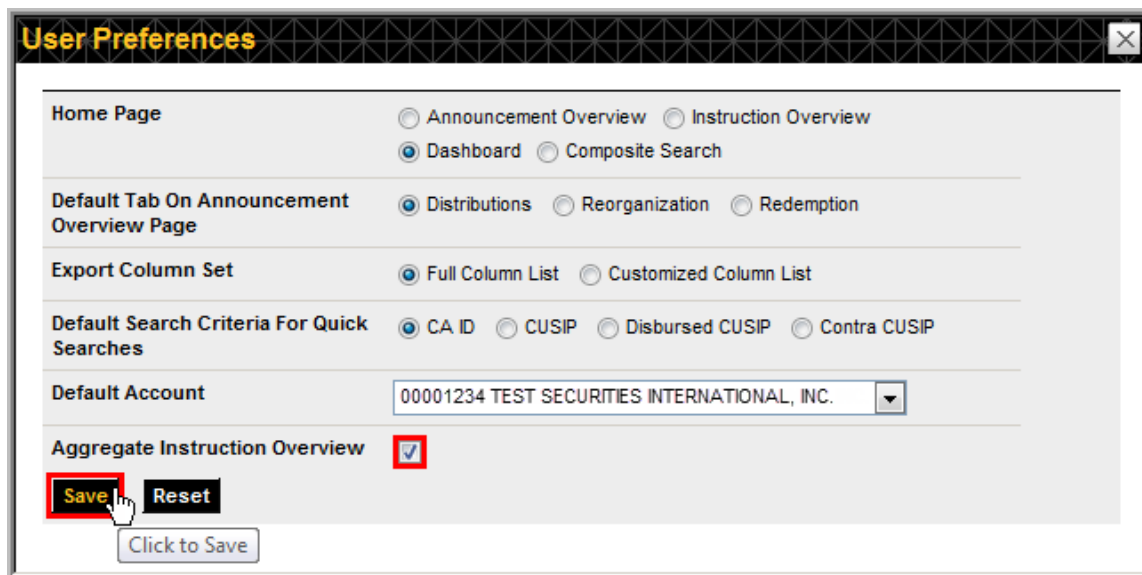
## Aggregating Results on the Instructions Overview Page

1. Click the **My Preferences** link in the top right corner of any page in CA Web.



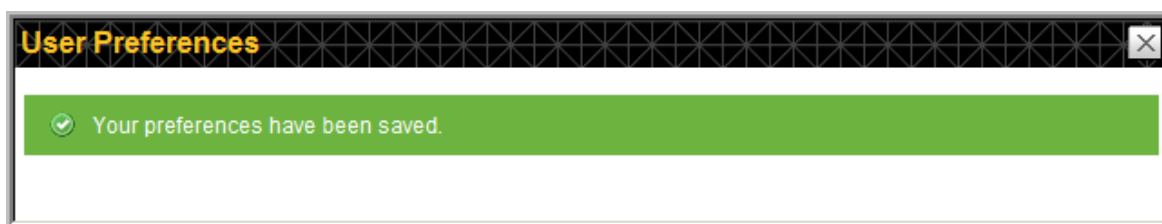
The User Preferences dialog box appears.

2. Click the **Aggregate Instruction Overview** check box.



3. Click **Save**.

A **User Preferences** message informs you that your client aggregation was successful.



Your aggregated results will now appear on your Instructions Overview and Instructions tab pages.

## How Aggregation Looks/How to Use It

- Before you combine the view on the Instructions Overview page, it looks like this:

DTCC

ASSET SERVICES  
Corporate Actions Web

Welcome  
user@test.com  
00001234

[Log out](#)  
[My Preferences](#)  
[Switch Account](#)

[Home](#) | [Announcements](#) | [Instructions](#) | [Allocations](#) | [Adjustments](#) | [Contact Us](#)

Tue Apr 21 09:50:31 EDT 2015

Instructions Overview

Enter ID

CA ID

[Inactive Instruction Search](#) | [Instruction Audit Search](#) | [Preferences](#)

Distributions

Print

| Service                       | Cut Off 21-Apr-2015 |            | Active       |            | Forecast    |          |
|-------------------------------|---------------------|------------|--------------|------------|-------------|----------|
|                               | Uninstructed        | Instructed | Uninstructed | Instructed | No Position | Position |
| Dividend Reinvestment         | 1                   | 0          | 0            | 0          | 3419        | 7        |
| Dividend Reinvestment Opt-Out | 3                   | 0          | 2            | 0          | 62          | 8        |
| Foreign Currency              | 1                   | 0          | 3            | 0          | 285         | 3        |
| Foreign Tax Relief            | 1                   | 0          | 5            | 0          | 36          | 13       |
| Optional Dividends            | 0                   | 0          | 1            | 0          | 0           | 1        |
| Cash-in-Lieu / Round Up       | 0                   | 0          | 0            | 0          | 0           | 0        |
| Foreign Tax Reclaim           | 0                   | 0          | 0            | 0          | 0           | 0        |

\* For events that offer multiple services, the instructed / uninstructed count will apply only to the individual service offered that has had instructions placed upon it.

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- There are separate sub-columns for **Uninstructed** and **Instructed** items within the **Cut Off Today**, **Active**, and **Forecast** columns.
- The items in each count refer to the specific account linked to your User ID.

2. After you combine the view, the Instructions Overview page looks like this:

The screenshot shows the DTCC Asset Services Corporate Actions Web interface. The top navigation bar includes links for Home, Announcements, Instructions, Allocations, Adjustments, and Contact Us. The main heading is "Instructions Overview". Below this, there are search filters for "Inactive Instruction Search", "Instruction Audit Search", and "Preferences". A "Distributions" tab is active. A search bar contains "Client ID: 00002199" and a "Search" button. The main table displays the following data:

| Service                       | Cut Off 21-Apr-2015 | Active | Forecast |
|-------------------------------|---------------------|--------|----------|
| Dividend Reinvestment         | 3                   | 0      | 3        |
| Dividend Reinvestment Opt-Out | 5                   | 2      | 70       |
| Foreign Currency              | 2                   | 7      | 288      |
| Foreign Tax Relief            | 2                   | 11     | 49       |
| Optional Dividends            | 0                   | 1      | 1        |
| Cash-in-Lieu / Round Up       | 0                   | 0      | 0        |
| Foreign Tax Reclaim           | 0                   | 0      | 0        |
| Direct Payment Service        | 0                   | 0      | 2        |

Annotations in the image: 'a' points to the Service column, 'b' points to the Active column, 'c' points to the Client ID field, and 'd' points to the count '5' in the Cut Off column for Dividend Reinvestment Opt-Out.

- The count in each column represents all events, including instructed and uninstructed items.
- The event counts in the **Cut Off Today**, **Active**, and **Forecast** columns will be the sum of the counts for all accounts linked to your User ID.
- To view the Instructions Overview page as one of your clients, enter the client's User ID in the **Client ID** field and click **Search**. Your view of your client's page will look like example (1) above. Please note that you must enter enough leading zeroes to make the Client ID an eight-digit number. For example, for client "2199," you would enter "00002199."
- Click an event count to view the list of separate events that comprise that count.



3. After clicking on an event count, click a **CA ID** to view a list of accounts that are able to place an instruction upon the event.

**DTCC** | ASSET SERVICES | Corporate Actions Web

Welcome user@test.com 00001234 | Log out | My Preferences | Switch Account

Home | Announcements | Instructions | Allocations | Adjustments | Contact Us | Tue Apr 21 10:01:51 EDT 2015

**Instructions Dividend Reinvestment Opt-Out - Cut Off Today Search Results**

< Return to Previous Page | Enter ID | CA ID

Results

Displaying 1 to 5 of 5 items | Export to Excel | Print | Page 1 of 1

| CA ID     | Service Country Code | CUSIP     | Event Type | Sub Event Type | Record Date | Payable Date | DTC Expiration Date/Time |
|-----------|----------------------|-----------|------------|----------------|-------------|--------------|--------------------------|
| 91372033  | US                   | 86164T107 | CD         | OPTD           | 20-Apr-2015 | 30-Apr-2015  | 21-Apr-2015 08:00:00 PM  |
| 502377193 | US                   | 44045A102 | CD         | OPTD           | 20-Apr-2015 | 15-May-2015  | 21-Apr-2015 08:00:00 PM  |
| 502938017 | US                   | 19248Y107 | CD         | OPTD           | 16-Apr-2015 | 28-Apr-2015  | 21-Apr-2015 08:00:00 PM  |
| 502938020 | US                   | 112792106 | CD         | OPTD           | 16-Apr-2015 | 26-Apr-2015  | 21-Apr-2015 08:00:00 PM  |
| 502997873 | US                   | 11272P102 | CGD        | OPTD           | 20-Apr-2015 | 24-Apr-2015  | 21-Apr-2015 08:00:00 PM  |

Displaying 1 to 5 of 5 items | Export to Excel | Print | Page 1 of 1

**Filter Search Criteria**

CUSIP

Search | Reset

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4.
  - a. Click a client name to see the Instructions tab for this event as it relates to that particular account.
  - b. Click **Export to Excel** to export a summation of all instruction details found on the instruction input page for each of the listed clients.

**DTCC** | ASSET SERVICES | Corporate Actions Web

Welcome user@test.com 00001234 | Log out | My Preferences | Switch Account

Home | Announcements | Instructions | Allocations | Adjustments | Contact Us | Tue Apr 21 10:00:01 EDT 2015

**Record Detail Page - 91372033**

< Return to Previous Page | Enter ID | CA ID

B59GMT6 SEDOL | 86164T107 CINS/CUSIP | EDF | STONE HARBOR EMERGING MARKETS INCOME FUND - COMMON SHARES | Issuer Description: STONE HBR EMERGING MKTS INCOMEFD | Asset Class: 1 | Asset Type: 761 | Event Group: Distributions | Event Type: Cash Dividend - Sub Event Type: Opt Out (DTC only) | Country of Incorporation: US | Country of Listing: US | CFI Code: MMFXXX | Processed at DTCC: Yes | DTC Eligible: Yes | Declared Mandatory/Voluntary: Mandatory | DTC Mandatory/Voluntary: Mandatory with Option | ISO Core M/V: CHOS | ISO Event Code: DVCA

Declared Workflow Status: AP | Workflow Status: CA | XBRL Indicator: N | System Data

Event Details | Comments | Related Events | Documentation | Entitlements | Instructions

Go To Client 00001260

**Client Selection List**

Displaying 1 to 2 of 2 items | Export to Excel | Print | Page 1 of 1

| Client                         | Record Date Position | Audit Trail |
|--------------------------------|----------------------|-------------|
| 00002199 - Best Test Client    | 20,486               | View        |
| 00001250 - Super Sample Client | 39,593               | View        |

Displaying 1 to 2 of 2 items | Export to Excel | Print | Page 1 of 1

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5. The Instructions tab for this event **(a)** opens for this account **(b)**. Here, you can place an instruction upon this account **(c)**.  
Click **Continue** **(d)** to add a submitter name and phone number and save the instruction.

**ASSET SERVICES**  
**Corporate Actions Web**

Welcome  
user@test.com  
00001234

Log out  
My Preferences  
Switch Account

Home | **Announcements** | **Instructions** | Allocations | Adjustments | Contact Us

Tue Apr 21 10:00:01 EDT 2015

**Record Detail Page - 91372033**

[< Return to Previous Page](#)

B59GMT6 SEDOL | 86164T107 CINS/CUSIP | EDF | STONE HARBOR EMERGING MARKETS INCOME FUND - COMMON SHARES |  
**Issuer Description:** STONE HBR EMERGING MKTS INCOMEFD | **Asset Class:** 1 | **Asset Type:** 761 | **Event Group:** Distributions |  
**Event Type:** Cash Dividend - Sub Event Type: Opt Out (DTC only) | **Country of Incorporation:** US | **Country of Listing:** US |  
**CFI Code:** MMFXXX | **Processed at DTCC:** Yes | **DTC Eligible:** Yes | **Declared Mandatory/Voluntary:** Mandatory |  
**DTC Mandatory/Voluntary:** Mandatory with Option | **ISO Core M/V:** CHDS | **ISO Event Code:** DVCA

-- Select Action --

Print

Declared Workflow Status: AP | Workflow Status: CA | XBRL Indicator: N

System Data

Event Details | Comments | Related Events | Documentation | Entitlements | **Instructions (a)**

[View Special Instructions](#) | [View Audit Trail](#)

**Position Summary - 00002199 - Best Test Client (b)**

| Record Date Position | Instructed Quantity | Record Date | Declared Payable Date | Status          | Service Country          |
|----------------------|---------------------|-------------|-----------------------|-----------------|--------------------------|
| 20,486               | 0                   | 20-Apr-2015 | 30-Apr-2015           | No instructions | UNITED STATES OF AMERICA |

**Instruction Quantity**

**Cash (USD) - 21-Apr-2015 08:00:00 PM EST**

| Option   | Rate % | Rate Description | Declared Gross Rate | DTC Cash Rate | DTC Security Rate | Active Instruction |
|----------|--------|------------------|---------------------|---------------|-------------------|--------------------|
| Option 1 |        | N/A (CASH)       | 0.18                | 0.18          |                   | 486                |

**DRP Opt-out - 21-Apr-2015 08:00:00 PM EST**

| Option   | Rate % | Rate Description | Declared Gross Rate | DTC Cash Rate | DTC Security Rate | Active Instruction |
|----------|--------|------------------|---------------------|---------------|-------------------|--------------------|
| Option 2 |        | N/A (DRP)        |                     | 0.18          |                   | 20000              |

Continue (d) | Back | Cancel

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6. After an instruction has been placed, you will see a Success message at the top of the page **(a)** and an instruction audit trail at the bottom of the page **(b)**.  
Click **Continue** **(c)** to return to your client list.

**ASSET SERVICES**  
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Home | Announcements | Instructions | Allocations | Adjustments | SOT | Contact Us

Tue Apr 21 16:19:23 EDT 2015

**Record Detail Page - 91372033**

[Return to Previous Page](#)

**B59GMT6 SEDOL** | 86164T107 CINS/CUSIP | EDF | STONE HARBOR EMERGING MARKETS INCOME FUND - COMMON SHARES |  
**Issuer Description:** STONE HBR EMERGING MKTS INCOMEFD | **Asset Class:** 1 | **Asset Type:** 761 | **Event Group:** Distributions |  
**Event Type:** Cash Dividend - Sub Event Type: Opt Out (DTC only) | **Country of Incorporation:** US | **Country of Listing:** US |  
**CFI Code:** MMFXXX | **Processed at DTCC:** Yes | **DTC Eligible:** Yes | **Declared Mandatory/Voluntary:** Mandatory |  
**DTC Mandatory/Voluntary:** Mandatory with Option | **ISO Core M/V:** CHOS | **ISO Event Code:** DVCA

-- Select Action --

**Declared Workflow Status:** AP | **Workflow Status:** CA | **XBRL Indicator:** N

System Data

Event Details | Comments | Related Events | Documentation | Entitlements | **Instructions**

✔ Your instructions have been saved successfully. **(a)**

[View Special Instructions](#) [View Audit Trail](#)

**Position Summary - 00002199 - Best Test Client**

| Record Date Position | Instructed Quantity | Record Date | Declared Payable Date | Status | Service Country          |
|----------------------|---------------------|-------------|-----------------------|--------|--------------------------|
| 20,486               | 20,486              | 20-Apr-2015 | 30-Apr-2015           | Active | UNITED STATES OF AMERICA |

**Instruction Quantity**

**Cash (USD) - 21-Apr-2015 08:00:00 PM EST**

| Option   | Rate % | Rate Description | Declared Gross Rate | DTC Cash Rate | DTC Security Rate | Active Instruction |
|----------|--------|------------------|---------------------|---------------|-------------------|--------------------|
| Option 1 |        | N/A (CASH)       | 0.18                | 0.18          |                   | 486                |

**DRP Opt-out - 21-Apr-2015 08:00:00 PM EST**

| Option   | Rate % | Rate Description | Declared Gross Rate | DTC Cash Rate | DTC Security Rate | Active Instruction |
|----------|--------|------------------|---------------------|---------------|-------------------|--------------------|
| Option 2 |        | N/A (DRP)        |                     | 0.18          |                   | 20,000             |

**Audit Trail** **(b)**

Displaying 1 to 2 of 2 items

Page 1 of 1

| Activity Timestamp      | Activity Type        | Option Number | Option Type | Record Date | Rate | Instruction Quantity |
|-------------------------|----------------------|---------------|-------------|-------------|------|----------------------|
| 21-Apr-2015 04:24:20 PM | Inserted instruction | 1             | Cash        | 20-Apr-2015 |      | 486                  |
| 21-Apr-2015 04:24:20 PM | Inserted instruction | 2             | DRIP DTC    | 20-Apr-2015 |      | 20,000               |

Displaying 1 to 2 of 2 items

Page 1 of 1

Continue **(c)**

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## Aggregation Notes

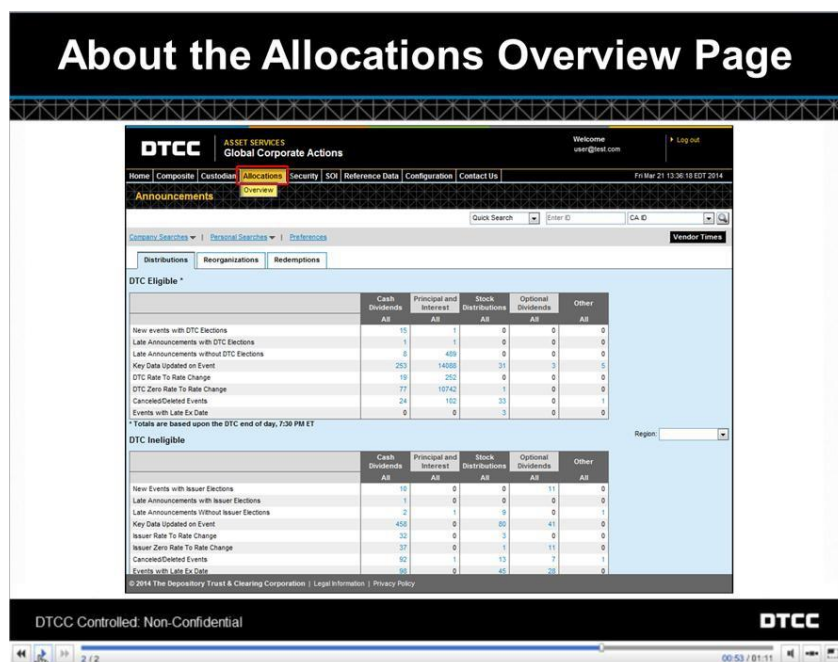
- Aggregation is currently only applicable to the Instructions Overview and Instructions Client Selection List pages. At this time, it will not apply to any Allocations, Entitlements, or Adjustments pages.
- Aggregation will not be applied automatically. You must aggregate your Instructions views using the **My Preferences** functionality.
- If you have aggregated your Instructions view and subsequently visit the Instructions Overview page, you must input an account number to see the breakdown of instructed events vs. uninstructed events. Otherwise, you will see counts for all events.
- If you choose to aggregate your Instructions views, you will see all the Participant accounts linked to your User ID.
- If you do not have multiple account numbers linked to your User ID, or if you do not choose to aggregate your Instructions Overview information, you will only see the account information for the specific account linked to your User ID.

# Entitlements & Allocations

## About the Allocations Overview Page

### Please note:

This is the transcript of an animated Help topic. To play the topic, refer to the topic of the same name in the online Help.



The Allocations Overview page provides you with the ability to see all of your allocations information in one place, across distribution types and for a range of fourteen business days.

To get to the Allocations Overview page from anywhere in the Corporate Actions browser, mouse over the **Allocations** button on the menu bar. Then, click **Overview**.

This is the Allocations Overview page. Right now, you can view all of your distributions payment information from this one gateway page.

You'll notice that there are four different twistys, each representing a different entitlement type. You have:

- **Cash (USD)**,
- **MMI**, for your interest payments on Money Market Instruments,
- **Stock**, for all of your security allocations, stock spinoffs, stock splits, rights distributions, etc., and
- **Cash (CDN)** for customers who participate in the Canadian Link Service.

You'll see these same entitlement types in all browser views, and **Cash (USD)** will always be in the open position.

If you want to view the others, you can either click on **Expand All** to open them or just click on each individual twisty. **Collapse All** will close all entitlement type tables.

At any time, you can print the information that you see on this page. Right-click anywhere on the page, then click **Print...** on the menu that appears. All open entitlement types will be printed.

Note the event types under the **Cash** twisty. This version of CA Web handles Distribution event types, so those are what you'll see listed here.

You then have a series of five columns, each one containing two sub-columns.

The first column, Total Due, shows you the amount in U.S. dollars that is due, and a breakdown of the events that comprise that total. For all of the **Cash** items, the total due is the sum of the **Unallocated** and **Allocated** items. Adjustments such as repos, loans, and fails are not counted in this total. It also doesn't include any projected items.

Moving to the **MMI** twisty, you can see that it works the same way as **Cash (USD)**. Typically, the event type here will be "Interest." Adjustments here are possible, but not typical.

Here in the **Stock** twisty, you can see that there are no dollar amounts—just event counts. This is where you will see your stock payouts. Just like we saw with Cash (USD), the **Total Due** is the total of the unallocated and allocated events. Adjustments are common for Stock events, but these counts are still not included in the Total Due.

Stock events can also have some cash components, as is often the case with dividend reinvestments and cash-in-lieu payments. In these cases, the event may appear in both the **Cash (USD)** and **Stock** tables.

Click on any event count to view the Search Results page for that distribution payout.

## Distribution and Event Types

When you open the Allocations Overview page, your events are categorized by **Distribution Type**. These are:

- **Cash (USD),**
- **MMI,**
- **Stock,** and
- **Cash (CAD).**

Under each of the four major distribution types, you have a list of event types:

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**Global Corporate Actions**

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Mon Mar 17 13:18:15 EDT 2014

**Allocations**

Quick Search Enter ID CA ID

Last Updated 17-Mar-2014 01:06:21 PM

Distributions

Expand All Collapse All  
Show Previous 7 Days History

Distributions for Today - 17-Mar-2014 Show 7 Day Distributions Forecast

**Cash(USD)**

| Event Type           | Total Due            |            | Unallocated         |            | Allocated            |            | Projected Adjustments |           | Actual Adjustments |           |
|----------------------|----------------------|------------|---------------------|------------|----------------------|------------|-----------------------|-----------|--------------------|-----------|
|                      | Amount               | Events     | Amount              | Events     | Amount               | Events     | Amount                | Events    | Amount             | Events    |
| Cash Dividend        | 7,234,187.88         | 288        | 1,034,429.96        | 112        | 6,199,757.92         | 176        | -145,478.21           | 64        | -247,847.93        | 12        |
| Dividend with Option | 0.00                 | 1          | 0.00                | 1          | 0.00                 | 0          | 0.00                  | 0         | 0.00               | 0         |
| Interest             | 12,522,573.64        | 329        | 2,231,202.76        | 65         | 10,291,370.88        | 264        | -277,090.33           | 19        | 23,887.27          | 33        |
| Principal            | 307,866.20           | 3          | 292,307.77          | 2          | 15,558.43            | 1          | -7.55                 | 3         | -10,120.04         | 3         |
| Special Dividend     | 770,216.59           | 3          | 350.79              | 1          | 769,865.80           | 2          | -20,775.58            | 2         | 0.00               | 0         |
| Stock Dividend       | 0.00                 | 0          | 0.00                | 0          | 0.00                 | 0          | 0.00                  | 1         | 0.00               | 0         |
| Tax Refund           | 0.00                 | 9          | 0.00                | 9          | 0.00                 | 0          | 0.00                  | 2         | 0.00               | 0         |
| <b>Total</b>         | <b>20,834,844.31</b> | <b>633</b> | <b>3,558,291.28</b> | <b>190</b> | <b>17,276,553.03</b> | <b>443</b> | <b>-443,351.67</b>    | <b>91</b> | <b>-234,080.70</b> | <b>48</b> |

**MMI**

| Event Type   | Total Due         |           | Unallocated |          | Allocated         |           | Projected Adjustments |          | Actual Adjustments |          |
|--------------|-------------------|-----------|-------------|----------|-------------------|-----------|-----------------------|----------|--------------------|----------|
|              | Amount            | Events    | Amount      | Events   | Amount            | Events    | Amount                | Events   | Amount             | Events   |
| Interest     | 153,360.38        | 42        | 0.00        | 0        | 153,360.38        | 42        | -3,375,000.00         | 1        | 0.00               | 0        |
| <b>Total</b> | <b>153,360.38</b> | <b>42</b> | <b>0.00</b> | <b>0</b> | <b>153,360.38</b> | <b>42</b> | <b>-3,375,000.00</b>  | <b>1</b> | <b>0.00</b>        | <b>0</b> |

**Stock**

| Event Type          | Total Due | Unallocated | Allocated | Projected Adjustments | Actual Adjustments |
|---------------------|-----------|-------------|-----------|-----------------------|--------------------|
|                     | Events    | Events      | Events    | Events                | Events             |
| Rights Distribution | 2         | 2           | 0         | 1                     | 0                  |
| Stock Split         | 1         | 1           | 0         | 0                     | 0                  |
| <b>Total</b>        | <b>3</b>  | <b>3</b>    | <b>0</b>  | <b>1</b>              | <b>0</b>           |

**Cash(CAD)**

There is no data to display.

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This list varies based on activity: if there is no activity at all for a distribution type (such as for **Cash (CAD)** in the above example), no table will be displayed.

Within a distribution type, if there is no activity for a particular event type, that event type will not be displayed in the table. For example, there is no “Payment in Kind” row in the **Stock** table above, meaning that this participant had no events with “Payment in Kind” as a stock distribution.

Across all distribution types, events will only appear in these tables if they:

- Are anticipated to be allocated,
- Have already been allocated,
- Are anticipated to be adjusted, or
- Have already been adjusted.

From each event type, individual events are viewable via a number of categories, including date, allocated/unallocated, projected, adjustments, etc.

The specific rules for event types under each distribution type include:

|                   |  |
|-------------------|--|
| <b>Cash (USD)</b> | Only non-MMI product types and non-Canadian currency distribution event types with at least one cash option and one cash payout will appear in this column.  |
| <b>MMI</b>        | The only items appearing in this column are: <ul style="list-style-type: none"> <li>• MMI sub-issue types (also known as “product types”) paying cash and</li> <li>• Non-CAD currency distribution event types with at least one cash option and one cash payout.</li> </ul> |
| <b>Stock</b>      | The only items appearing in this column are stock distribution event types with at least one security option and one security payout.  |
| <b>Cash (CAD)</b> | The only items appearing in this column are cash distributions events being allocated in Canadian dollars (CAD) with at least one cash option and one cash payout.   |

Please note that for stock distribution events paying cash-in-lieu, the item will appear in the **Cash (USD)** section as an event type.

Similarly, for cash distribution events paying dividend reinvestments, the item will appear as an event in the **Stock** section in addition to the **Cash (USD)** section.



## Allocations Page: Viewing Events

### Please note:

This is the transcript of an animated Help topic. To play the topic, refer to the topic of the same name in the online Help.

**Allocations Page: Viewing Events**

DTCC ASSET SERVICES Global Corporate Actions

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Home Composite Custodian Allocations Security SOI Reference Data Configuration Contact Us

Wed Feb 26 10:48:39 EST 2014

Allocations

Last Updated 26-Feb-2014 11:04:17 AM

Distributions

Expand All Collapse All Show Previous 7 Days History

Distributions for Today - 26-Feb-2014 Show 7 Day Distributions Forecast

Cash(USD)

| Event Type           | Total Due         |            | Unallocated       |           | Allocated        |           | Projected Adjustments |           | Actual Adjustments |          |
|----------------------|-------------------|------------|-------------------|-----------|------------------|-----------|-----------------------|-----------|--------------------|----------|
|                      | Amount            | Events     | Amount            | Events    | Amount           | Events    | Amount                | Events    | Amount             | Events   |
| Cash Dividend        | 648,026.07        | 60         | 635,271.51        | 50        | 10,754.56        | 9         | -13,181.77            | 60        | 0.00               | 0        |
| Dividend with Option | 0.00              | 1          | 0.00              | 1         | 0.00             | 0         | 0.00                  | 0         | 4.95               | 1        |
| Interest             | 242,100.28        | 17         | 238,326.59        | 11        | 3,773.69         | 6         | 278,143.21            | 23        | 25,102.28          | 5        |
| Principal            | 2,022.24          | 3          | 2,022.24          | 3         | 0.00             | 0         | 487,132.57            | 12        | 247,981.72         | 3        |
| Special Dividend     | 120.00            | 1          | 120.00            | 1         | 0.00             | 0         | 0.00                  | 1         | 0.00               | 0        |
| Stock Dividend       | 0.00              | 0          | 0.00              | 0         | 0.00             | 0         | 0.00                  | 1         | 0.00               | 0        |
| Tax Refund           | 0.00              | 13         | 0.00              | 13        | 0.00             | 0         | 0.00                  | 2         | 0.00               | 0        |
| <b>Total</b>         | <b>890,268.99</b> | <b>100</b> | <b>875,740.34</b> | <b>88</b> | <b>14,528.25</b> | <b>15</b> | <b>752,094.81</b>     | <b>99</b> | <b>287,186.95</b>  | <b>9</b> |

Print

Stock

Cash(CAD)

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To view an individual event, look at the Allocations overview page. Events are divided by entitlement type and then by event type. Click the twisty next to each entitlement type to view all of the available event types. Click **Expand All** to open all of the entitlement type tables and **Collapse All** to close all of them.

Within these categories, the events are broken out by status:

- **Total Due**, which is the total of both allocated and unallocated,
- **Unallocated**,
- **Allocated**,
- **Projected Adjustments**, and
- **Actual Adjustments**.

Click on the record count in any **Events** column. The Allocations list appears for all events of that type and status. This page displays up to 3000 results. You can sort these results by clicking on any of the column headings.

Note that you can export these results to Excel by clicking on the **Export to Excel** link.

You can also print them by clicking on the **Print** icon.

When you export your results to Excel, you will export all results. In other words, if you have more than 3000 results, you will export all of them—not just the ones that appear on the page. When you print your results, however, you will only print the results that appear on the page.

Click any Corporate Actions ID number to view that event. The Record Detail page appears in that browser window, displaying the **Entitlements** tab.

Click on any other tab to view additional information about this event. For example, if you click on the **Event Details** tab, you will see that the options and payouts directly correlate to the entitlements shown here.

## Exporting Allocations Search Results to Excel

### Please note:

This is the transcript of an animated Help topic. To play the topic, refer to the topic of the same name in the online Help.

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Wed Mar 5 12:40:23 EST 2014

**Allocations-Cash(USD)-Total Due-Cash Dividend-05-Mar-2014-Search Results**

Quick Search | Enter ID | CA ID

Displaying 1 to 20 of 65 items | Export to Excel | Print | Page 1 of 4

| CA ID    | CUSIP     | Event Type           | Record Date | Payable Date | Position  | Total Due  |
|----------|-----------|----------------------|-------------|--------------|-----------|------------|
| 79443388 | 261932206 | Cash Dividend        | 04-Mar-2014 | 05-Mar-2014  | 116       | 37.12      |
| 79443384 | 314239204 | Cash Dividend        | 04-Mar-2014 | 05-Mar-2014  | 405       | 105.30     |
| 79443426 | 722073001 | Cash Dividend        | 04-Mar-2014 | 05-Mar-2014  | 221       | 70.72      |
| 79443422 | 722019207 | Cash Dividend        | 04-Mar-2014 | 05-Mar-2014  | 303       | 1,990.71   |
| 79443423 | 722012303 | Cash Dividend        | 04-Mar-2014 | 05-Mar-2014  | 457       | 3,302.49   |
| 79443424 | 722014305 | Cash Dividend        | 04-Mar-2014 | 05-Mar-2014  | 131       | 49.78      |
| 78711261 | 690477106 | Cash Dividend        | 20-Feb-2014 | 05-Mar-2014  | 1,826     | 146.08     |
| 80996190 | 436892000 | Cash Dividend        | 12-Feb-2014 | 05-Mar-2014  | 2,203     | 165.23     |
| 81914146 | 355470100 | Cash Dividend        | 05-Feb-2014 | 05-Mar-2014  | 26        | 11.97      |
| 81933664 | 429060106 | Cash Dividend / DRD  | 15-Feb-2014 | 05-Mar-2014  | 60        | 12.00      |
| 81930977 | 802819808 | Cash Dividend        | 18-Feb-2014 | 05-Mar-2014  | 5,337     | 1,334.25   |
| 81232643 | 423273300 | Cash Dividend        | 18-Feb-2014 | 05-Mar-2014  | 71        | 5.66       |
| 81240933 | 057755100 | Cash Dividend        | 19-Feb-2014 | 05-Mar-2014  | 72        | 18.00      |
| 81240934 | 057755209 | Cash Dividend        | 19-Feb-2014 | 05-Mar-2014  | 37        | 9.26       |
| 81241001 | 005698106 | Cash Dividend        | 19-Feb-2014 | 05-Mar-2014  | 1,025,121 | 112,763.31 |
| 81237726 | 833551104 | Cash Dividend        | 26-Feb-2014 | 05-Mar-2014  | 2,436     | 269.76     |
| 81380405 | 892144102 | Cash Dividend        | 24-Feb-2014 | 05-Mar-2014  | 7,969     | 1,259.04   |
| 78232696 | 440454102 | Cash Dividend / OPTD | 20-Jan-2014 | 17-Feb-2014  | 1,562     | 0.00       |
| 78443349 | 018547307 | Cash Dividend        | 04-Mar-2014 | 05-Mar-2014  | 303       | 96.96      |
| 79443253 | 018649302 | Cash Dividend        | 04-Mar-2014 | 05-Mar-2014  | 270       | 86.40      |

Displaying 1 to 20 of 65 items | Export to Excel | Print | Page 1 of 4

Filter Search Criteria

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**DTCC**

The Allocations search results page displays all events of a particular type and status, up to 3000 results. These results are shown 20 at a time. Click the forward and back buttons to move through the pages, or type a page number in this field and press Enter.

You can sort these results by clicking on any of the column headings.

Note that you can export these results to Excel by clicking on the **Export to Excel** link. You can also print them by clicking on the **Print** icon.

When you export your results to Excel, you will export all results. In other words, if you have more than 3000 results, you will export all of them—not just the ones that appear on the page. If you filter your search results by CUSIP and then export them, you will export the filtered results only. When you print your results, however, you will only print the results that appear on the page.

When you click on **Export to Excel**, you will be asked whether you want to open or save your file.

If you open the file in Excel, you'll see a basic spreadsheet that contains all of your results.

You can sort, save, or print this data as you would any Excel spreadsheet.

## Viewing a Seven-Day Distribution History

The Allocations Overview page provides you with a snapshot of your distributions as of today. You can also look at information for the next seven business days, as well as for the past seven business days.

To view your seven-day distribution history from anywhere in CA Web:

1. Click **Allocations > Overview** on the top menu bar.

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Home | Composite | Custodian | **Allocations** | Security | SOT | Reference Data | Configuration | Contact Us | Fri Mar 21 13:36:18 EDT 2014

Announcements | Overview

Quick Search | Enter ID | CA ID

Company Searches | Personal Searches | Preferences | Vendor Times

Distributions | Reorganizations | Redemptions

**DTC Eligible \***

|  | Cash Dividends | Principal and Interest | Stock Distributions | Optional Dividends | Other |
|--|----------------|------------------------|---------------------|--------------------|-------|
|  | All            | All                    | All                 | All                | All   |
| New events with DTC Elections            | 15             | 1                      | 0                   | 0                  | 0     |
| Late Announcements with DTC Elections    | 1              | 1                      | 0                   | 0                  | 0     |
| Late Announcements without DTC Elections | 8              | 489                    | 0                   | 0                  | 0     |
| Key Data Updated on Event                | 253            | 14088                  | 31                  | 3                  | 5     |
| DTC Rate To Rate Change                  | 19             | 252                    | 0                   | 0                  | 0     |
| DTC Zero Rate To Rate Change             | 77             | 10742                  | 1                   | 0                  | 0     |
| Canceled/Deleted Events                  | 24             | 102                    | 33                  | 0                  | 1     |
| Events with Late Ex Date                 | 0              | 0                      | 3                   | 0                  | 0     |

\* Totals are based upon the DTC end of day, 7:30 PM ET

**DTC Ineligible**

|   | Cash Dividends | Principal and Interest | Stock Distributions | Optional Dividends | Other |
|---|----------------|------------------------|---------------------|--------------------|-------|
|   | All            | All                    | All                 | All                | All   |
| New Events with Issuer Elections            | 10             | 0                      | 0                   | 11                 | 0     |
| Late Announcements with Issuer Elections    | 1              | 0                      | 0                   | 0                  | 0     |
| Late Announcements Without Issuer Elections | 2              | 1                      | 9                   | 0                  | 1     |
| Key Data Updated on Event                   | 458            | 0                      | 80                  | 41                 | 0     |
| Issuer Rate To Rate Change                  | 32             | 0                      | 3                   | 0                  | 0     |
| Issuer Zero Rate To Rate Change             | 37             | 0                      | 1                   | 11                 | 0     |
| Canceled/Deleted Events                     | 92             | 1                      | 13                  | 7                  | 1     |
| Events with Late Ex Date                    | 98             | 0                      | 45                  | 28                 | 0     |

Region: [Dropdown]

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This opens the Allocations Overview page.

2. Click **Show Previous 7 Days History**.

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Home Composite Custodian Allocations Security SOI Reference Data Configuration Contact Us Thu Mar 6 11:36:52 EST 2014

**Allocations**

Quick Search Enter ID CA ID

Last Updated 06-Mar-2014 11:32:02 AM

Distributions

Expand All Collapse All

Show Previous 7 Days History Distributions for Today - 06-Mar-2014 Show 7 Day Distributions Forecast

▼ Cash(USD)

| Event Type           | Total Due    |        | Unallocated |        | Allocated  |        | Projected Adjustments |        | Actual Adjustments |        |
|----------------------|--------------|--------|-------------|--------|------------|--------|-----------------------|--------|--------------------|--------|
|                      | Amount       | Events | Amount      | Events | Amount     | Events | Amount                | Events | Amount             | Events |
| Cash Dividend        | 814,462.88   | 80     | 644,136.86  | 70     | 170,326.02 | 10     | -240.54               | 54     | -493.22            | 3      |
| Dividend with Option | 0.00         | 1      | 0.00        | 1      | 0.00       | 0      | 0.00                  | 0      | 0.00               | 0      |
| Interest             | 221,388.80   | 13     | 220,558.36  | 8      | 830.44     | 5      | 86,817.35             | 12     | 0.00               | 0      |
| Principal            | 0.00         | 0      | 0.00        | 0      | 0.00       | 0      | 227,936.64            | 6      | 0.00               | 0      |
| Special Dividend     | 0.00         | 0      | 0.00        | 0      | 0.00       | 0      | 0.00                  | 1      | 0.00               | 0      |
| Stock Dividend       | 0.00         | 0      | 0.00        | 0      | 0.00       | 0      | 0.00                  | 1      | 0.00               | 0      |
| Tax Refund           | 0.00         | 9      | 0.00        | 9      | 0.00       | 0      | 0.00                  | 2      | 0.00               | 0      |
| Total                | 1,035,851.68 | 103    | 864,695.22  | 88     | 171,156.46 | 15     | 314,513.45            | 76     | -493.22            | 3      |

► MMI

► Stock

► Cash(CAD)

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The Allocations–Previous 7 Days History page appears.

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Home Composite Custodian Allocations Security SOI Reference Data Configuration Contact Us Thu Mar 6 11:36:52 EST 2014

**Allocations - Previous 7 Days History**

Quick Search Enter ID CA ID

Distributions

Expand All Collapse All

Show Previous 7 Days History Distributions for Today - 06-Mar-2014 Show 7 Day Distributions Forecast

▼ Cash(USD)

| Date       | Total Due     |        | Unallocated  |        | Allocated     |        | Projected Adjustments |        | Actual Adjustments |        |
|------------|---------------|--------|--------------|--------|---------------|--------|-----------------------|--------|--------------------|--------|
|            | Amount        | Events | Amount       | Events | Amount        | Events | Amount                | Events | Amount             | Events |
| 03/05/2014 | 1,142,607.30  | 152    | 220,092.50   | 50     | 922,514.80    | 102    | 0.00                  | 0      | 709,317.45         | 34     |
| 03/04/2014 | 3,278,696.10  | 126    | 252,967.23   | 51     | 3,025,728.87  | 75     | 0.00                  | 0      | -62,921.98         | 42     |
| 03/03/2014 | 17,338,185.15 | 1,104  | 482,612.10   | 87     | 16,855,573.05 | 1,017  | 0.00                  | 0      | 690,153.90         | 66     |
| 02/28/2014 | 3,420,122.55  | 446    | 239,082.42   | 56     | 3,181,040.13  | 390    | 0.00                  | 0      | -2,787.23          | 48     |
| 02/27/2014 | 1,380,069.53  | 111    | 317,923.72   | 52     | 1,062,145.81  | 59     | 0.00                  | 0      | 195,217.71         | 52     |
| 02/26/2014 | 890,125.80    | 100    | 221,073.64   | 50     | 669,052.16    | 50     | 0.00                  | 0      | 1,045,073.33       | 45     |
| 02/25/2014 | 638,154.87    | 298    | 229,261.54   | 53     | 408,893.33    | 245    | 0.00                  | 0      | 34,210,178.92      | 1,299  |
| Total      | 28,087,961.30 | 2,337  | 1,963,013.15 | 399    | 26,124,948.15 | 1,938  | 0.00                  | 0      | 36,784,232.10      | 1,586  |

► MMI

► Stock

► Cash(CAD)

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**Notes:**

- The **Events** column from the Allocation Overview page is replaced by a Date column on the History page.
  - Click the twisty next to each entitlement type to view the date range and event categories.
  - Click **Expand All** to open all of the entitlement type tables and **Collapse All** to close all of them.
3. Click the number in any **Events** column to view search results for that category of events on the listed date.
  4. Return to today's listing by clicking the **Distributions for Today** link above the table.

## Viewing a Seven-Day Distribution Forecast

The Allocations Overview page provides you with a snapshot of your distributions as of today. You can also look at information for the next seven business days, as well as for the past seven business days.

To view your seven-day distribution forecast from anywhere in CA Web:

1. Click **Allocations > Overview** on the top menu bar.

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Fri Mar 21 13:36:18 EDT 2014

Announcements Overview

Quick Search Enter ID CA ID

Company Searches Personal Searches Preferences Vendor Times

Distributions Reorganizations Redemptions

**DTC Eligible \***

|  | Cash Dividends | Principal and Interest | Stock Distributions | Optional Dividends | Other |
|--|----------------|------------------------|---------------------|--------------------|-------|
|  | All            | All                    | All                 | All                | All   |
| New events with DTC Elections            | 15             | 1                      | 0                   | 0                  | 0     |
| Late Announcements with DTC Elections    | 1              | 1                      | 0                   | 0                  | 0     |
| Late Announcements without DTC Elections | 8              | 489                    | 0                   | 0                  | 0     |
| Key Data Updated on Event                | 253            | 14088                  | 31                  | 3                  | 5     |
| DTC Rate To Rate Change                  | 19             | 252                    | 0                   | 0                  | 0     |
| DTC Zero Rate To Rate Change             | 77             | 10742                  | 1                   | 0                  | 0     |
| Canceled/Deleted Events                  | 24             | 102                    | 33                  | 0                  | 1     |
| Events with Late Ex Date                 | 0              | 0                      | 3                   | 0                  | 0     |

\* Totals are based upon the DTC end of day, 7:30 PM ET

**DTC Ineligible**

|   | Cash Dividends | Principal and Interest | Stock Distributions | Optional Dividends | Other |
|---|----------------|------------------------|---------------------|--------------------|-------|
|   | All            | All                    | All                 | All                | All   |
| New Events with Issuer Elections            | 10             | 0                      | 0                   | 11                 | 0     |
| Late Announcements with Issuer Elections    | 1              | 0                      | 0                   | 0                  | 0     |
| Late Announcements Without Issuer Elections | 2              | 1                      | 9                   | 0                  | 1     |
| Key Data Updated on Event                   | 458            | 0                      | 80                  | 41                 | 0     |
| Issuer Rate To Rate Change                  | 32             | 0                      | 3                   | 0                  | 0     |
| Issuer Zero Rate To Rate Change             | 37             | 0                      | 1                   | 11                 | 0     |
| Canceled/Deleted Events                     | 92             | 1                      | 13                  | 7                  | 1     |
| Events with Late Ex Date                    | 98             | 0                      | 45                  | 28                 | 0     |

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This opens the Allocations Overview page.

2. Click **Show 7 Day Distribution Forecast**.

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Home Composite Custodian Allocations Security SOI Reference Data Configuration Contact Us Thu Mar 6 11:36:52 EST 2014

**Allocations**

Quick Search Enter ID CA ID

Last Updated 06-Mar-2014 02:05:38 PM

Distributions

+ Expand All - Collapse All Show Previous 7 Days History Distributions for Today - 06-Mar-2014 **Show 7 Day Distributions Forecast**

▼ Cash(USD)

| Event Type           | Total Due           |            | Unallocated       |           | Allocated         |           | Projected Adjustments |           | Actual Adjustments |           |
|----------------------|---------------------|------------|-------------------|-----------|-------------------|-----------|-----------------------|-----------|--------------------|-----------|
|                      | Amount              | Events     | Amount            | Events    | Amount            | Events    | Amount                | Events    | Amount             | Events    |
| Cash Dividend        | 814,462.88          | 80         | 47,437.38         | 56        | 767,025.50        | 24        | 947.22                | 46        | -1,680.98          | 11        |
| Dividend with Option | 0.00                | 1          | 0.00              | 1         | 0.00              | 0         | 0.00                  | 0         | 0.00               | 0         |
| Interest             | 221,397.08          | 13         | 219,998.75        | 5         | 1,398.33          | 8         | 99,942.35             | 10        | 22,629.97          | 2         |
| Principal            | 0.00                | 0          | 0.00              | 0         | 0.00              | 0         | 227,936.64            | 5         | 196,730.76         | 1         |
| Special Dividend     | 0.00                | 0          | 0.00              | 0         | 0.00              | 0         | 0.00                  | 1         | 0.00               | 0         |
| Stock Dividend       | 0.00                | 0          | 0.00              | 0         | 0.00              | 0         | 0.00                  | 1         | 0.00               | 0         |
| Tax Refund           | 0.00                | 9          | 0.00              | 9         | 0.00              | 0         | 0.00                  | 2         | 0.00               | 0         |
| <b>Total</b>         | <b>1,035,859.96</b> | <b>103</b> | <b>267,436.13</b> | <b>71</b> | <b>768,423.83</b> | <b>32</b> | <b>328,826.21</b>     | <b>65</b> | <b>217,679.75</b>  | <b>14</b> |

► MMI

► Stock

► Cash(CAD)

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The **Allocations-7 Day Forecast** page appears.

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Home Composite Custodian Allocations Security SOI Reference Data Configuration Contact Us Thu Mar 6 11:36:52 EST 2014

**Allocations - 7 Day Forecast**

Quick Search Enter ID CA ID

Distributions

+ Expand All - Collapse All Show Previous 7 Days History Distributions for Today - 06-Mar-2014 Show 7 Day Distributions Forecast

▼ Cash(USD)

| Date               | Total Due            |              | Unallocated          |              | Allocated         |           | Projected Adjustments |            | Actual Adjustments |           |
|--------------------|----------------------|--------------|----------------------|--------------|-------------------|-----------|-----------------------|------------|--------------------|-----------|
|                    | Amount               | Events       | Amount               | Events       | Amount            | Events    | Amount                | Events     | Amount             | Events    |
| Today - 03/06/2014 | 1,035,859.96         | 103          | 267,436.13           | 71           | 768,423.83        | 32        | 328,826.21            | 65         | 217,679.75         | 14        |
| 03/07/2014         | 3,979,128.98         | 164          | 3,979,128.98         | 164          | 0.00              | 0         | -728,245.23           | 14         | 0.00               | 0         |
| 03/10/2014         | 12,105,017.53        | 85           | 12,105,017.53        | 85           | 0.00              | 0         | -8,929.67             | 22         | 0.00               | 0         |
| 03/11/2014         | 2,197,807.52         | 55           | 2,197,807.52         | 55           | 0.00              | 0         | -127,693.48           | 6          | 0.00               | 0         |
| 03/12/2014         | 1,395,582.39         | 29           | 1,395,582.39         | 29           | 0.00              | 0         | 3,549.67              | 14         | 0.00               | 0         |
| 03/13/2014         | 6,826,519.95         | 19           | 6,826,519.95         | 19           | 0.00              | 0         | -2,788.34             | 5          | 0.00               | 0         |
| 03/14/2014         | 3,019,780.51         | 126          | 3,019,780.51         | 126          | 0.00              | 0         | 0.00                  | 0          | 0.00               | 0         |
| 03/17/2014         | 20,267,683.92        | 475          | 20,267,683.92        | 475          | 0.00              | 0         | 0.00                  | 0          | 0.00               | 0         |
| <b>Total</b>       | <b>50,827,380.76</b> | <b>1,056</b> | <b>50,058,956.93</b> | <b>1,024</b> | <b>768,423.83</b> | <b>32</b> | <b>-535,280.84</b>    | <b>126</b> | <b>217,679.75</b>  | <b>14</b> |

► MMI

► Stock

► Cash(CAD)

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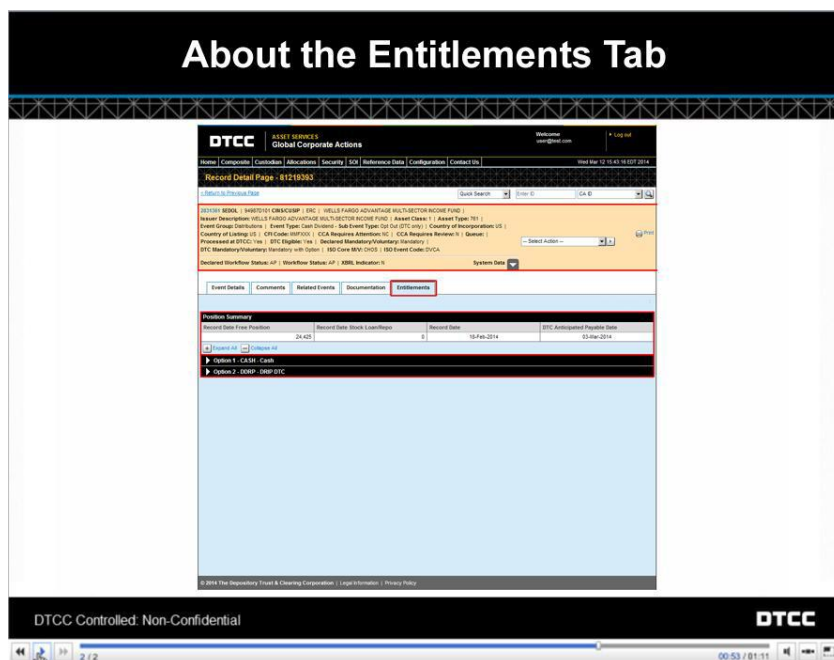
**Notes:**

- The **Events** column from the Allocation Overview page is replaced by a **Date** column on the Forecast page.
  - With the exception of the first row ("today"), all of your projected adjustments are unallocated because those allocations will occur on a future date.
  - The forecast only shows unallocated, total due and projected adjustments. You will not see any allocations or actual adjustments.
  - Click the twisty next to each entitlement type to view the date range and event categories.
  - Click **Expand All** to open all of the entitlement type tables and **Collapse All** to close all of them.
3. Click the number in any **Events** column to view search results for that category of events on the listed date.
  4. Return to today's listing by clicking the **Distributions for Today** link above the table.

## About the Entitlements Tab

**Notes:**

- Click [here](#) to learn about Position Adjustments from this page.
- This is the transcript of an animated Help topic. To play the topic, refer to the topic of the same name in the online Help.



Selecting an event from the Allocations Overview page brings you directly to the Entitlements tab. The Entitlements tab will not appear until the position capture date, and only if you have position in a given event.

Here in the Summary area, you can view details about this specific event. Below, in the Position Summary, you can view your position capture.



An important thing to note about the Entitlements tab is that all of this information is broken down by option. Every distribution event has at least one option, and every option will have at least one payout level.

Click the twisty next to each option to expand it. You can then view its details and payment information. You are given a summary for each option. This table gives you a high-level view of where your company stands with this option for this event.

For example, you can see the **Net Position**, which is calculated for each option. The sum of the net position for all options equals the **Record Date Free Position** shown in the summary on the top.

You can also see the **Net Fail Position**, which is the difference between the fails to receive and the fails to deliver. You won't see anything in this field unless there is a fail-to-settle scenario.

Here's the **Record Date**, the day on which this position was captured.

The **DTC Anticipated Payable Date** is the day on which DTC believes that this dividend will be payable. Here in the **DTC Rate** field, you can see either the cash or the stock rate, depending upon the option.

The **Total Cash Due** and **Shares Disbursed** fields display the projected dividend of this type to which the client is entitled, and finally,

The **Allocated Amount displays** the total amount of this dividend that has been allocated to the client. Note that this allocated amount displays after DTC receives the payment and allocates cash or shares to your account. When that allocation occurs, the total cash due or shares disbursed amount goes to zero.

Below each option listing, you can see its specific payout information. All of the payment information is listed out in blue headings. Click the twisty next to each heading to view position information, payments, and payment activity.

The Position table shows you a record of each time the position was captured for this option—for example, a record date position capture. If there are any changes to your position in this option, such as dividend reinvestments, option elections, or repos, you will see them here as well.

Click on the link in the **Activity** column to view details for that position capture.

A popup window appears that contains the option activity details as well as an activity breakdown table, if available. Whenever an activity breakdown is present, you can export the table containing this information to Excel by clicking this link.

Print this information by clicking here.

Under the position for the option, there are headings for **Payments** and **Payment Activity**. Click the twisty next to each to open and close this information.

The **Payments** area shows you the details of any payment that has taken place for this option. Here, you can see the **Payments** areas for both options.

Each payment appears as a row in its table and is assigned a payout number.

You can see the exact date and time that the payout was allocated to your account.

Here, you can also see whether the payout was made in cash or securities, depending on the option type. Note that the payout type will be consistent with the payout type displayed on the **Event Details** tab.

All of the parameters used in calculating each payment appear in the row—for example, the cash rate that will be paid for a cash dividend or the rate used to calculate shares for a dividend reinvestment. If the payout was made in securities, you will see the Security ID as well as the number of shares disbursed. The details here will vary based on the option type.

The Payment Activity table provides a summary of the activity that took place to collect that payment. Each row specifies the result of a payment detailed above. You will see the activity date, the allocation amount, and the activity.

The units of the allocation amount correspond to the **Payout Type** specified above. Here, “10” refers to the number of shares disbursed. In a cash dividend, this field will display the dollar amount of the payout that has been allocated to your account.

For cash dividends, all of the allocated amounts for each payment add up to the allocated amount for that option.

In this example, we show you a dividend reinvestment opt-out in which the electable option is a move to cash.

At any time, you can click a twisty to collapse a particular option, or click **Collapse All** to close all options. Click **Return to Previous Page** to go back to your search results.

## Understanding Position and Allocation Details

At the top of an event's Entitlements tab, you can see a position summary (1). This is the sum of all activity that has taken place that affects your total position. It is comprised of the total net position for each of the options.

The screenshot displays the DTCC Asset Services Global Corporate Actions interface. At the top, the header includes the DTCC logo, 'ASSET SERVICES Global Corporate Actions', a user welcome message, and a 'Log out' link. Below the header is a navigation bar with tabs: Home, Composite, Custodian, Allocations, Security, SOI, Reference Data, Configuration, and Contact Us. The date 'Wed Mar 19 13:55:18 EDT 2014' is shown on the right.

The main content area is titled 'Record Detail Page - 80087040'. It includes a 'Quick Search' bar with 'Enter ID' and 'CA ID' fields. Below this, a detailed description of the event is provided, including the CUSIP (72200T301), issuer (PIMCO NEW YORK MUNICIPAL INCOME FUND), and various event details like 'Event Type: Cash Dividend' and 'Country of Listing: US'. A 'Print' button is also visible.

The 'Declared Workflow Status: AP | Workflow Status: AP | XBRL Indicator: N' is shown. A 'System Data' dropdown menu is present. The 'Entitlements' tab is selected, showing a 'Position Summary' (1) table with columns: Record Date Free Position (17), Record Date Stock Loan/Repo (0), Record Date (18-Mar-2014), and DTC Anticipated Payable Date (19-Mar-2014). Below this is an 'Option 1 - CASH - Cash' (2) table with columns: Net Position (17), Net Fail Position, Record Date (18-Mar-2014), DTC Anticipated Payable Date (19-Mar-2014), DTC Cash Rate (.32), Total Cash Due (5.44), and Allocated Amount (5.44). The 'Position (1)' section (3) shows a table with columns: Activity Date (18-Mar-2014), Activity (Record Date Position), Position (17), and DTC Activity (N/A). The 'Payments(1)' section (6) shows a table with columns: Payout Number (1), Payout Type (Dividend), Amount Allocated (5.44), DTC Allocation Date/Time (19-Mar-2014 12:25), DTC Cash Rate (.32), and DTC Fee Rate. The 'Payment Activity' section shows a table with columns: Activity Date (19-Mar-2014), Allocation (5.44), and Activity (Cash Dividend).

At the bottom, the footer reads: '© 2014 The Depository Trust & Clearing Corporation | Legal Information | Privacy Policy'.

Each option has its own summary—it appears in a table with a black heading (2). The fields in this summary table include:

| Field Name               | Meaning   |
|--------------------------|---|
| <b>Net Position</b>      | Calculated for each option. The sum of the net position for all options equals the Record Date Free Position in the Position Summary.     |
| <b>Net Fail Position</b> | The difference between the fails to receive and the fails to deliver. This field will be blank unless there is a fail-to-settle scenario. |
| <b>Record Date</b>       | The date on which this position was captured.   |

| Field Name                               | Meaning   |
|--|---|
| <b>DTC Anticipated Payable Date</b>      | The date on which DTC believes that this dividend will be payable.  |
| <b>DTC Cash Rate/<br/>DTC Stock Rate</b> | Depending on the option type, this field will display either the cash rate or the stock rate. This is how the client's dividend is calculated: it is the rate that the issuer/agent provided to DTC based upon the client's position holding. |
| <b>Total Cash Due/Shares Disbursed</b>   | The projected dividend of this type to which the client is entitled. The net position multiplied by the cash/stock rate equals this number.   |
| <b>Allocated Amount</b>                  | The dividend amount that has actually been paid out. This field is populated after the payouts under an option have been allocated. In this example, the cash due has been paid out.  |

You can view each option's details by clicking on any white triangle (3) to open a table.

The Position table (4) is a breakdown of all activity that has contributed to the number in the Position Summary. To see the details about a specific activity, click on the link (5).

Below the Position table is the Payments information (6). This twisty is only viewable when the payout has been allocated. These two tables detail the payments that have been made based on the client's position above. Each payout is numbered for reference.

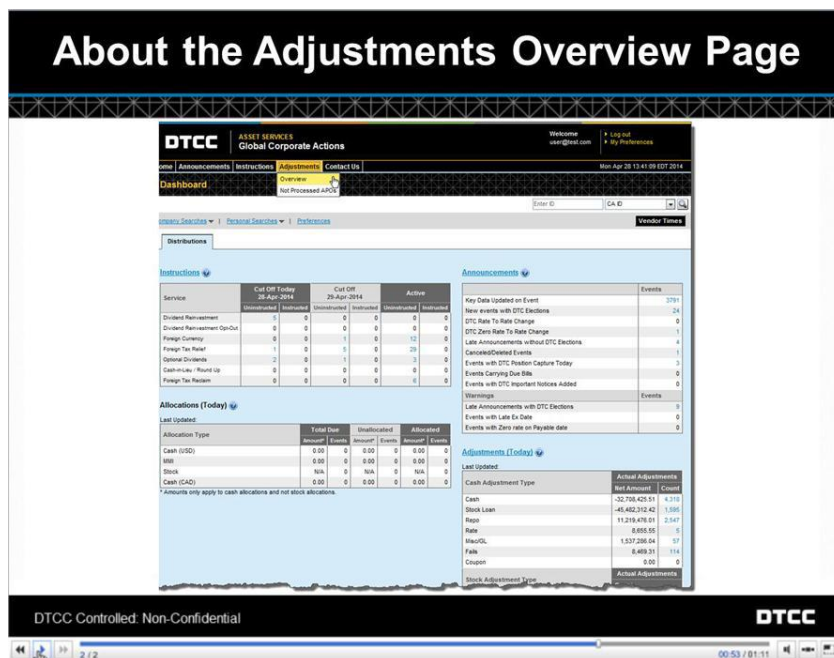
In the above example, you can tell that the calculated cash dividend has been paid in full: 5.44 is due, and 5.44 has been allocated (7).

# Adjustments

## About the Adjustments Overview Page

### Please note:

This is the transcript of an animated Help topic. To play the topic, refer to the topic of the same name in the online Help.



Adjustments include all entitlement and allocation activity that is outside the traditional pay date allocations. This includes all post allocation rate adjustments and any activity tracking for stock loans, repos, and due bill fail tracking.

The **Adjustments Overview** page provides you with the ability to see all of your adjustments information in one place, across distribution types and for a range of fourteen business days.

To get to the Adjustments Overview page from anywhere in CA Web, mouse over the **Adjustments** link on the menu bar. Then, click **Overview**.

This is the Adjustments Overview page. Right now, you'll see the total due of your distributions adjustments broken out by cash and stock for the current business day.

Here above the adjustment amounts, you'll see three radio buttons. The default selection is **All Adjustments**, which represents the sum of the unallocated and allocated adjustments.

If you'd like, you can view just the **Allocated Adjustments**. These are adjustments that have actually posted to your account on that business day. You can also view **Unallocated Adjustments**, which are adjustments that are anticipated to be posted to your account on that business day.

These buttons make it very easy for you to segregate out what you can expect to be adjusted, what is actually adjusted, and what has not yet been adjusted.

Located below the radio buttons are two twisties—**Cash** and **Stock**. Both the **Cash** and **Stock** twisties will be open if they contain any activity. You can use the **Collapse All** button to close them and the **Expand All** button to reopen them.

Looking at the cash twisty, you see that the first column contains the **Event Type**. Note that you will only see event types when an adjustment for that type of event either has been processed or may be processed.

To the right of the event type column are the adjustment types:

- **Cash,**
- **Stock Loan,**
- **Repo,**
- **Rate,**
- **Miscellaneous/GL, and**
- **Fails.**

If you participate in the coupon collection service and there is a coupon adjustment posted to your account, an eighth column called **Coupons** appears to the right of these.

Let's look at these one by one. We'll talk about **Cash** in a moment.

The **Stock Loan** column displays the number of adjustments that were income tracked due to securities lending activity in your account.

The **Repo** column displays adjustments related to income tracking for Repurchase agreements.

The **Rate** column displays all adjustments due to rate changes. This applies when DTC is notified of a rate change by the security's agent or from a customer inquiry that has been confirmed with the agent.

The next column, titled **Misc/GL** for "miscellaneous/general ledger," is used to display adjustments that are either manually created by DTC staff, such as Cash Adjustments, or Adjustment Payment Orders, also known as "APOs."

The final column displays adjustments due to due bill fail tracking. Let's look at what the numbers mean for these five adjustment types.

Each adjustment type's **Net Amount** sub-column represents the net of all adjustments for each individual event type. The term "net" refers to the sum of any debits and credits to your account. So, those net amounts for all of those adjustments are then netted at the bottom for a total amount per adjustment type.

The **Count** next to each **Net Amount** tells you how many adjustments make up the net. Unlike other parts of CA Web, these counts don't refer to event counts. Instead, you can have multiple adjustments for a single event.

Just like the net amounts, the adjustment counts are totaled at the bottom for each adjustment type.

For example, this “-\$24,975,119.34” represents a debit. Next to this, you can see that 1,100 separate adjustments contribute to this net. Looking at the bottom of this column, you see that these amounts are part of the net total for stock loan adjustments and the 1,595 adjustments that net this total for all the different types of cash stock loan events.

Let’s go back to that **Cash** column now.

The adjustment counts and net amounts in the **Cash** column are the cumulative total of your stock loan, repo, rate, miscellaneous general ledger, fails, and, if applicable, coupon adjustments. They all roll into this one cash column.

This is helpful in conjunction with the radio buttons above. Depending on the view you choose, you can see your total cash adjustments due, your total cash adjustments allocated, or your total cash adjustments that are unallocated today.

If you need to see the actual breakdown of debits and credits, click any adjustment count hyperlink. This will bring you to a search results page that lists all of the adjustments in this count individually.

Below this Cash table is the **Stock** twisty that groups all of your stock adjustments. Similar to Cash, there is an **Event Type** column on the left that splits out the stock adjustments by event type.

The **Stock** column rolls up the adjustment counts for the stock **Fails**, **Stock Loans**, and **Stock Adjustments**.

There aren’t any cash amounts associated with the Stock items. The adjustment counts all represent the number of adjustments per event or per adjustment type, not a specific dollar amount or event count.

As with Cash, click any record count to view a Results page containing a list of individual adjustments. Up top, you have links to a seven-day adjustments history and a seven-day adjustments forecast.

Click the **History** link to view daily totals of the actual adjustments performed, per adjustment type, for the previous seven business days.

Click the **Forecast** link to view projected adjustment totals by day for the upcoming seven business days.

Either page allows you to view individual adjustments by clicking on a record count.

It is very important to note that the seven-day history page only shows allocated adjustments. You are not able to view any unallocated items from a date in the past.

The Adjustments History search helps you research aged and allocated adjustments. Click this twisty to open the search.

You can use three criteria for your adjustments history search:

- **Adjustment Type**, which allows you to select an adjustment type from a drop-down list,
- **CUSIP**, which allows you to type in a specific CUSIP number, and/ or
- **DTC Post Date**, which allows you to pick a date within a search range of ninety days. Enter any combination of criteria and click **Search**.

At any time, you can click the **Print** button to print the information on the page you're viewing.

## About the Adjustments Search Results Page

### Please note:

This is the transcript of an animated Help topic. To play the topic, refer to the topic of the same name in the online Help.

**About the Adjustments Search Results Page**

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Home Announcements Instructions Allocations Adjustments Contact Us

Adjustments - Total Adjustments - Cash - Cash Adjustments - All - Cash Dividend - 08-May-2014 - Search Results

Search by DTCClink Code Enter ID CA ID

Displaying 1 to 20 of 1646 items

| CA ID    | CUSIP     | Event Type           | Record Date | Payable Date | DTCC Print Date | Type       | Amount     | Status      | Contra   | Allocation Date/Time |
|----------|-----------|----------------------|-------------|--------------|-----------------|------------|------------|-------------|----------|----------------------|
| 75769005 | 743487102 | Cash Dividend - OPTD | 31-Mar-2014 | 17-Apr-2014  | 05-May-2014     | Stock Loan | -2,373.56  | Unallocated | 00000006 |                      |
| 75769005 | 743487102 | Cash Dividend - OPTD | 31-Mar-2014 | 17-Apr-2014  | 05-May-2014     | Stock Loan | -36,698.54 | Unallocated | 00000139 |                      |
| 75769005 | 743487102 | Cash Dividend - OPTD | 31-Mar-2014 | 17-Apr-2014  | 05-May-2014     | Stock Loan | -11,837.52 | Unallocated | 00000904 |                      |
| 75769005 | 743487102 | Cash Dividend - OPTD | 31-Mar-2014 | 17-Apr-2014  | 05-May-2014     | Stock Loan | -41,412.70 | Unallocated | 00002422 |                      |
| 75769005 | 743487102 | Cash Dividend - OPTD | 31-Mar-2014 | 17-Apr-2014  | 05-May-2014     | Stock Loan | -40,342.05 | Unallocated | 00002509 |                      |
| 78823931 | 359671104 | Cash Dividend - OPTD | 31-Mar-2014 | 15-Apr-2014  | 05-May-2014     | Stock Loan | 87.18      | Unallocated | 00002653 |                      |
| 78823931 | 359671104 | Cash Dividend - OPTD | 31-Mar-2014 | 15-Apr-2014  | 05-May-2014     | Stock Loan | -0.66339   | Unallocated | 00007324 |                      |
| 79148104 | 384181101 | Cash Dividend        | 09-Dec-2013 | 14-Apr-2014  | 05-May-2014     | Stock Loan | 149.89     | Unallocated | 00007400 |                      |
| 79740008 | 043393206 | Cash Dividend        | 30-Dec-2013 | 16-Apr-2014  | 05-May-2014     | Stock Loan | 3.95       | Unallocated | 00001123 |                      |
| 79740008 | 108441205 | Cash Dividend        | 30-Dec-2013 | 16-Apr-2014  | 05-May-2014     | Stock Loan | -16.42     | Unallocated |          |                      |
| CA ID    | CUSIP     | Event Type           | Record Date | Payable Date | DTCC Print Date | Type       | Amount     | Status      | Contra   | Allocation Date/Time |
| 79740008 | 016230104 | Cash Dividend        | 31-Mar-2014 | 14-Apr-2014  | 05-May-2014     | Stock Loan | -1,344.00  | Unallocated | 00000006 |                      |
| 79740008 | 600544100 | Cash Dividend        | 01-Mar-2014 | 15-Apr-2014  | 05-May-2014     | Stock Loan | 14.00      | Unallocated | 00001139 |                      |
| 79740008 | 600544100 | Cash Dividend        | 01-Mar-2014 | 15-Apr-2014  | 05-May-2014     | Stock Loan | -13,370.00 | Unallocated | 00000904 |                      |
| 79740008 | 600544100 | Cash Dividend        | 01-Mar-2014 | 15-Apr-2014  | 05-May-2014     | Stock Loan | -854.00    | Unallocated | 00002422 |                      |
| 79740008 | 600544100 | Cash Dividend        | 01-Mar-2014 | 15-Apr-2014  | 05-May-2014     | Stock Loan | -5,090.00  | Unallocated | 00002509 |                      |
| 80060959 | 802541102 | Cash Dividend        | 31-Mar-2014 | 15-Apr-2014  | 05-May-2014     | Stock Loan | 56.00      | Unallocated | 00002653 |                      |
| 80060959 | 802541102 | Cash Dividend        | 31-Mar-2014 | 15-Apr-2014  | 05-May-2014     | Stock Loan | -273.00    | Unallocated | 00007324 |                      |
| 80060959 | 802541102 | Cash Dividend        | 31-Mar-2014 | 15-Apr-2014  | 05-May-2014     | Stock Loan | -556.50    | Unallocated | 00007400 |                      |
| 80060959 | 802541102 | Cash Dividend        | 31-Mar-2014 | 15-Apr-2014  | 05-May-2014     | Stock Loan | -100.00    | Unallocated | 00001123 |                      |
| 80060959 | 802541102 | Cash Dividend        | 31-Mar-2014 | 15-Apr-2014  | 05-May-2014     | Stock Loan | -12,180.00 | Unallocated | 00000006 |                      |

Displaying 1 to 20 of 1646 items

Export to Excel Print Page 1 of 83

Filter Search Criteria

CUSIP

Search Reset

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**DTCC**

2 / 2 00:53 / 01:11

The Adjustments search results page displays all adjustments for a particular event type and adjustment type, up to 3000 results. These results are shown 20 at a time.

Click the arrow buttons to move through the pages, or type a page number in this field and press **Enter**. You can sort these results by clicking on any of the column headings. You can also filter these results by a specific CUSIP.

Note that these results refer to adjustments related to an event. If applicable, you can see multiple adjustments on a single event.

Click any link in the **CA ID** column to view the adjustment details for that event. You can export these results to Excel by clicking on the **Export to Excel** link. You can also print them by clicking on the **Print** icon.

When you export your results to Excel, you will export all results. In other words, if you have more than the 20 results shown on the page, you will export all of them—not just the ones you see here.

If you filter your search results by CUSIP and then export them, you will export the filtered results only. When you print your results, however, you will only print the results that appear on the page.

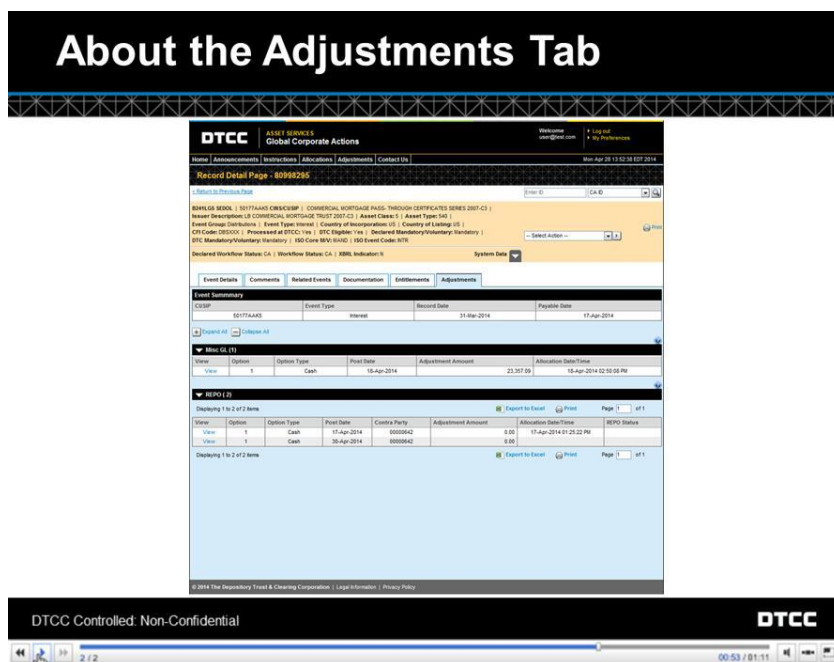
When you click on **Export to Excel**, you will be asked whether you want to open or save your file. If you open the file in Excel, you'll see a basic spreadsheet that contains all of your results. You can sort, save, or print this data as you would any Excel spreadsheet.



# About the Adjustments Tab

## Please note:

This is the transcript of an animated Help topic. To play the topic, refer to the topic of the same name in the online Help.



Any Corporate Actions event that has adjustments associated with it will show the **Adjustments** tab on the event record detail page.

One of the ways you can retrieve the event record is by searching with the CA ID. When the event record appears, click the **Adjustments** tab on the right. This will show you a record of all of your adjustment activity connected to this corporate actions event.

You can also get to this tab specifically by using the Adjustments menu item: mouse over **Adjustments**, click **Overview**, click a record count, and click a CA ID.

Once at the Adjustments tab, you'll see that there is an **Event Summary** at the top of the page. This shows the **CUSIP**, **Event Type**, **Record Date**, and **Payable Date** for the distribution.

The area under the Event Summary lists all adjustments to the event. You can see more than one adjustment type here, listed out in separate tables.

These tables contain slightly different information, depending on the adjustment type. In general, though, you can see information about the event's option that the adjustment applies to, as well as when the adjustment is scheduled to be posted to your account.

Information here can include:

- The **Option Number**.
- The **Option Type**.
- The **DTC Post Date**, or the date on which DTC is scheduled to make the adjustment to your account.

- The **Adjustment Amount**, and
- The **Allocation Date/Time**. This varies with the adjustment type. For example, Miscellaneous/General Ledger adjustments will be displayed after DTC completes its daily settlement. For stock loans and repos, however, the allocation will happen intraday.

Sometimes, different adjustment types will have specific data fields. Please see the Help for that adjustment type for more information about these fields.

Please note that the DTC **Post Date** may not reflect the **Payable Date** of the event: the Post Date is when DTC actually makes the adjustment to your account. Note that the DTC Post Date may, in some cases, be several days after the event's Payable Date.

To see additional information regarding debits and credits to be charged or paid, click any of the **View** hyperlinks. Each link opens a window that shows details for that particular adjustment.

For these adjustments, you will notice that the “prepared by” field will often be “Customer Service.” The phone number for DTC's Customer Help Center is provided here—you can call for more information if you need it.

Specific adjustment details will vary by type.

In the case of stock loans and repos, this “View” function is where you'll go to enter any adjustment payment orders, or “APOs.” When you are able to enter an APO, a **Create APO** button is visible at the bottom left of this window. Click this button to open a “Create APO” form.

You can learn more about this by reading the “Entering an APO” Help topic.

For some adjustment types, you can export the information to Excel or print the information you see on the screen.

Exporting the information to Excel exports all of the adjustments for a single adjustment type. For instance, if you click one of the **Export to Excel** buttons for Stock Loans on this page, you will see all 36 transactions from both display pages.

Clicking any **Print** button, however, prints all of the data that is visible on the page itself.

## Cash Adjustment Types

The Adjustments tab shows you a number of stock adjustment types:

- Stock Loan Adjustments
- Repo Adjustments
- Rate Change Adjustments
- Miscellaneous/GL Adjustments
- Fail Adjustments
- Coupon Adjustments

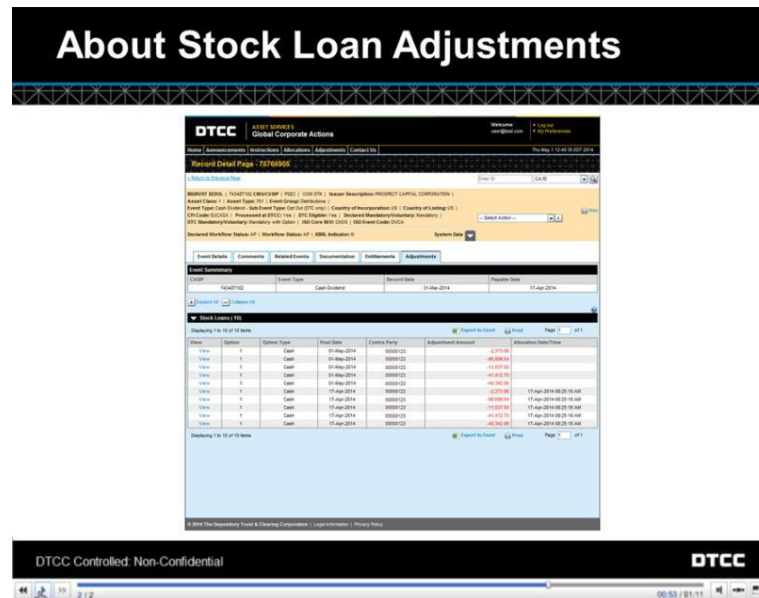
You will only see an event type if it applies to your account. If you do not have any activity for a particular event type, it will not appear in the **Cash** table's **Event Type** column.

Note that if you do not have any coupon activity, you will not see the **Coupon** column in the **Cash** table.

## Stock Loan Adjustments

**Please note:**

This is the transcript of an animated Help topic. To play the topic, refer to the topic of the same name in the online Help.



Stock loan adjustments, also called income-tracked securities lending adjustments, are individual cash debits or credits to your account.

A cash distribution event can include stock loan adjustments for a number of reasons.

For example, they may include your account being credited or debited on the post date due to a stock loan payment or charge against your account.

Stock loan adjustments that are pending or allocated appear under the **Stock Loan** twisty on the **Adjustments** tab.

An **Event Summary** at the top of the Adjustments tab shows the **CUSIP**, **Event Type**, **Record Date**, and **Payable Date** for the distribution.

The area under the Event Summary lists all adjustments to the event. You can see more than one adjustment type here, listed out in separate tables. This example shows you a Stock Loan table, but if there were other adjustments to this event, you'd see those in this space. These tables contain slightly different information, depending on the adjustment type.

For stock loan adjustments, you can see information about the option on the event that the adjustment applies to, as well as when the adjustment is scheduled to pay. For stock loan and repo adjustments, the allocation will happen intraday.

Specifically, this includes:

- The **Option Number**.
- The **Option Type**.
- The **DTC Post Date**, or the date on which DTC is scheduled to make the adjustment to your account.
- The **Contra Party**.
- The **Adjustment Amount**, and
- The **Allocation Date/Time**.

If you hold a long stock loan net position, you will receive a credit adjustment on the payable date for any periodic principal and income distributions. If you have a short stock loan net position, you will receive a debit adjustment on the payable date. As is the case with repo adjustments, the allocation will occur intraday.

Please note that the **Post Date** may not reflect the **Payable Date**: the Post Date is when DTC anticipates applying the adjustment to your account.

To see additional information regarding debits and credits to be applied, click any of the **View** hyperlinks. Each link opens a window that shows details of a Stock Loan adjustment.

For these adjustments, you will notice that the “prepared by” field will often read “Customer Service.” The Customer Help Center’s phone number is provided here—you can call for more information if you need it.

Here, we see that on May 1<sup>st</sup>, your firm was debited \$2,373.06 for a stock loan entered into with contra 0123. This stock loan adjustment was recorded by DTC’s Automated Transaction Processor (“ATP”) system.

Please note that for stock loan and repo adjustments, you can take additional actions on this detail window.

Sometimes, you may need to modify a tracked adjustment. For instance, you may know of a rate difference. That’s where the CA Web gives you the ability to do an adjustment payment order, or “APO.” An APO is a client modification to the cash portion of a stock lending or repo adjustment.

Using this feature, you can create cash adjustments to a pending or past (“historical”) stock loan adjustment. You can credit or debit yourself against the same contra participant.

If you and the contra agree to modify the adjustment amount, you can enter an adjustment payment order. Click the **Create APO** button and fill out the requested information. Only the contra party will have the ability to reject the APO.

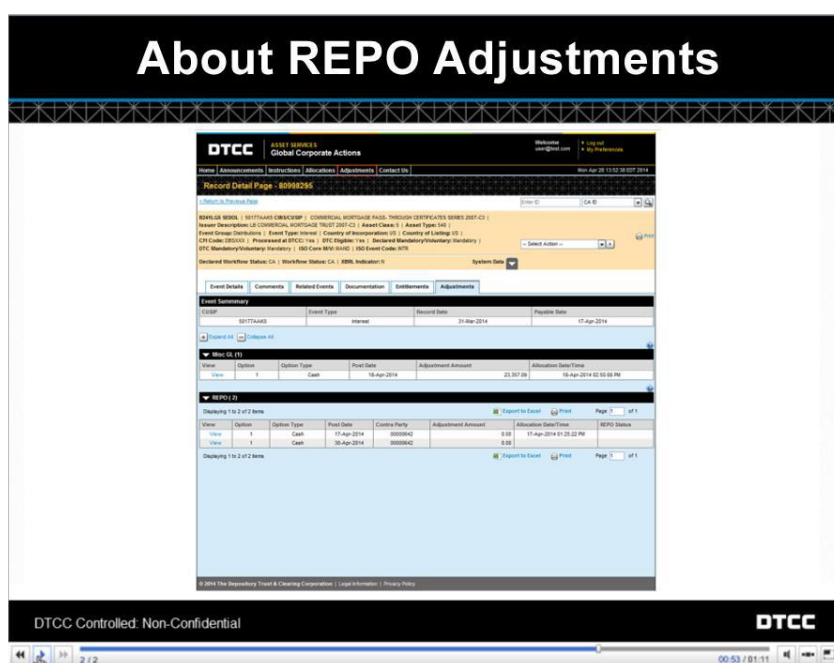
Check out the Help topics to learn more about APOs.

You can see the adjustment amount in the stock loan table. If you created an APO, you will see a new twisty on the page containing this information.

## Repo Adjustments

### Please note:

This is the transcript of an animated Help topic. To play the topic, refer to the topic of the same name in the online Help.



Repo adjustments, also called income-tracked repurchase agreement adjustments, are individual cash debits or credits to your account.

A cash distribution event can include repo adjustments for a number of reasons. For example, they may include your account being credited or debited on post date due to a repo payment or charge against your account.

Repo adjustments that are pending or allocated appear under the **REPO** twisty on the **Adjustments** tab.

An **Event Summary** at the top of the Adjustments tab shows the **CUSIP**, **Event Type**, **Record Date**, and **Payable Date** for the distribution.

The area under the Event Summary lists all adjustments to the event. You can see more than one adjustment type here, listed out in separate tables. This example shows you a repo table, but if there were other

adjustments to this event, you'd see those in this space. These tables contain slightly different information, depending on the adjustment type.

To prevent a single periodic principal and income distribution from being tracked without affecting the tracking of any other future distributions on the security, users have the ability to cancel the repo income tracking for adjustments on principal and interest events only which are scheduled to be posted to your account that day.

For repo adjustments, you can see information about the event's option that the adjustment applies to, as well as when the adjustment is scheduled to post to your account.

Specifically, this includes:

- The **Option** number.
- The **Option Type**.
- The **Post Date**, or the date on which DTC is scheduled to apply the adjustment to your account.
- The **Adjustment Amount**.
- The **Allocation Date/Time**. If you hold a long repo net position, you will receive a credit adjustment on the payable date for any periodic principal and income distributions. If you have a short repo net position, you will receive a debit adjustment on the payable date. As is the case with stock loan adjustments, the allocation will occur intraday.
- And finally, **REPO Status**, which will appear on principal and interest repos if they were canceled or reactivated.

Please note that the **Post Date** may not reflect the **Payable Date**: the post date is when DTC anticipates applying the adjustment to your account. Note that DTC's post date may, in some cases, be several days after the event's payable date.

To see additional information regarding debits and credits to be applied, click any of the **View** hyperlinks. Each link opens a window that shows details of a repo adjustment.

For these adjustments, you will notice that the "prepared by" field will often read "Customer Service." The Customer Help Center's phone number is provided here—you can call for more information if you need it.

Here, we see that on April 15th, you were credited \$53,841.26 for a repo entered into with contra 0123.

This repurchase agreement adjustment was recorded by DTC's Automated Transaction Processor ("ATP") system.

Please note that for stock loan and repo adjustments, you can take additional actions on this detail window.

Sometimes, you may need to modify a tracked adjustment entered by DTC processing staff. For instance, you may know of a rate difference. That's where the CA Web gives you the ability to do an adjustment payment order, or "APO."

An APO is a client modification to the cash portion of a stock lending or repo adjustment. Using this feature, you can create cash adjustments to a pending or past ("historical") repo adjustment. You can credit or debit yourself against the same contra participant.

If you and the contra agree to modify the adjustment amount, you can enter an adjustment payment order. Click the **Create APO** button and fill out the requested information. Only the contra party will have the ability to reject the APO.

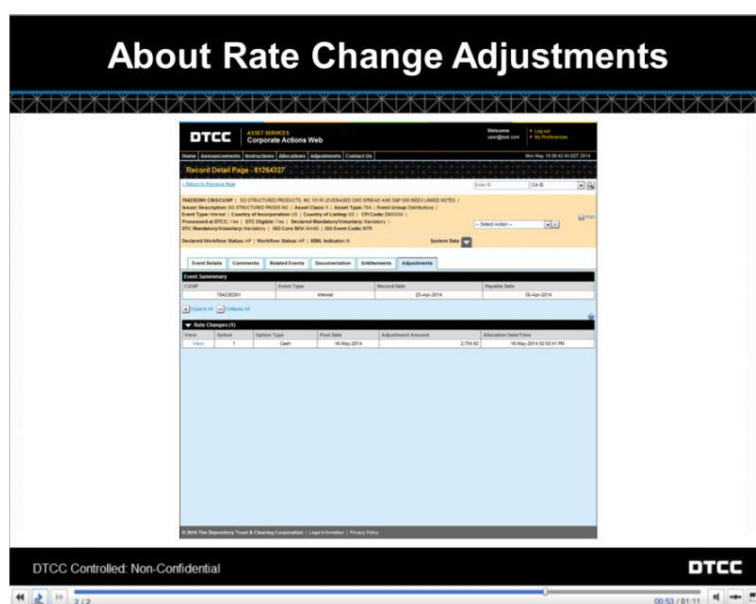
Check out the Help topics to learn more about APOs.

You can see the repo adjustment amount in the REPO table. If you created an APO, you will see a new twisty on the page containing this information.

## Rate Change Adjustments

### Please note:

This is the transcript of an animated Help topic. To play the topic, refer to the topic of the same name in the online Help.



Post-allocation rate adjustments, also called “Rate Change” adjustments, are individual debits or credits to your account.

A cash event can include a rate change adjustment for a number of reasons. For example, they may apply when DTC is notified of a rate change by the security’s agent or from a customer inquiry that has been confirmed with the agent.

Rate Change adjustments that are pending or allocated appear under the “Rate Changes” twisty on the **Adjustments** tab.

An **Event Summary** at the top of the Adjustments tab shows the **CUSIP**, **Event Type**, **Record Date**, and **Payable Date** for the distribution.

The area under the Event Summary lists all adjustments to the event. This example shows you a Rate Change table, but if there were other adjustments to this event, you’d see those in this space, each type in a separate table. These tables contain slightly different information, depending on the adjustment type.

For rate change adjustments, you can see information about the event's option that the adjustment applies to, as well as when the adjustment is scheduled to pay.

Specifically, this includes:

- The **Option** number.
- The **Option Type**.
- The **Post Date**, or the date on which DTC is scheduled to apply the adjustment to your account.
- The **Adjustment Amount**, and
- The **Allocation Date/Time**. The adjustment is applied to your account when settlement occurs.

Please note that the DTC **Post Date** may not reflect the **Payable Date**: the post date is when DTC anticipates applying the adjustment to your account. Note that DTC's post date may, in some cases, be several days after the event's payable date.

To see additional information regarding debits and credits to be applied, click a hyperlink in the **View** column. Each link opens a window that shows details of a rate change adjustment.

For these adjustments, you will notice that the "prepared by" field will often read "Customer Service." The Customer Help Center's phone number is provided here—you can call for more information if you need it.

Here, we see that the adjustment is a rate change. This client's account was credited \$2754.82 as the cash equivalent of distribution shares to which it was entitled. The old cash rate was 24.383560. The new cash rate is 33.184900.

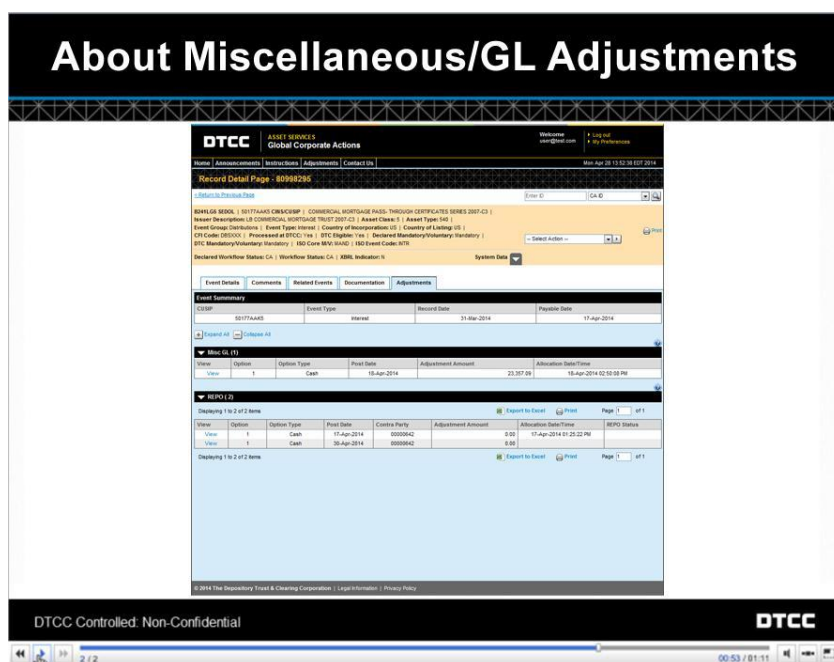
You can see the adjustment amount in the Rate Change table.



## Miscellaneous/GL Adjustments

### Please note:

This is the transcript of an animated Help topic. To play the topic, refer to the topic of the same name in the online Help.



Misc/GL Ledger adjustments, also called “Miscellaneous/GL” adjustments, are individual debits or credits to your account.

A cash event can include a Misc/GL adjustment for a number of reasons. For example, they may include adjustments that were manually created by DTC staff, such as Cash Adjustments.

They may also include the money payment of an Adjustment Payment Order, or “APO.” An APO is a client modification to the cash portion of a stock lending or repo adjustment. These client-entered adjustment payment orders appear as Misc/GL adjustments, recording the cash payment of the APO.

Miscellaneous/General Ledger adjustments that are pending or allocated appear under the “Misc/GL” twisty on the Adjustments tab.

An **Event Summary** at the top of the **Adjustments** tab shows the **CUSIP**, **Event Type**, **Record Date**, and **Payable Date** for the distribution.

The area under the Event Summary lists all adjustments to the event. You can see more than one adjustment type here—each type is listed out in a separate table. These tables contain slightly different information, depending on the adjustment type.

For Misc/GL adjustments, you can see information about the event’s option that the adjustment applies to, as well as when the adjustment is scheduled to pay.

Specifically, this includes:

- The **Option** number.
- The **Option Type**.
- The **DTC Post Date**, or the date on which DTC is scheduled to make the adjustment to your account.
- The **Adjustment Amount**, and
- The **Allocation Date/Time**. For Misc/GL, this will be populated after DTC completes its daily settlement.

Please note that the DTC **Post Date** may not reflect the **Payable Date**: the Post Date is when DTC actually pays you or makes the adjustment. Note that the DTC Post Date may, in some cases, be several days after the Payable Date.

To see additional information regarding debits and credits to be charged or paid, click any of the **View** hyperlinks. Each link opens a window that shows details of a miscellaneous general ledger adjustment.

For these adjustments, you will notice that the “prepared by” field will often be “Customer Service.” The Customer Help Center’s phone number is provided here—you can call for more information if you need it.

Here, we see that the adjustment is an APO due to a bad repo on a stock loan. The APO was entered by Jane Smith, whose client number is “0123.” The contra party’s phone number is also provided.

This client’s account was credited \$23,357.09, which you can see in the **Adjustment Amount** field of the Misc/GL table.

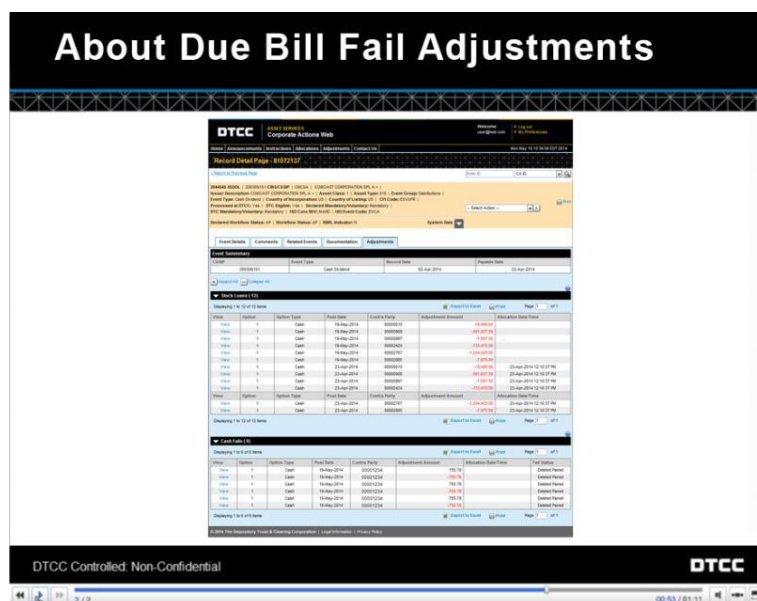
If the APO has not yet allocated, refer to the Help topic called “APO Business Rules” for possible reasons why.

For instance, if this is an adjustment payment order and the contra party has rejected the APO, it will not process because it was rejected. Or, if the APO was resubmitted after the APO cutoff of 2:30 p.m. eastern time, it won’t be processed until the next business day.

## Fail Adjustments

### Please note:

This is the transcript of an animated Help topic. To play the topic, refer to the topic of the same name in the online Help.



Due bill fail tracking adjustments, also called “Fails,” are individual cash debits or credits to your account for failed DOs carrying due bills.

A cash distribution event can include cash fail adjustments for a number of reasons.

A failed DO is one which was originally scheduled to settle on or before the record date, but instead settled after the record date. Fails sometimes result in buyers not receiving a dividend or interest payment to which they are entitled. Previously, such deliveries were made with a due bill attached and handled outside of DTC between the parties impacted by the trade.

If due bill fail tracking is enabled on the original DO, the CA Web automatically generates cash and stock dividend adjustments for most failed DOs requiring a due bill. Keep in mind that due bill fail tracking does not monitor stock splits, rights distributions, or optional dividend payments.

On the payable date, or on the day following the settlement of the trade at DTC (whichever is later), the seller receives a debit for the income due and the buyer receives a credit via the Adjustment table in the CA Web.

Fail adjustments that are pending or allocated appear under the “Cash Fails” twisty on the **Adjustments** tab.

An **Event Summary** at the top of the Adjustments tab shows the **CUSIP**, **Event Type**, **Record Date**, and **Payable Date** for the distribution.

The area under the Event Summary lists all adjustments to the event. This example shows you Stock Loan and Cash Fails tables. If there were additional adjustments to this event, you’d see those here as well. These tables contain slightly different information, depending on the adjustment type.

Pairing occurs when two DOs contain the same CUSIP, quantity (for the original face value), trade settlement date, and settlement dollar value, and the delivering and contra participants are reversed.

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**Note:**

Although paired transactions are not passed to settlement, you can view these items on CA Web and PTS/PBS for historical items. Paired adjustments are identified as such within the adjustment details of the relevant event record.

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For cash fail adjustments, you can see information about the event's option that the adjustment applies to, as well as when the adjustment is scheduled to be applied to your account.

The information in this table includes:

- The **Option** number.
- The **Option Type**.
- The **Post Date**, or the date on which DTC is scheduled to apply the adjustment to your account.
- The **Contra Party**, which is the entity on the other side of this Fail.
- The **Adjustment Amount**. Here, you can see that all items have been paired.
- The **Allocation Date/Time**. For cash fails, this happens on the payable date or on the day following the failed delivery, whichever is later.
- **Fail Status**, which will appear if pairing occurred as "Deleted Paired." DTC does not process debit and credit adjustments for settlement when the underlying DOs are paired. This eliminates redundant debit and credit adjustments that net to zero.

Please note that the **Post Date** may not reflect the **Payable Date**: the post date is when DTC actually applies the adjustment. Note that the post date may, in some cases, be several days after the payable date.

To see additional information regarding debits and credits to be applied, click any of the **View** hyperlinks. Each link opens a window that shows details of a cash fail adjustment.

For these adjustments, you will notice that the "prepared by" field will often read "Customer Service." The Customer Help Center's phone number is provided here—you can call for more information if you need it.

Here, we see that on April 30<sup>th</sup>, you were credited \$755.78, the cash equivalent of 3359 shares, for a failed DO carrying a due bill entered into with contra 0123.

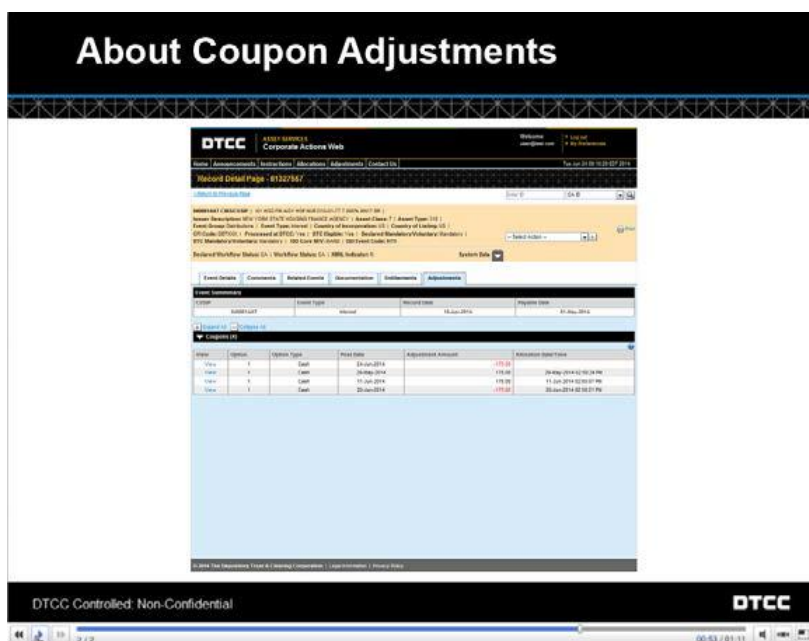
This fail adjustment was sent to the CA Web from DTC's ATP Settlement system. You can see the ATP Record ID here as well. The notation "Reason: ITEM PAIRED" means that the underlying DOs are paired. If you look on the Cash Fails table, you'll see that the client also shows a debit for the same amount: "-755.78".

If the underlying DOs were not paired, the original credit would be paid to the client's account once the fail was resolved. The client would then receive the due bill payment it was entitled to.

## Coupon Adjustments

### Please note:

This is the transcript of an animated Help topic. To play the topic, refer to the topic of the same name in the online Help.



Coupon adjustments, also called “coupon payments,” are cash adjustments paid on bearer bond debt interest. These adjustments will only appear if you participate in the DTC Coupon Service.

The coupon clipping service allows you to receive interest payments on coupons deposited directly with DTC for collection. Typically, payments are semi-annual, meaning that a 30-year bond would have 60 coupons attached to it. If you participate in the coupon collection service, the depositing client receives a credit on the payable date for the income due.

Coupon adjustments that are pending or allocated appear under the “Coupons” twisty on the **Adjustments** tab.

An **Event Summary** at the top of the **Adjustments** tab shows the **CUSIP**, **Event Type**, **Record Date**, and **Payable Date** for the distribution.

The area under the Event Summary lists all adjustments to the event. This example shows you only the Coupon table. If there were additional adjustments to this event, you’d see those here as well. These tables contain slightly different information, depending on the adjustment type.

For Coupon adjustments, you can see information about the event’s option that the adjustment applies to, as well as when the adjustment is scheduled to be applied to your account.

The information in this table includes:

- The **Option** number.
- The **Option Type**.
- The **Post Date**, or the date on which DTC is scheduled to apply the adjustment to your account.

- The **Adjustment Amount**, and
- The **Allocation Date and Time**.

Please note that the **Post Date** may not reflect the **Payable Date**: the post date is when DTC actually applies the adjustment. Note that the post date may, in some cases, be several days after the payable date.

To see additional information regarding debits and credits to be applied, click any of the **View** hyperlinks. Each link opens a window that shows details of a coupon adjustment.

For these adjustments, you will notice that the “prepared by” field will often read “Coupon COLL SUPV.” The supervisor’s phone number is provided—you can call for more information if you need it.

Here, we see that on May 29th, you were credited \$175.00. You can see the deposit number on the coupon as well.

## Stock Adjustment Types

The **Adjustments** tab shows you a number of stock adjustment types:

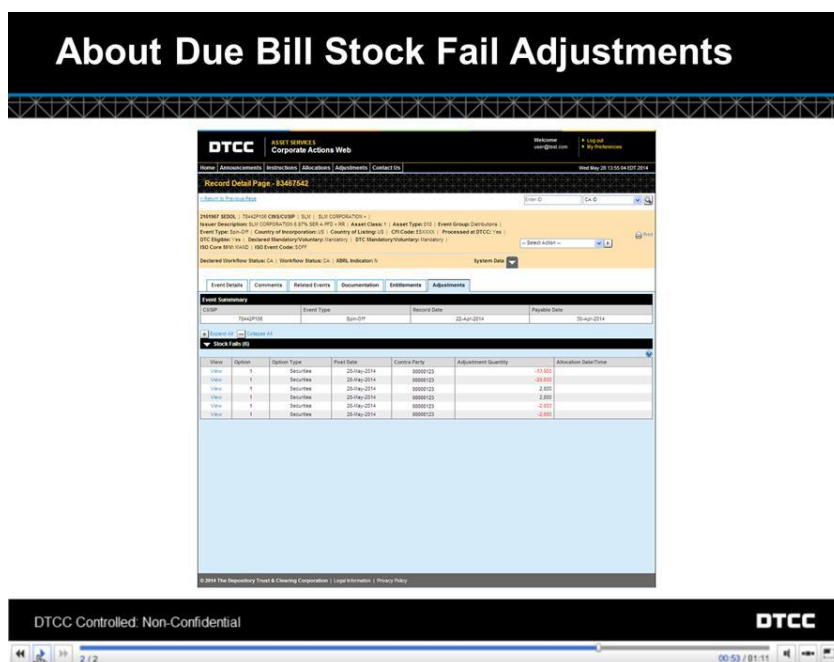
- [Fail Adjustments](#)
- [Stock Loan Adjustments](#)
- [Stock Adjustments](#)

Note that you will only see an event type if it applies to your account. If you do not have any activity for a particular event type, it will not appear in the **Stock** table’s **Event Type** column.

## Stock Fail Adjustments

### Please note:

This is the transcript of an animated Help topic. To play the topic, refer to the topic of the same name in the online Help.



Due bill fail tracking stock adjustments, also called “Fails”, are individual stock debits or credits to your account for failed deliver orders (“DOs”) carrying due bills.

A stock distribution event can include stock fail adjustments for a number of reasons.

A failed DO is one which was originally scheduled to settle on or before the record date, but instead settled after the record date. Fails sometimes result in buyers not receiving a dividend or interest payment to which they are entitled. Previously, such deliveries were made with a due bill attached and handled outside of DTC between the parties impacted by the trade.

If due bill fail tracking is enabled on the original DO, the CA Web automatically generates cash and stock dividend adjustments for most failed DOs requiring a due bill.

Keep in mind that due bill fail tracking does not monitor stock splits, rights distributions, or optional dividend payments.

On the payable date, or on the day following the settlement of the trade at DTC (whichever is later), the seller receives a debit for the income due and the buyer receives a credit via the Adjustment table in the CA Web.

Fail adjustments that are pending or allocated appear under the “Stock Fails” twisty on the **Adjustments** tab.

An **Event Summary** at the top of the Adjustments tab shows the **CUSIP**, **Event Type**, **Record Date**, and **Payable Date** for the distribution.

The area under the Event Summary lists all adjustments to the event. This example shows you the Stock Fails table. If there were additional adjustments to this event, you'd see those here as well. These tables contain slightly different information, depending on the adjustment type.

Pairing occurs when two DOs contain the same CUSIP, quantity (for the original face value), trade settlement date, and settlement dollar value, and the delivering and contra parties are reversed.

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**Note:**

Although paired transactions are not passed to settlement, you can view these items on CA Web and PTS/PBS for historical items. Paired adjustments are identified as such within the adjustment details of the relevant event record.

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For stock fail adjustments, you can see information about the event's option that the adjustment applies to, as well as when the adjustment is scheduled to be applied to your account.

The information in this table includes:

- The **Option** number.
- The **Option Type**.
- The **Post Date**, or the date on which DTC is scheduled to apply the adjustment to your account.
- The **Contra Party**, which is the entity on the other side of this Fail.
- The **Adjustment Quantity**. Here, you can see paired items.
- The **Allocation Date/Time**. For stock fails, this happens on the payable date or on the day following the failed delivery, whichever is later.

Please note that the **Post Date** may not reflect the event's **Payable Date**: the post date is when DTC actually applies the stock adjustment. Note that the post date may, in some cases, be several days after the event's payable date.

To see additional information regarding debits and credits to be applied, click any of the **View** hyperlinks. Each link opens a window that shows details of a stock fail adjustment.

For these adjustments, you will notice that the "prepared by" field will often read "Customer Service." The Customer Help Center's phone number is provided here—you can call for more information if you need it.

Here, we see that on May 28<sup>th</sup>, you were debited (or charged) 13,900 shares for a failed DO carrying a due bill entered into with contra 0123.

This fail adjustment was sent to the CA Web from DTC's Automated Transaction Processor ("ATP") Settlement system. You can see the ATP Record ID here as well.

In this example, the original shares will be debited from the client's account once the fail is resolved. The client will then be able to pay the shares to the contra party that is entitled to the due bill.

However, if fail items are paired, your account will not be affected by the adjustment and you will see the notation "REASON: ITEM PAIRED."

If the underlying DOs were not paired, the original credit would be paid to the client's account once the fail was resolved. The client would then receive the due bill payment it was entitled to.



## Stock Loan Adjustments

### Please note:

This is the transcript of an animated Help topic. To play the topic, refer to the topic of the same name in the online Help.

About Stock Loan Stock Adjustments

Stock loan stock adjustments, also called income-tracked securities lending adjustments, are individual stock debits or credits to your account.

A stock distribution event can include stock loan adjustments for a number of reasons. For example, they may include your account being credited or debited on the post date due to a stock loan allocation or charge against your account.

Stock loan stock adjustments that are pending or allocated appear under the **Stock Loans Stock** twisty on the **Adjustments** tab.

An **Event Summary** at the top of the Adjustments tab shows the **CUSIP**, **Event Type**, **Record Date**, and **Payable Date** for the distribution.

The area under the Event Summary lists all adjustments to the event. You can see more than one adjustment type here, listed out in separate tables.

This example shows you a Stock Loans Stock table, but if there were other adjustments to this event, you'd see those in this space. These tables contain slightly different information, depending on the adjustment type.

For stock loan stock adjustments, you can see information about the option on the event that the adjustment applies to, as well as when the adjustment is scheduled to allocate. For stock loan and repo adjustments, the allocation will happen intraday.

Specifically, this information includes:

- The **Option** number.
- The **Option Type**.
- The **DTC Post Date**, or the date on which DTC is scheduled to apply the adjustment to your account.
- The **Contra Party**.
- The **Adjustment Quantity**.
- The **Allocation Date/Time**.

If you hold a long stock loan net position, you will receive a credit adjustment on the payable date for any periodic principal and income distributions. If you have a short stock loan net position, you will receive a debit adjustment on the payable date. As is the case with repo adjustments, the allocation will occur intraday.

Please note that the **Post Date** may not reflect the event's **Payable Date**: the post date is when DTC anticipates applying the adjustment to your account.

To see additional information regarding debits and credits to be applied, click any of the **View** hyperlinks. Each link opens a window that shows details of a stock loan stock adjustment.

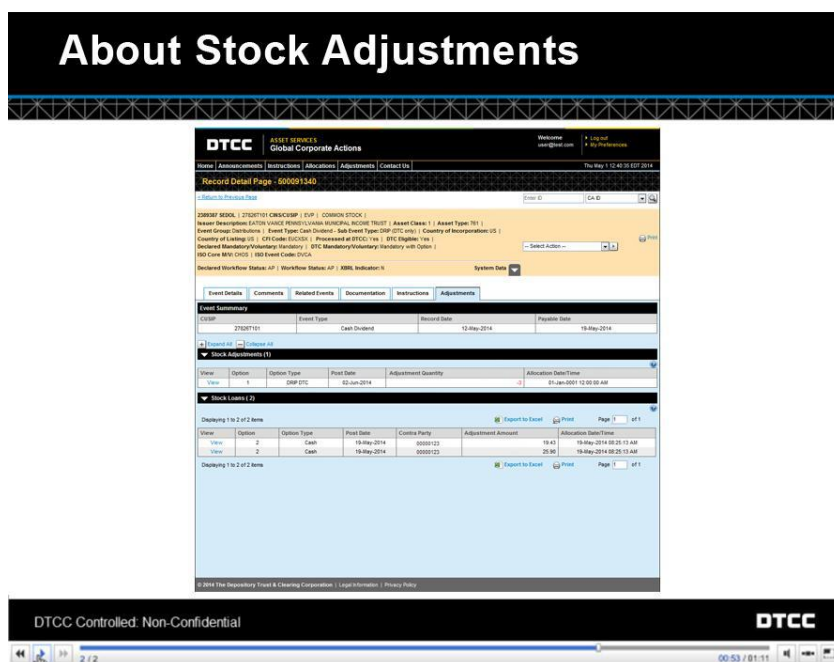
For these adjustments, you will notice that the “prepared by” field will often read “Customer Service.” The Customer Help Center’s phone number is provided here—you can call for more information if you need it.

Here, we see that on May 28<sup>th</sup>, your firm was credited 6,373 shares for a stock loan entered into with contra 0123. This stock loan stock *adjustment* was recorded by DTC’s Automated Transaction Processor (“ATP”) system.

## Stock Adjustments

### Please note:

This is the transcript of an animated Help topic. To play the topic, refer to the topic of the same name in the online Help.



Stock adjustments are individual dividend share adjustments that create debits or credits to your account.

A stock distribution event can include stock adjustments for a number of reasons, such as a rate change or other situation in which a manual debit or credit is made to your account.

Stock adjustments that are pending or allocated appear under the **Stock Adjustments** twisty on the **Adjustments** tab.

An **Event Summary** at the top of the Adjustments tab shows the **CUSIP**, **Event Type**, **Record Date**, and **Payable Date** for the distribution.

The area under the Event Summary lists all adjustments to the event. You can see more than one adjustment type here, listed out in separate tables.

This example shows you two types of stock adjustments, but if there were other adjustments to this event, you'd see those in this space as well. These tables contain slightly different information, depending on the adjustment type.

For stock adjustments, you can see information about the option on the event that the adjustment applies to, as well as when the adjustment is scheduled to pay.

Specifically, this information includes:

- The **Option** number.
- The **Option Type**.

- The **DTC Post Date**, or the date on which DTC is scheduled to make the adjustment to your account.
- The **Adjustment Quantity**, and
- The **Allocation Date/Time**.

Please note that the **Post Date** may not reflect the event's **Payable Date**: the post date is when DTC anticipates applying the adjustment to your account.

To see additional information regarding debits and credits to be applied, click any of the **View** hyperlinks. Each link opens a window that shows details of a stock adjustment.

For these adjustments, you will notice that the “prepared by” field will often read “Customer Service.” The Customer Help Center’s phone number is provided here—you can call for more information if you need it.

Here, we see that on June 2nd, your firm was debited three shares due to a manual allocation adjustment.

## Viewing Adjustments

### Viewing an Adjustment

You can find any adjustment by using the [Quick Search](#) to find an event by CA ID, Security ID, or Disbursed Security ID and clicking on the **Adjustments** tab.

Alternately, you can use the Adjustments Overview page:

1. Click **Adjustments > Overview** on the top menu bar.

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Mon Apr 28 13:41:09 EDT 2014

**Adjustments**  
Overview  
Not Processed APOS

Enter ID | CA ID

Company Searches | Personal Searches | Preferences | Vendor Times

**Distributions**

**Instructions**

| Service                       | Cut Off Today<br>28-Apr-2014 |            | Cut Off<br>29-Apr-2014 |            | Active       |            |
|-------------------------------|------------------------------|------------|------------------------|------------|--------------|------------|
|                               | Uninstructed                 | Instructed | Uninstructed           | Instructed | Uninstructed | Instructed |
| Dividend Reinvestment         | 5                            | 0          | 0                      | 0          | 0            | 0          |
| Dividend Reinvestment Opt-Out | 0                            | 0          | 0                      | 0          | 0            | 0          |
| Foreign Currency              | 0                            | 0          | 1                      | 0          | 12           | 0          |
| Foreign Tax Relief            | 1                            | 0          | 5                      | 0          | 29           | 0          |
| Optional Dividends            | 2                            | 0          | 1                      | 0          | 3            | 0          |
| Cash-in-Lieu / Round Up       | 0                            | 0          | 0                      | 0          | 0            | 0          |
| Foreign Tax Reclaim           | 0                            | 0          | 0                      | 0          | 6            | 0          |

**Allocations (Today)**

Last Updated:

| Allocation Type | Total Due | Unallocated | Allocated |
|-----------------|-----------|-------------|-----------|
|                 |           |             |           |

**Announcements**

| Key Data Updated on Event                | Events        |
|--|---------------|
| New events with DTC Elections            | 24            |
| DTC Rate To Rate Change                  | 0             |
| DTC Zero Rate To Rate Change             | 1             |
| Late Announcements without DTC Elections | 4             |
| Canceled/Deleted Events                  | 1             |
| Events with DTC Position Capture Today   | 3             |
| Events Carrying Due Bills                | 0             |
| Events with DTC Important Notices Added  | 0             |
| <b>Warnings</b>                          | <b>Events</b> |
| Late Announcements with DTC Elections    | 9             |
| Events with Late Ex Date                 | 0             |
| Events with Zero rate on Payable date    | 0             |

This opens the Adjustments Overview page.

2. Click any blue number count in an adjustment type column.

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Adjustments Overview

Enter ID

CA ID

Distributions

Adjustment History Search

Expand All

Collapse All

All Adjustments

Allocated Adjustments

Unallocated Adjustments

Print

Show 7-day Adjustment History

Today - 09-Jun-2014

Show 7-day Adjustment Forecast

Cash (5750)

| Event Type                 | Cash           |       | Stock Loan     |       | Repo          |       | Rate       |       | Misc/GL        |       | Fails       |       |
|----------------------------|----------------|-------|----------------|-------|---------------|-------|------------|-------|----------------|-------|-------------|-------|
|                            | Net Amount     | Count | Net Amount     | Count | Net Amount    | Count | Net Amount | Count | Net Amount     | Count | Net Amount  | Count |
| Capital Gains Distribution | 386,529.47     | 31    | 386,529.47     | 31    | 0.00          | 0     | 0.00       | 0     | 0.00           | 0     | 0.00        | 0     |
| Cash Dividend              | -52,474,117.72 | 2251  | -54,980,941.67 | 1981  | 106,112.75    | 1     | 0.00       | 0     | 2,471,293.65   | 47    | -70,582.45  | 222   |
| Change                     | -1,845.00      | 2     | -1,845.00      | 2     | 0.00          | 0     | 0.00       | 0     | 0.00           | 0     | 0.00        | 0     |
| Interest                   | -7,325,824.59  | 2385  | -22,388,595.59 | 484   | 10,615,827.57 | 1669  | 0.00       | 0     | 4,483,723.24   | 91    | -36,779.81  | 141   |
| Liquidation                | 44,625.00      | 6     | 44,625.00      | 6     | 0.00          | 0     | 0.00       | 0     | 0.00           | 0     | 0.00        | 0     |
| Principal                  | -29,271,496.55 | 1033  | -43,038.11     | 8     | 237,276.26    | 948   | 0.00       | 0     | -29,465,734.70 | 31    | 0.00        | 46    |
| Return of Capital          | -415.58        | 5     | -415.58        | 5     | 0.00          | 0     | 0.00       | 0     | 0.00           | 0     | 0.00        | 0     |
| Special Dividend           | 29,413.40      | 34    | 29,413.40      | 34    | 0.00          | 0     | 0.00       | 0     | 0.00           | 0     | 0.00        | 0     |
| Spin-Off                   | 0.00           | 3     | 0.00           | 0     | 0.00          | 0     | 0.00       | 0     | 0.00           | 0     | 0.00        | 3     |
| Total                      | -88,613,131.57 | 5750  | -76,954,268.08 | 2551  | 10,959,216.58 | 2618  | 0.00       | 0     | -22,510,717.81 | 169   | -107,362.26 | 412   |

Stock (60)

| Event Type  | Stock | Fails | Stock Loan | Stock Adjustments |
|-------------|-------|-------|------------|-------------------|
| Spin-Off    | 9     | 9     | 0          | 0                 |
| Stock Split | 51    | 0     | 51         | 0                 |
| Total       | 60    | 9     | 51         | 0                 |

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This opens a Search Results page for that adjustment type.

3. Click any blue link in the **CA ID** column.

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Tue Jun 10 08:32:54 EDT 2014

**Adjustments - Total Adjustments - Cash - Cash Adjustments - All - Capital Gains Distribution - 10-Jun-2014 - Search Results**

[Return to Previous Page](#)

Displaying 1 to 20 of 31 items

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| CA ID                     | CUSIP     | Event Type                        | Record Date | Payable Date | DTC Post Date | Type       | Amount    | Status      | Contra   | Allocation Date/Time |
|---------------------------|-----------|-----------------------------------|-------------|--------------|---------------|------------|-----------|-------------|----------|----------------------|
| <a href="#">500044928</a> | 23325P104 | Capital Gains Distribution - DRID | 12-Apr-2014 | 14-May-2014  | 10-Jun-2014   | Stock Loan | 0.00      | Unallocated | 00002482 |                      |
| <a href="#">500044928</a> | 23325P104 | Capital Gains Distribution - DRID | 12-Apr-2014 | 14-May-2014  | 10-Jun-2014   | Stock Loan | 0.00      | Unallocated | 00000904 |                      |
| <a href="#">500044931</a> | 23325P104 | Capital Gains Distribution - DRID | 21-Apr-2014 | 30-May-2014  | 10-Jun-2014   | Stock Loan | 0.00      | Unallocated | 00007400 |                      |
| <a href="#">500044931</a> | 23325P104 | Capital Gains Distribution - DRID | 21-Apr-2014 | 01-Jun-2014  | 10-Jun-2014   | Stock Loan | 0.00      | Unallocated | 00007324 |                      |
| <a href="#">500045083</a> | 67063C106 | Capital Gains Distribution - DRID | 23-May-2014 | 06-Jun-2014  | 10-Jun-2014   | Stock Loan | -300.00   | Unallocated | 00002653 |                      |
| <a href="#">500045083</a> | 67063C106 | Capital Gains Distribution - DRID | 23-May-2014 | 06-Jun-2014  | 10-Jun-2014   | Stock Loan | -270.00   | Unallocated | 00002509 |                      |
| <a href="#">500108312</a> | 459200101 | Capital Gains Distribution        | 05-May-2014 | 09-May-2014  | 10-Jun-2014   | Stock Loan | 2,676.66  | Unallocated | 00000006 |                      |
| <a href="#">500108312</a> | 459200101 | Capital Gains Distribution        | 05-May-2014 | 09-May-2014  | 10-Jun-2014   | Stock Loan | 29,213.10 | Unallocated | 00000139 |                      |
| <a href="#">500108312</a> | 459200101 | Capital Gains Distribution        | 05-May-2014 | 09-May-2014  | 10-Jun-2014   | Stock Loan | 2,709.00  | Unallocated | 00000904 |                      |
| <a href="#">500108312</a> | 459200101 | Capital Gains Distribution        | 05-May-2014 | 09-May-2014  | 10-Jun-2014   | Stock Loan | 21.00     | Unallocated | 00002482 |                      |
| <a href="#">500108312</a> | 459200101 | Capital Gains Distribution        | 05-May-2014 | 09-May-2014  | 10-Jun-2014   | Stock Loan | 25.83     | Unallocated | 00007400 |                      |
| <a href="#">500108312</a> | 459200101 | Capital Gains Distribution        | 05-May-2014 | 09-May-2014  | 10-Jun-2014   | Stock Loan | 630.00    | Unallocated | 00007324 |                      |

Displaying 1 to 20 of 31 items

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Page 1 of 2

**Filter Search Criteria**

CUSIP

Search Reset

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**Note:**

If the CA ID you want is not on this page, you can either scroll through the pages to get to the one you need or sort the column by clicking on the **CA ID** heading.

## Viewing Allocated Adjustments

1. Click **Adjustments > Overview** on the top menu bar.

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Enter ID | CA ID

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**Distributions**

**Instructions**

| Service                       | Cut Off Today<br>28-Apr-2014 |            | Cut Off<br>29-Apr-2014 |            | Active       |            |
|-------------------------------|------------------------------|------------|------------------------|------------|--------------|------------|
|                               | Uninstructed                 | Instructed | Uninstructed           | Instructed | Uninstructed | Instructed |
| Dividend Reinvestment         | 5                            | 0          | 0                      | 0          | 0            | 0          |
| Dividend Reinvestment Opt-Out | 0                            | 0          | 0                      | 0          | 0            | 0          |
| Foreign Currency              | 0                            | 0          | 1                      | 0          | 12           | 0          |
| Foreign Tax Relief            | 1                            | 0          | 5                      | 0          | 29           | 0          |
| Optional Dividends            | 2                            | 0          | 1                      | 0          | 3            | 0          |
| Cash-in-Lieu / Round Up       | 0                            | 0          | 0                      | 0          | 0            | 0          |
| Foreign Tax Reclaim           | 0                            | 0          | 0                      | 0          | 6            | 0          |

**Allocations (Today)**

Last Updated:

| Allocation Type | Total Due | Unallocated | Allocated |
|-----------------|-----------|-------------|-----------|
|                 |           |             |           |

**Announcements**

|  | Events        |
|--|---------------|
| Key Data Updated on Event                | 3791          |
| New events with DTC Elections            | 24            |
| DTC Rate To Rate Change                  | 0             |
| DTC Zero Rate To Rate Change             | 1             |
| Late Announcements without DTC Elections | 4             |
| Canceled/Deleted Events                  | 1             |
| Events with DTC Position Capture Today   | 3             |
| Events Carrying Due Bills                | 0             |
| Events with DTC Important Notices Added  | 0             |
| <b>Warnings</b>                          | <b>Events</b> |
| Late Announcements with DTC Elections    | 9             |
| Events with Late Ex Date                 | 0             |
| Events with Zero rate on Payable date    | 0             |

This opens the Adjustments Overview page.

2. Click **Allocated Adjustments**.

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**Adjustments Overview**

Enter ID:  CA ID:

**Distributions**

Adjustment History Search

☒ All Adjustments ☒ **Allocated Adjustments** ☐ Unallocated Adjustments

[Show 7-day Adjustment History](#) [Today - 06-Jun-2014](#) [Show 7-day Adjustment Forecast](#)

▼ **Cash (5662)**

| Event Type                 | Cash                  |             | Stock Loan            |             | Repo                 |             | Rate        |          | Misc/GL               |            | Fails             |            |
|----------------------------|-----------------------|-------------|-----------------------|-------------|----------------------|-------------|-------------|----------|-----------------------|------------|-------------------|------------|
|                            | Net Amount            | Count       | Net Amount            | Count       | Net Amount           | Count       | Net Amount  | Count    | Net Amount            | Count      | Net Amount        | Count      |
| Capital Gains Distribution | 386,529.47            | 31          | 386,529.47            | 31          | 0.00                 | 0           | 0.00        | 0        | 0.00                  | 0          | 0.00              | 0          |
| Cash Dividend              | -52,291,365.51        | 2189        | -54,799,842.78        | 1922        | 106,112.75           | 1           | 0.00        | 0        | 2,475,262.92          | 46         | -72,898.40        | 220        |
| Change                     | -1,845.00             | 2           | -1,845.00             | 2           | 0.00                 | 0           | 0.00        | 0        | 0.00                  | 0          | 0.00              | 0          |
| Interest                   | -4,928,720.19         | 2362        | -20,189,281.59        | 462         | 10,615,827.57        | 1669        | 0.00        | 0        | 4,662,728.83          | 90         | -17,995.00        | 141        |
| Liquidation                | 44,625.00             | 6           | 44,625.00             | 6           | 0.00                 | 0           | 0.00        | 0        | 0.00                  | 0          | 0.00              | 0          |
| Principal                  | -29,118,002.28        | 1032        | -43,038.11            | 8           | 237,276.26           | 948         | 0.00        | 0        | -29,312,240.43        | 30         | 0.00              | 46         |
| Return of Capital          | -415.58               | 5           | -415.58               | 5           | 0.00                 | 0           | 0.00        | 0        | 0.00                  | 0          | 0.00              | 0          |
| Special Dividend           | 33,913.40             | 33          | 33,913.40             | 33          | 0.00                 | 0           | 0.00        | 0        | 0.00                  | 0          | 0.00              | 0          |
| Spin-Off                   | 0.00                  | 2           | 0.00                  | 0           | 0.00                 | 0           | 0.00        | 0        | 0.00                  | 0          | 0.00              | 2          |
| <b>Total</b>               | <b>-85,875,280.69</b> | <b>5662</b> | <b>-74,569,355.19</b> | <b>2469</b> | <b>10,959,216.58</b> | <b>2618</b> | <b>0.00</b> | <b>0</b> | <b>-22,174,248.68</b> | <b>166</b> | <b>-90,893.40</b> | <b>409</b> |

▼ **Stock (59)**

| Event Type   | Stock     | Fails    | Stock Loan | Stock Adjustments |
|--------------|-----------|----------|------------|-------------------|
| Spin-Off     | 8         | 8        | 0          | 0                 |
| Stock Split  | 51        | 0        | 51         | 0                 |
| <b>Total</b> | <b>59</b> | <b>8</b> | <b>51</b>  | <b>0</b>          |

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The **Adjustments Overview** page displays only those items that have been allocated.

**Note:**

If no adjustments have been allocated, CA Web displays empty tables.



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### Adjustments Overview

Enter ID | CA ID | Search

**Distributions**

Adjustment History Search

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☐ All Adjustments ☒ Allocated Adjustments ☐ Unallocated Adjustments

Print

[Show 7-day Adjustment History](#) | [Today - 06-Jun-2014 Allocated Adjustments](#) | [Show 7-day Adjustment Forecast](#)

▼ **Cash (0)**

There is no data to display.

▼ **Stock (0)**

There is no data to display.

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## Viewing Unallocated Adjustments

1. Click **Adjustments > Overview** on the top menu bar.

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Overview | Not Processed APOS

Enter ID | CA ID | Search

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**Distributions**

**Instructions**

| Service                       | Cut Off Today<br>28-Apr-2014 |            | Cut Off<br>29-Apr-2014 |            | Active       |            |
|-------------------------------|------------------------------|------------|------------------------|------------|--------------|------------|
|                               | Uninstructed                 | Instructed | Uninstructed           | Instructed | Uninstructed | Instructed |
| Dividend Reinvestment         | 5                            | 0          | 0                      | 0          | 0            | 0          |
| Dividend Reinvestment Opt-Out | 0                            | 0          | 0                      | 0          | 0            | 0          |
| Foreign Currency              | 0                            | 0          | 1                      | 0          | 12           | 0          |
| Foreign Tax Relief            | 1                            | 0          | 5                      | 0          | 29           | 0          |
| Optional Dividends            | 2                            | 0          | 1                      | 0          | 3            | 0          |
| Cash-in-Lieu / Round Up       | 0                            | 0          | 0                      | 0          | 0            | 0          |
| Foreign Tax Reclaim           | 0                            | 0          | 0                      | 0          | 6            | 0          |

**Allocations (Today)**

Last Updated:

| Allocation Type | Total Due | Unallocated | Allocated |
|-----------------|-----------|-------------|-----------|
|                 |           |             |           |

**Announcements**

| Key Data Updated on Event                | Events |
|--|--------|
| New events with DTC Elections            | 24     |
| DTC Rate To Rate Change                  | 0      |
| DTC Zero Rate To Rate Change             | 1      |
| Late Announcements without DTC Elections | 4      |
| Canceled/Deleted Events                  | 1      |
| Events with DTC Position Capture Today   | 3      |
| Events Carrying Due Bills                | 0      |
| Events with DTC Important Notices Added  | 0      |

**Warnings**

| Warnings                              | Events |
|---------------------------------------|--------|
| Late Announcements with DTC Elections | 9      |
| Events with Late Ex Date              | 0      |
| Events with Zero rate on Payable date | 0      |

This opens the Adjustments Overview page.

2. Click **Unallocated Adjustments**.

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**Adjustments Overview**

Enter ID:  CA ID:

**Distributions**

Adjustment History Search

☒ All Adjustments ☐ Allocated Adjustments ☐ **Unallocated Adjustments**

[Show 7-day Adjustment History](#) [Today - 06-Jun-2014](#) [Show 7-day Adjustment Forecast](#)

▼ **Cash (5662)**

| Event Type                 | Cash                  |             | Stock Loan            |             | Repo                 |             | Rate        |          | Misc/GL               |            | Fails             |            |
|----------------------------|-----------------------|-------------|-----------------------|-------------|----------------------|-------------|-------------|----------|-----------------------|------------|-------------------|------------|
|                            | Net Amount            | Count       | Net Amount            | Count       | Net Amount           | Count       | Net Amount  | Count    | Net Amount            | Count      | Net Amount        | Count      |
| Capital Gains Distribution | 386,529.47            | 31          | 386,529.47            | 31          | 0.00                 | 0           | 0.00        | 0        | 0.00                  | 0          | 0.00              | 0          |
| Cash Dividend              | -52,291,365.51        | 2189        | -54,799,842.78        | 1922        | 106,112.75           | 1           | 0.00        | 0        | 2,475,262.92          | 46         | -72,898.40        | 220        |
| Change                     | -1,845.00             | 2           | -1,845.00             | 2           | 0.00                 | 0           | 0.00        | 0        | 0.00                  | 0          | 0.00              | 0          |
| Interest                   | -4,928,720.19         | 2362        | -20,189,281.59        | 462         | 10,615,827.57        | 1669        | 0.00        | 0        | 4,662,728.83          | 90         | -17,995.00        | 141        |
| Liquidation                | 44,625.00             | 6           | 44,625.00             | 6           | 0.00                 | 0           | 0.00        | 0        | 0.00                  | 0          | 0.00              | 0          |
| Principal                  | -29,118,002.28        | 1032        | -43,038.11            | 8           | 237,276.26           | 948         | 0.00        | 0        | -29,312,240.43        | 30         | 0.00              | 46         |
| Return of Capital          | -415.58               | 5           | -415.58               | 5           | 0.00                 | 0           | 0.00        | 0        | 0.00                  | 0          | 0.00              | 0          |
| Special Dividend           | 33,913.40             | 33          | 33,913.40             | 33          | 0.00                 | 0           | 0.00        | 0        | 0.00                  | 0          | 0.00              | 0          |
| Spin-Off                   | 0.00                  | 2           | 0.00                  | 0           | 0.00                 | 0           | 0.00        | 0        | 0.00                  | 0          | 0.00              | 2          |
| <b>Total</b>               | <b>-85,875,280.69</b> | <b>5662</b> | <b>-74,569,355.19</b> | <b>2469</b> | <b>10,959,216.58</b> | <b>2618</b> | <b>0.00</b> | <b>0</b> | <b>-22,174,248.68</b> | <b>166</b> | <b>-90,893.40</b> | <b>409</b> |

▼ **Stock (59)**

| Event Type   | Stock     | Fails    | Stock Loan | Stock Adjustments |
|--------------|-----------|----------|------------|-------------------|
| Spin-Off     | 8         | 8        | 0          | 0                 |
| Stock Split  | 51        | 0        | 51         | 0                 |
| <b>Total</b> | <b>59</b> | <b>8</b> | <b>51</b>  | <b>0</b>          |

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The **Adjustments Overview** page displays only those items that have not yet been allocated.

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Fri Jun 6 09:47:18 EDT 2014

## Adjustments Overview

Enter ID
CA ID

Distributions

Adjustment History Search

+ Expand All - Collapse All

☐ All Adjustments ☐ Allocated Adjustments ☒ Unallocated Adjustments

Print

[Show 7-day Adjustment History](#)
[Today - 06-Jun-2014 Unallocated Adjustments](#)
[Show 7-day Adjustment Forecast](#)

▼ Cash (5662)

| Event Type                 | Cash           |       | Stock Loan     |       | Repo          |       | Rate       |       | Misc/GL        |       | Fails      |       |
|----------------------------|----------------|-------|----------------|-------|---------------|-------|------------|-------|----------------|-------|------------|-------|
|                            | Net Amount     | Count | Net Amount     | Count | Net Amount    | Count | Net Amount | Count | Net Amount     | Count | Net Amount | Count |
| Capital Gains Distribution | 386,529.47     | 31    | 386,529.47     | 31    | 0.00          | 0     | 0.00       | 0     | 0.00           | 0     | 0.00       | 0     |
| Cash Dividend              | -52,291,365.51 | 2189  | -54,799,842.78 | 1922  | 106,112.75    | 1     | 0.00       | 0     | 2,475,262.92   | 46    | -72,898.40 | 220   |
| Change                     | -1,845.00      | 2     | -1,845.00      | 2     | 0.00          | 0     | 0.00       | 0     | 0.00           | 0     | 0.00       | 0     |
| Interest                   | -4,928,720.19  | 2362  | -20,189,281.59 | 462   | 10,615,827.57 | 1669  | 0.00       | 0     | 4,662,728.83   | 90    | -17,995.00 | 141   |
| Liquidation                | 44,625.00      | 6     | 44,625.00      | 6     | 0.00          | 0     | 0.00       | 0     | 0.00           | 0     | 0.00       | 0     |
| Principal                  | -29,118,002.28 | 1032  | -43,038.11     | 8     | 237,276.26    | 948   | 0.00       | 0     | -29,312,240.43 | 30    | 0.00       | 46    |
| Return of Capital          | -415.58        | 5     | -415.58        | 5     | 0.00          | 0     | 0.00       | 0     | 0.00           | 0     | 0.00       | 0     |
| Special Dividend           | 33,913.40      | 33    | 33,913.40      | 33    | 0.00          | 0     | 0.00       | 0     | 0.00           | 0     | 0.00       | 0     |
| Spin-Off                   | 0.00           | 2     | 0.00           | 0     | 0.00          | 0     | 0.00       | 0     | 0.00           | 0     | 0.00       | 2     |
| Total                      | -85,875,280.69 | 5662  | -74,569,355.19 | 2469  | 10,959,216.58 | 2618  | 0.00       | 0     | -22,174,248.68 | 166   | -90,893.40 | 409   |

▼ Stock (59)

| Event Type  | Stock | Fails | Stock Loan | Stock Adjustments |
|-------------|-------|-------|------------|-------------------|
| Spin-Off    | 8     | 8     | 0          | 0                 |
| Stock Split | 51    | 0     | 51         | 0                 |
| Total       | 59    | 8     | 51         | 0                 |

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**Note:**

If all adjustments have been allocated, CA Web displays empty tables.

## Performing an Adjustment History Search

Use the Adjustment History Search to research aged and allocated adjustments.

1. Click **Adjustments > Overview** on the top menu bar.

The screenshot shows the DTCC Asset Services Corporate Actions Web interface. The top navigation bar includes links for Home, Announcements, Instructions, **Adjustments**, and Contact Us. The **Adjustments** menu is expanded, showing 'Overview' and 'Not Processed APOs'. The 'Overview' option is selected. The main content area is divided into three sections: Instructions, Allocations (Today), and Announcements.

**Instructions**

| Service                       | Cut Off Today<br>28-Apr-2014 |            | Cut Off<br>29-Apr-2014 |            | Active       |            |
|-------------------------------|------------------------------|------------|------------------------|------------|--------------|------------|
|                               | Uninstructed                 | Instructed | Uninstructed           | Instructed | Uninstructed | Instructed |
| Dividend Reinvestment         | 5                            | 0          | 0                      | 0          | 0            | 0          |
| Dividend Reinvestment Opt-Out | 0                            | 0          | 0                      | 0          | 0            | 0          |
| Foreign Currency              | 0                            | 0          | 1                      | 0          | 12           | 0          |
| Foreign Tax Relief            | 1                            | 0          | 5                      | 0          | 29           | 0          |
| Optional Dividends            | 2                            | 0          | 1                      | 0          | 3            | 0          |
| Cash-in-Lieu / Round Up       | 0                            | 0          | 0                      | 0          | 0            | 0          |
| Foreign Tax Reclaim           | 0                            | 0          | 0                      | 0          | 6            | 0          |

**Allocations (Today)**

Last Updated:

| Allocation Type | Total Due | Unallocated | Allocated |
|-----------------|-----------|-------------|-----------|
|                 |           |             |           |

**Announcements**

|  | Events |
|--|--------|
| Key Data Updated on Event                | 3791   |
| New events with DTC Elections            | 24     |
| DTC Rate To Rate Change                  | 0      |
| DTC Zero Rate To Rate Change             | 1      |
| Late Announcements without DTC Elections | 4      |
| Canceled/Deleted Events                  | 1      |
| Events with DTC Position Capture Today   | 3      |
| Events Carrying Due Bills                | 0      |
| Events with DTC Important Notices Added  | 0      |
| Warnings                                 | Events |
| Late Announcements with DTC Elections    | 9      |
| Events with Late Ex Date                 | 0      |
| Events with Zero rate on Payable date    | 0      |

This opens the Adjustments Overview page.

2. Click the **Adjustment History Search** twisty.

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[Home](#) | [Announcements](#) | [Instructions](#) | [Allocations](#) | [Adjustments](#) | [Contact Us](#) | Mon Jun 9 13:32:16 EDT 2014

**Adjustments Overview**

Enter ID  CA ID

**Distributions**

**Adjustment History Search**

[Expand All](#) [Collapse All](#) ☒ All Adjustments ☐ Allocated Adjustments ☐ Unallocated Adjustments [Print](#)

[Show 7-day Adjustment History](#) [Today - 09-Jun-2014](#) [Show 7-day Adjustment Forecast](#)

▼ **Cash (5750)**

| Event Type                 | Cash                  |             | Stock Loan            |             | Repo                 |             | Rate        |          | Misc/GL               |            | Fails              |            |
|----------------------------|-----------------------|-------------|-----------------------|-------------|----------------------|-------------|-------------|----------|-----------------------|------------|--------------------|------------|
|                            | Net Amount            | Count       | Net Amount            | Count       | Net Amount           | Count       | Net Amount  | Count    | Net Amount            | Count      | Net Amount         | Count      |
| Capital Gains Distribution | 386,529.47            | 31          | 386,529.47            | 31          | 0.00                 | 0           | 0.00        | 0        | 0.00                  | 0          | 0.00               | 0          |
| Cash Dividend              | -52,474,117.72        | 2251        | -54,980,941.67        | 1981        | 106,112.75           | 1           | 0.00        | 0        | 2,471,293.65          | 47         | -70,582.45         | 222        |
| Change                     | -1,845.00             | 2           | -1,845.00             | 2           | 0.00                 | 0           | 0.00        | 0        | 0.00                  | 0          | 0.00               | 0          |
| Interest                   | -7,325,824.59         | 2385        | -22,388,595.59        | 484         | 10,615,827.57        | 1669        | 0.00        | 0        | 4,483,723.24          | 91         | -36,779.81         | 141        |
| Liquidation                | 44,625.00             | 6           | 44,625.00             | 6           | 0.00                 | 0           | 0.00        | 0        | 0.00                  | 0          | 0.00               | 0          |
| Principal                  | -29,271,496.55        | 1033        | -43,038.11            | 8           | 237,276.26           | 948         | 0.00        | 0        | -29,465,734.70        | 31         | 0.00               | 46         |
| Return of Capital          | -415.58               | 5           | -415.58               | 5           | 0.00                 | 0           | 0.00        | 0        | 0.00                  | 0          | 0.00               | 0          |
| Special Dividend           | 29,413.40             | 34          | 29,413.40             | 34          | 0.00                 | 0           | 0.00        | 0        | 0.00                  | 0          | 0.00               | 0          |
| Spin-Off                   | 0.00                  | 3           | 0.00                  | 0           | 0.00                 | 0           | 0.00        | 0        | 0.00                  | 0          | 0.00               | 3          |
| <b>Total</b>               | <b>-88,613,131.57</b> | <b>5750</b> | <b>-76,954,268.08</b> | <b>2551</b> | <b>10,959,216.58</b> | <b>2618</b> | <b>0.00</b> | <b>0</b> | <b>-22,510,717.81</b> | <b>169</b> | <b>-107,362.26</b> | <b>412</b> |

▼ **Stock (60)**

| Event Type   | Stock     | Fails    | Stock Loan | Stock Adjustments |
|--------------|-----------|----------|------------|-------------------|
| Spin-Off     | 9         | 9        | 0          | 0                 |
| Stock Split  | 51        | 0        | 51         | 0                 |
| <b>Total</b> | <b>60</b> | <b>9</b> | <b>51</b>  | <b>0</b>          |

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This displays the Adjustment History Search selection criteria.

3. Enter your search criteria and click **Search**.

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Home | Announcements | Instructions | Allocations | Adjustments | Contact Us | Tue Jun 10 09:00:15 EDT 2014

### Adjustments Overview

Enter ID:  CA ID:

**Distributions**

**Adjustment History Search**

Adjustment Type \*

CUSIP  DTC Post Date  And/Or \*  Days (up to 90)

**Search** **Reset**

☐ Expand All ☐ Collapse All ☒ All Adjustments ☐ Allocated Adjustments ☐ Unallocated Adjustments [Print](#)

[Show 7-day Adjustment History](#) [Today - 10-Jun-2014](#) [Show 7-day Adjustment Forecast](#)

**▼ Cash (5768)**

| Event Type                 | Cash                  |             | Stock Loan            |             | Repo                 |             | Rate        |          | Misc/GL               |            | Fails           |            |
|----------------------------|-----------------------|-------------|-----------------------|-------------|----------------------|-------------|-------------|----------|-----------------------|------------|-----------------|------------|
|                            | Net Amount            | Count       | Net Amount            | Count       | Net Amount           | Count       | Net Amount  | Count    | Net Amount            | Count      | Net Amount      | Count      |
| Capital Gains Distribution | 386,529.47            | 31          | 386,529.47            | 31          | 0.00                 | 0           | 0.00        | 0        | 0.00                  | 0          | 0.00            | 0          |
| Cash Dividend              | -50,390,126.76        | 2283        | -53,006,837.19        | 2000        | 106,112.75           | 1           | 0.00        | 0        | 2,484,614.02          | 48         | 25,983.66       | 234        |
| Change                     | -1,845.00             | 2           | -1,845.00             | 2           | 0.00                 | 0           | 0.00        | 0        | 0.00                  | 0          | 0.00            | 0          |
| Interest                   | -5,162,997.01         | 2370        | -20,189,281.59        | 462         | 10,615,827.57        | 1671        | 0.00        | 0        | 4,426,967.01          | 94         | -16,510.00      | 143        |
| Liquidation                | 44,625.00             | 6           | 44,625.00             | 6           | 0.00                 | 0           | 0.00        | 0        | 0.00                  | 0          | 0.00            | 0          |
| Principal                  | -29,271,496.55        | 1034        | -43,038.11            | 8           | 237,276.26           | 949         | 0.00        | 0        | -29,465,734.70        | 31         | 0.00            | 46         |
| Return of Capital          | -415.58               | 5           | -415.58               | 5           | 0.00                 | 0           | 0.00        | 0        | 0.00                  | 0          | 0.00            | 0          |
| Special Dividend           | 29,413.40             | 34          | 29,413.40             | 34          | 0.00                 | 0           | 0.00        | 0        | 0.00                  | 0          | 0.00            | 0          |
| Spin-Off                   | 0.00                  | 3           | 0.00                  | 0           | 0.00                 | 0           | 0.00        | 0        | 0.00                  | 0          | 0.00            | 3          |
| <b>Total</b>               | <b>-84,366,313.03</b> | <b>5768</b> | <b>-72,780,849.60</b> | <b>2548</b> | <b>10,959,216.58</b> | <b>2621</b> | <b>0.00</b> | <b>0</b> | <b>-22,554,153.67</b> | <b>173</b> | <b>9,473.66</b> | <b>426</b> |

**▼ Stock (60)**

| Event Type   | Stock     | Fails    | Stock Loan | Stock Adjustments |
|--------------|-----------|----------|------------|-------------------|
| Spin-Off     | 9         | 9        | 0          | 0                 |
| Stock Split  | 51        | 0        | 51         | 0                 |
| <b>Total</b> | <b>60</b> | <b>9</b> | <b>51</b>  | <b>0</b>          |

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- **Adjustment Type** is required. Select one from the drop-down list.
- You must select either the **CUSIP** or the **DTC Post Date**. You can use both criteria, but you must use at least one.
- For the **DTC Post Date**, you can select a calendar date plus or minus a range of days (up to 90).
- You can set all fields back to blank by clicking **Reset**.

The Search Results page lists all adjustments that match your search criteria. Your criteria are listed at the top of the page.

4. Click any **CA ID** link to view that adjustment record.

You can also scroll through the pages to find the adjustment record you want or sort the column by clicking on the **CA ID** heading.

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Tue Jun 10 09:00:15 EDT 2014

**Adjustments - Allocated Adjustments - Cash - 03-Jun-2014 Plus 15 Days**

Return to Previous Page

Enter ID

CA ID

Displaying 1 to 20 of 681 items

Export to Excel

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Page 1 of 35

| CA ID                    | CUSIP     | Event Type           | Record Date | Payable Date | DTC Post Date | Type        | Amount     | Status    | Contra   | Allocation Date/Time |
|--------------------------|-----------|----------------------|-------------|--------------|---------------|-------------|------------|-----------|----------|----------------------|
| <a href="#">79131313</a> | 00254ELM2 | Interest             | 15-May-2014 | 30-May-2014  | 06-Jun-2014   | Misc GL     | 87,500.00  | Allocated |          | 06-Jun-2014 14:50    |
| <a href="#">79131313</a> | 00254ELM2 | Interest             | 15-May-2014 | 30-May-2014  | 03-Jun-2014   | Misc GL     | 87,500.00  | Allocated |          | 03-Jun-2014 14:50    |
| <a href="#">79691010</a> | 138006309 | Cash Dividend        | 30-Dec-2013 | 07-Apr-2014  | 09-Jun-2014   | Misc GL     | -12,463.86 | Allocated |          | 09-Jun-2014 14:50    |
| <a href="#">80140654</a> | 04878Q863 | Cash Dividend - CE   | 31-Dec-2013 | 31-Jan-2014  | 03-Jun-2014   | Misc GL     | -145.69    | Allocated |          | 03-Jun-2014 14:50    |
| <a href="#">80153845</a> | 464288117 | Cash Dividend        | 04-Jun-2014 | 06-Jun-2014  | 06-Jun-2014   | Stock Loan  | -297.25    | Allocated | 00002509 | 06-Jun-2014 13:05    |
| <a href="#">80153845</a> | 464288117 | Cash Dividend        | 04-Jun-2014 | 06-Jun-2014  | 06-Jun-2014   | Stock Loan  | -297.25    | Allocated | 00002482 | 06-Jun-2014 13:05    |
| <a href="#">80153857</a> | 464288125 | Cash Dividend        | 04-Jun-2014 | 06-Jun-2014  | 06-Jun-2014   | Stock Loan  | 82.82      | Allocated | 00000904 | 06-Jun-2014 13:05    |
| <a href="#">80153857</a> | 464288125 | Cash Dividend        | 04-Jun-2014 | 06-Jun-2014  | 06-Jun-2014   | Stock Loan  | -12.55     | Allocated | 00000139 | 06-Jun-2014 13:05    |
| <a href="#">80153934</a> | 464298333 | Cash Dividend        | 04-Jun-2014 | 06-Jun-2014  | 06-Jun-2014   | Stock Loan  | 3.52       | Allocated | 00000006 | 06-Jun-2014 13:05    |
| <a href="#">80191544</a> | 152314LN8 | Interest             | 28-Feb-2014 | 25-Mar-2014  | 03-Jun-2014   | Rate Change | -7.48      | Allocated |          | 03-Jun-2014 14:50    |
| <a href="#">80191545</a> | 152314LN8 | Principal            | 28-Feb-2014 | 25-Mar-2014  | 03-Jun-2014   | Rate Change | -196.17    | Allocated |          | 03-Jun-2014 14:50    |
| <a href="#">80191546</a> | 152314LP3 | Interest             | 28-Feb-2014 | 25-Mar-2014  | 03-Jun-2014   | Rate Change | -12.03     | Allocated |          | 03-Jun-2014 14:50    |
| <a href="#">80191560</a> | 152314LW8 | Interest             | 28-Feb-2014 | 25-Mar-2014  | 03-Jun-2014   | Rate Change | 0.01       | Allocated |          | 03-Jun-2014 08:25    |
| <a href="#">80212229</a> | 38012EAC9 | Principal            | 24-Mar-2014 | 25-Mar-2014  | 05-Jun-2014   | Rate Change | 593.36     | Allocated |          | 05-Jun-2014 14:50    |
| <a href="#">80261438</a> | 55445RAD9 | Interest             | 28-Feb-2014 | 28-Mar-2014  | 05-Jun-2014   | Rate Change | 32.00      | Allocated |          | 05-Jun-2014 08:25    |
| <a href="#">80292773</a> | 26923E108 | Cash Dividend        | 23-May-2014 | 05-Jun-2014  | 05-Jun-2014   | Stock Loan  | 209.29     | Allocated | 00002509 | 05-Jun-2014 11:45    |
| <a href="#">80309636</a> | 921946885 | Cash Dividend - DRID | 04-Jun-2014 | 06-Jun-2014  | 06-Jun-2014   | Stock Loan  | 1,406.40   | Allocated | 00002482 | 06-Jun-2014 13:25    |
| <a href="#">80309636</a> | 921946885 | Cash Dividend - DRID | 04-Jun-2014 | 06-Jun-2014  | 06-Jun-2014   | Stock Loan  | -20,510.00 | Allocated | 00000904 | 06-Jun-2014 13:25    |
| <a href="#">80309636</a> | 921946885 | Cash Dividend - DRID | 04-Jun-2014 | 06-Jun-2014  | 06-Jun-2014   | Stock Loan  | -87.90     | Allocated | 00000139 | 06-Jun-2014 13:25    |
| <a href="#">80309636</a> | 921946885 | Cash Dividend - DRID | 04-Jun-2014 | 06-Jun-2014  | 06-Jun-2014   | Stock Loan  | 2,988.60   | Allocated | 00000006 | 06-Jun-2014 13:25    |

Displaying 1 to 20 of 681 items

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Page 1 of 35

**Filter Search Criteria**

CUSIP

Search

Reset

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## Viewing a 7-Day Adjustment History

To view your seven-day adjustment history from anywhere in CA Web:

1. Click **Adjustments > Overview** on the top menu bar.

The screenshot shows the DTCC Corporate Actions Web interface. The top navigation bar includes links for Home, Announcements, Instructions, Adjustments, and Contact Us. The Adjustments dropdown menu is open, showing 'Overview' and 'Not Processed APOs'. The main content area displays a table of Instructions and a list of Announcements.

| Service                       | Cut Off Today<br>28-Apr-2014 |            | Cut Off<br>29-Apr-2014 |            | Active       |            |
|-------------------------------|------------------------------|------------|------------------------|------------|--------------|------------|
|                               | Uninstructed                 | Instructed | Uninstructed           | Instructed | Uninstructed | Instructed |
| Dividend Reinvestment         | 5                            | 0          | 0                      | 0          | 0            | 0          |
| Dividend Reinvestment Opt-Out | 0                            | 0          | 0                      | 0          | 0            | 0          |
| Foreign Currency              | 0                            | 0          | 1                      | 0          | 12           | 0          |
| Foreign Tax Relief            | 1                            | 0          | 5                      | 0          | 29           | 0          |
| Optional Dividends            | 2                            | 0          | 1                      | 0          | 3            | 0          |
| Cash-in-Lieu / Round Up       | 0                            | 0          | 0                      | 0          | 0            | 0          |
| Foreign Tax Reclaim           | 0                            | 0          | 0                      | 0          | 6            | 0          |

**Announcements**

| Announcements                            | Events |
|--|--------|
| Key Data Updated on Event                | 3791   |
| New events with DTC Elections            | 24     |
| DTC Rate To Rate Change                  | 0      |
| DTC Zero Rate To Rate Change             | 1      |
| Late Announcements without DTC Elections | 4      |
| Canceled/Deleted Events                  | 1      |
| Events with DTC Position Capture Today   | 3      |
| Events Carrying Due Bills                | 0      |
| Events with DTC Important Notices Added  | 0      |

**Warnings**

| Warnings                              | Events |
|---------------------------------------|--------|
| Late Announcements with DTC Elections | 9      |
| Events with Late Ex Date              | 0      |
| Events with Zero rate on Payable date | 0      |

This opens the Adjustments Overview page.



2. Click **Show 7 Day Adjustment History**.

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Global Corporate Actions

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Home | Announcements | Instructions | Adjustments | Contact Us | Mon Apr 28 13:42:54 EDT 2014

**Adjustments Overview**

Enter ID | CA ID

**Distributions**

Adjustment History Search

+ Expand All - Collapse All | All Adjustments | Allocated Adjustments | Unallocated Adjustments | Print

**Show 7-day Adjustment History** | Today - 28-Apr-2014 | Show 7-day Adjustment Forecast

▼ Cash (4313)

| Event Type        | Cash                  |             | Stock Loan            |             | Repo                 |             | Rate        |          | Misc/GL             |           | Fails           |            |
|-------------------|-----------------------|-------------|-----------------------|-------------|----------------------|-------------|-------------|----------|---------------------|-----------|-----------------|------------|
|                   | Net Amount            | Count       | Net Amount            | Count       | Net Amount           | Count       | Net Amount  | Count    | Net Amount          | Count     | Net Amount      | Count      |
| Cash Dividend     | -24,860,609.55        | 1131        | -24,975,119.34        | 1100        | 106,112.75           | 1           | 0.00        | 0        | 1,797.04            | 5         | 6,600.00        | 25         |
| Interest          | -8,834,474.35         | 2197        | -20,437,152.79        | 455         | 10,720,330.69        | 1628        | 0.00        | 0        | 880,478.44          | 37        | 1,869.31        | 77         |
| Principal         | 1,005,005.02          | 948         | -43,038.11            | 7           | 393,032.57           | 918         | 0.00        | 0        | 655,010.56          | 15        | 0.00            | 8          |
| Return of Capital | -415.58               | 2           | -415.58               | 2           | 0.00                 | 0           | 0.00        | 0        | 0.00                | 0         | 0.00            | 0          |
| Special Dividend  | -26,586.60            | 31          | -26,586.60            | 31          | 0.00                 | 0           | 0.00        | 0        | 0.00                | 0         | 0.00            | 0          |
| Spin-Off          | 0.00                  | 4           | 0.00                  | 0           | 0.00                 | 0           | 0.00        | 0        | 0.00                | 0         | 0.00            | 4          |
| <b>Total</b>      | <b>-32,717,081.06</b> | <b>4313</b> | <b>-45,482,312.42</b> | <b>1595</b> | <b>11,219,476.01</b> | <b>2547</b> | <b>0.00</b> | <b>0</b> | <b>1,537,286.04</b> | <b>57</b> | <b>8,469.31</b> | <b>114</b> |

▼ Stock (28)

| Event Type   | Stock     | Fails    | Stock Loan | Stock Adjustments |
|--------------|-----------|----------|------------|-------------------|
| Spin-Off     | 4         | 4        | 0          | 0                 |
| Stock Split  | 24        | 0        | 24         | 0                 |
| <b>Total</b> | <b>28</b> | <b>4</b> | <b>24</b>  | <b>0</b>          |

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The **Adjustment Overview–7 Day History** page appears.

**DTCC** | ASSET SERVICES  
Corporate Actions Web

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Home | Announcements | Instructions | Allocations | Adjustments | Contact Us | Fri Jun 6 09:19:03 EDT 2014

**Adjustment Overview - 7 Day History**

Enter ID | CA ID

**Distributions**

+ Expand All - Collapse All | Print

Show 7 Day Adjustment History | Adjustments for Today 06-Jun-2014 | Show 7 Day Adjustment Forecast

▼ Cash (7650)

| DTC Post Date       | Cash           |       | Stock Loan     |       | Repo          |       | Rate       |       | Misc/GL        |       | Fails       |       |
|---------------------|----------------|-------|----------------|-------|---------------|-------|------------|-------|----------------|-------|-------------|-------|
|                     | Net Amount     | Count | Net Amount     | Count | Net Amount    | Count | Net Amount | Count | Net Amount     | Count | Net Amount  | Count |
| Today - 06-Jun-2014 | -85,875,280.69 | 5662  | -74,569,355.19 | 2469  | 10,959,216.58 | 2618  | 0.00       | 0     | -22,174,248.68 | 166   | -90,893.40  | 409   |
| 05-Jun-2014         | 628,112.39     | 103   | -718,526.58    | 74    | 1,232,320.58  | 8     | 717.02     | 9     | 114,326.37     | 4     | -725.00     | 8     |
| 04-Jun-2014         | 1,349,320.71   | 48    | -677,724.59    | 22    | 359,593.96    | 1     | 294,853.85 | 5     | 1,366,571.13   | 8     | 6,026.36    | 12    |
| 03-Jun-2014         | 11,758,612.89  | 121   | -1,595,268.77  | 69    | 12,768,556.91 | 18    | -1,635.17  | 9     | 650,030.74     | 5     | -63,070.82  | 20    |
| 02-Jun-2014         | -15,310,942.66 | 796   | -20,677,971.88 | 749   | 3,666,027.67  | 25    | 11,115.97  | 15    | 1,689,885.58   | 7     | 0.00        | 0     |
| 30-May-2014         | -2,505,483.75  | 486   | -4,128,363.28  | 431   | -49,570.07    | 12    | 12,380.91  | 8     | 1,689,885.58   | 7     | -29,816.89  | 28    |
| 29-May-2014         | 3,286,656.97   | 140   | -451,122.00    | 41    | 3,953,543.47  | 60    | 3,476.24   | 7     | -95,053.63     | 11    | -124,187.11 | 21    |
| 28-May-2014         | 6,504,457.32   | 294   | -1,526,169.35  | 75    | 6,454,814.36  | 125   | 205.32     | 8     | 1,240,769.98   | 42    | 334,837.01  | 44    |

▼ Stock (60)

| DTC Post Date       | Stock | Fails | Stock Loan | Stock Adjustments |
|---------------------|-------|-------|------------|-------------------|
| Today - 06-Jun-2014 | 59    | 8     | 51         | 0                 |
| 02-Jun-2014         | 1     | 0     | 0          | 1                 |

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**Notes:**

- You will only see dates on which adjustments posted to your account.
  - The **Event Type** column on the Adjustment Overview page is replaced by a **DTC Post Date** column on the History page.
  - Click **Expand All** to open both the Cash and Stock tables and **Collapse All** to close all of them.
- Click the number in any **Count** column to view search results for that adjustment type on the listed post date.
  - Return to today's listing by clicking the **Adjustments for Today** link above the table.

## Viewing a 7-Day Adjustment Forecast

To view your seven-day adjustment forecast from anywhere in CA Web:

- Click **Adjustments > Overview** on the top menu bar.

The screenshot shows the DTCC Corporate Actions Web interface. The top navigation bar includes links for Home, Announcements, Instructions, Adjustments (highlighted), and Contact Us. Below the navigation bar, the Adjustments Overview page is displayed. The page features a table of adjustment types and counts, and a list of announcements.

| Service                       | Cut Off Today<br>28-Apr-2014 |            | Cut Off<br>29-Apr-2014 |            | Active       |            |
|-------------------------------|------------------------------|------------|------------------------|------------|--------------|------------|
|                               | Uninstructed                 | Instructed | Uninstructed           | Instructed | Uninstructed | Instructed |
| Dividend Reinvestment         | 5                            | 0          | 0                      | 0          | 0            | 0          |
| Dividend Reinvestment Opt-Out | 0                            | 0          | 0                      | 0          | 0            | 0          |
| Foreign Currency              | 0                            | 0          | 1                      | 0          | 12           | 0          |
| Foreign Tax Relief            | 1                            | 0          | 5                      | 0          | 29           | 0          |
| Optional Dividends            | 2                            | 0          | 1                      | 0          | 3            | 0          |
| Cash-in-Lieu / Round Up       | 0                            | 0          | 0                      | 0          | 0            | 0          |
| Foreign Tax Reclaim           | 0                            | 0          | 0                      | 0          | 6            | 0          |

**Announcements**

| Key Data Updated on Event                | Events |
|--|--------|
| New events with DTC Elections            | 24     |
| DTC Rate To Rate Change                  | 0      |
| DTC Zero Rate To Rate Change             | 1      |
| Late Announcements without DTC Elections | 4      |
| Canceled/Deleted Events                  | 1      |
| Events with DTC Position Capture Today   | 3      |
| Events Carrying Due Bills                | 0      |
| Events with DTC Important Notices Added  | 0      |

**Warnings**

| Key Data Updated on Event             | Events |
|---------------------------------------|--------|
| Late Announcements with DTC Elections | 9      |
| Events with Late Ex Date              | 0      |
| Events with Zero rate on Payable date | 0      |

This opens the Adjustments Overview page.

2. Click **Show 7 Day Adjustment Forecast**.

**DTCC** ASSET SERVICES Global Corporate Actions Welcome user@test.com Log out My Preferences

Home Announcements Instructions Adjustments Contact Us Mon Apr 28 13:42:54 EDT 2014

**Adjustments Overview**

Enter ID CA ID

**Distributions**

Adjustment History Search

+ Expand All - Collapse All All Adjustments Allocated Adjustments Unallocated Adjustments Print

Show 7-day Adjustment History Today - 28-Apr-2014 **Show 7-day Adjustment Forecast**

▼ Cash (4313)

| Event Type        | Cash           |       | Stock Loan     |       | Repo          |       | Rate       |       | Misc/GL      |       | Fails      |       |
|-------------------|----------------|-------|----------------|-------|---------------|-------|------------|-------|--------------|-------|------------|-------|
|                   | Net Amount     | Count | Net Amount     | Count | Net Amount    | Count | Net Amount | Count | Net Amount   | Count | Net Amount | Count |
| Cash Dividend     | -24,860,609.55 | 1131  | -24,975,119.34 | 1100  | 106,112.75    | 1     | 0.00       | 0     | 1,797.04     | 5     | 6,600.00   | 25    |
| Interest          | -8,834,474.35  | 2197  | -20,437,152.79 | 455   | 10,720,330.69 | 1628  | 0.00       | 0     | 880,478.44   | 37    | 1,869.31   | 77    |
| Principal         | 1,005,005.02   | 948   | -43,038.11     | 7     | 393,032.57    | 918   | 0.00       | 0     | 655,010.56   | 15    | 0.00       | 8     |
| Return of Capital | -415.58        | 2     | -415.58        | 2     | 0.00          | 0     | 0.00       | 0     | 0.00         | 0     | 0.00       | 0     |
| Special Dividend  | -26,586.60     | 31    | -26,586.60     | 31    | 0.00          | 0     | 0.00       | 0     | 0.00         | 0     | 0.00       | 0     |
| Spin-Off          | 0.00           | 4     | 0.00           | 0     | 0.00          | 0     | 0.00       | 0     | 0.00         | 0     | 0.00       | 4     |
| Total             | -32,717,081.06 | 4313  | -45,482,312.42 | 1595  | 11,219,476.01 | 2547  | 0.00       | 0     | 1,537,286.04 | 57    | 8,469.31   | 114   |

▼ Stock (28)

| Event Type  | Stock | Fails | Stock Loan | Stock Adjustments |
|-------------|-------|-------|------------|-------------------|
| Spin-Off    | 4     | 4     | 0          | 0                 |
| Stock Split | 24    | 0     | 24         | 0                 |
| Total       | 28    | 4     | 24         | 0                 |

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3. The **Adjustments–7 Day Forecast** page appears.

**DTCC** ASSET SERVICES Corporate Actions Web Welcome user@test.com Log out My Preferences

Home Announcements Instructions Allocations Adjustments Contact Us Fri Jun 6 09:26:23 EDT 2014

**Adjustment Overview - 7 Day Forecast**

Enter ID CA ID

**Distributions**

+ Expand All - Collapse All Print

Show 7 Day Adjustment History Adjustments for Today 06-Jun-2014 Show 7 Day Adjustment Forecast

▼ Cash (5804)

| DTC Post Date       | Cash           |       | Stock Loan     |       | Repo          |       | Rate       |       | Misc/GL        |       | Fails      |       |
|---------------------|----------------|-------|----------------|-------|---------------|-------|------------|-------|----------------|-------|------------|-------|
|                     | Net Amount     | Count | Net Amount     | Count | Net Amount    | Count | Net Amount | Count | Net Amount     | Count | Net Amount | Count |
| Today - 06-Jun-2014 | -85,875,280.69 | 5662  | -74,569,355.19 | 2469  | 10,959,216.58 | 2618  | 0.00       | 0     | -22,174,248.68 | 166   | -90,893.40 | 409   |
| 09-Jun-2014         | -255,853.12    | 10    | -5,595.00      | 3     | 0.00          | 0     | 0.00       | 0     | -252,140.29    | 5     | 1,882.17   | 2     |
| 10-Jun-2014         | 1,863,173.41   | 46    | 1,764,038.43   | 35    | 0.00          | 1     | 0.00       | 0     | 0.00           | 0     | 99,134.98  | 10    |
| 11-Jun-2014         | -6,824.98      | 4     | -896.38        | 3     | 0.00          | 0     | 0.00       | 0     | 0.00           | 0     | -5,928.60  | 1     |
| 12-Jun-2014         | 90,682.00      | 16    | 85,288.00      | 8     | 0.00          | 2     | 0.00       | 0     | 0.00           | 0     | 5,394.00   | 6     |
| 13-Jun-2014         | -22,279.69     | 39    | -26,551.03     | 17    | 0.00          | 0     | 0.00       | 0     | 0.00           | 0     | 4,271.34   | 22    |
| 16-Jun-2014         | 27,460.52      | 25    | 0.00           | 0     | 0.00          | 0     | 0.00       | 0     | 0.00           | 0     | 27,460.52  | 25    |
| 17-Jun-2014         | 0.00           | 2     | 0.00           | 0     | 0.00          | 0     | 0.00       | 0     | 0.00           | 0     | 0.00       | 2     |

▼ Stock (59)

| DTC Post Date       | Stock | Fails | Stock Loan | Stock Adjustments |
|---------------------|-------|-------|------------|-------------------|
| Today - 06-Jun-2014 | 59    | 8     | 51         | 0                 |

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**Notes:**

- You will only see dates on which adjustments are anticipated to be posted to your account.
  - The **Event Type** column on the Adjustment Overview page is replaced by a **DTC Post Date** column on the Forecast page.
  - Click **Expand All** to open both the Cash and Stock tables and **Collapse All** to close all of them.
- 
4. Click the number in any **Count** column to view search results for that category of events on the listed date.
  5. Return to today's listing by clicking the **Adjustments for Today** link above the table.

## Canceling/Reactivating REPO Adjustments

You have the ability to [cancel](#) the repo income tracking for adjustments on principal and interest events only. This can only be done on adjustments scheduled to be posted on that day. Once you have canceled a repo income tracking adjustment, you have the ability to [reactivate](#) it on that same day only.

## Canceling a REPO Adjustment

- On the Adjustments tab for the event, click **View** for the repo adjustment you want to cancel.

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Home | Announcements | Instructions | Allocations | **Adjustments** | Contact Us

Wed Jun 25 10:16:26 EDT 2014

**Record Detail Page - 500108312**
[Return to Previous Page](#)




2005973 SEDOL | 459200101 CINS/CUSIP | IBM | INTERNATIONAL BUSINESS MACHINES |  
Issuer Description: IBM CORPORATION | Asset Class: 1 | Asset Type: 010 | Event Group: Distributions |  
Event Type: Capital Gains Distribution | Country of Incorporation: US | Country of Listing: US | CFI Code: ESVUFR |  
Processed at DTCC: Yes | DTC Eligible: Yes | Declared Mandatory/Voluntary: Mandatory |  
DTC Mandatory/Voluntary: Mandatory | ISO Core M/V: MAND | ISO Event Code: CAPG

-- Select Action --

Declared Workflow Status: AP | Workflow Status: AP | XBRL Indicator: N

System Data

Event Details | Comments | Related Events | Documentation | Entitlements | **Adjustments**
**Event Summary**

+ Expand All - Collapse All

**Stock Loans ( 3 )**

Displaying 1 to 3 of 3 items


Page 1 of 1

Displaying 1 to 3 of 3 items


Page 1 of 1

**REPO ( 2 )**

Displaying 1 to 2 of 2 items


Page 1 of 1

Displaying 1 to 2 of 2 items


Page 1 of 1

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This opens a pop-up window.

**Option 1 - Cash - Repo**

Your Account will be debited on 25-Jun-2014 for the following reasons:

REPO PAYMENT/CHARGE AGAINST CONTRA PART = 0904  
ATP Activity of 25-Jun-2014

| Position    | Rate     | Adjustment Amount |
|-------------|----------|-------------------|
| -400,000.00 | 0.210000 | -84,000.00        |

Prepared by: CUSTOMERSVC OPTION#2 Telephone: 888-360-3822

Cancel REPO Instructions

| Originator | Telephone  | Comments         |
|------------|------------|------------------|
| Keisha W.  | 2125551212 | Incorrect Amount |

**Submit** **Create APO**

2. Type your name, phone number, and comments about why you are canceling repo income tracking. Click **Submit**.

**Option 1 - Cash - Repo**

✓ REPO Item was canceled

Your Account will be debited on 25-Jun-2014 for the following reasons:

REPO PAYMENT/CHARGE AGAINST CONTRA PART = 0904  
ATP Activity of 25-Jun-2014

| Position    | Rate     | Adjustment Amount |
|-------------|----------|-------------------|
| -400,000.00 | 0.210000 | -84,000.00        |

Prepared by: CUSTOMERSVC OPTION#2 Telephone: 888-360-3822

**Create APO**

You will see a status message that the repo income tracking adjustment has been canceled.

3. Click the **X** to close the message window.  
The **REPO Status** column on the table updates as "Canceled" and a new line item appears in the REPO table that represents the offsetting bookkeeping entry.

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Wed Jun 25 10:16:26 EDT 2014

**Record Detail Page - 500108312**

[Return to Previous Page](#)

2005973 SEDOL | 459200101 CINS/CUSIP | IBM | INTERNATIONAL BUSINESS MACHINES |  
Issuer Description: IBM CORPORATION | Asset Class: 1 | Asset Type: 010 | Event Group: Distributions |  
Event Type: Capital Gains Distribution | Country of Incorporation: US | Country of Listing: US | CFI Code: ESVUFR |  
Processed at DTCC: Yes | DTC Eligible: Yes | Declared Mandatory/Voluntary: Mandatory |  
DTC Mandatory/Voluntary: Mandatory | ISO Core M/V: MAND | ISO Event Code: CAPG

-- Select Action --

Declared Workflow Status: AP | Workflow Status: AP | XBRL Indicator: N

System Data

Event Details | Comments | Related Events | Documentation | Entitlements | **Adjustments**

**Event Summary**

| CUSIP     | Event Type                 | Record Date | Payable Date |
|-----------|----------------------------|-------------|--------------|
| 459200101 | Capital Gains Distribution | 05-May-2014 | 09-May-2014  |

+ Expand All - Collapse All

**Stock Loans ( 3 )**

Displaying 1 to 3 of 3 items

Page 1 of 1

| View                 | Option | Option Type | Post Date   | Contra Party | Adjustment Amount | Allocation Date/Time |
|----------------------|--------|-------------|-------------|--------------|-------------------|----------------------|
| <a href="#">View</a> | 1      | Cash        | 25-Jun-2014 | 00000904     | -417,102.00       |                      |
| <a href="#">View</a> | 1      | Cash        | 25-Jun-2014 | 00000139     | -29,213.10        |                      |
| <a href="#">View</a> | 1      | Cash        | 25-Jun-2014 | 00000006     | -1,680.00         |                      |

Displaying 1 to 3 of 3 items

Page 1 of 1

**REPO ( 3 )**

Displaying 1 to 3 of 3 items

Page 1 of 1

| View                 | Option | Option Type | Post Date   | Contra Party | Adjustment Amount | Allocation Date/Time | REPO Status |
|----------------------|--------|-------------|-------------|--------------|-------------------|----------------------|-------------|
| <a href="#">View</a> | 1      | Cash        | 25-Jun-2014 | 00000904     | -84,000.00        |                      | Canceled    |
| <a href="#">View</a> | 1      | Cash        | 25-Jun-2014 | 00000904     | 84,000.00         |                      |             |
| <a href="#">View</a> | 1      | Cash        | 25-Jun-2014 | 00007400     | -74,550.00        |                      |             |

Displaying 1 to 3 of 3 items

Page 1 of 1

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## Reactivating a REPO Adjustment

- On the Adjustments tab for the event, click **View** for the offsetting transaction of the repo adjustment that you want to reactivate.

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Wed Jun 25 10:16:26 EDT 2014

**Record Detail Page - 500108312**
[Return to Previous Page](#)




2005973 SEDOL | 459200101 CINS/CUSIP | IBM | INTERNATIONAL BUSINESS MACHINES |  
Issuer Description: IBM CORPORATION | Asset Class: 1 | Asset Type: 010 | Event Group: Distributions |  
Event Type: Capital Gains Distribution | Country of Incorporation: US | Country of Listing: US | CFI Code: ESVUFR |  
Processed at DTCC: Yes | DTC Eligible: Yes | Declared Mandatory/Voluntary: Mandatory |  
DTC Mandatory/Voluntary: Mandatory | ISO Core M/V: MAND | ISO Event Code: CAPG

-- Select Action --

Declared Workflow Status: AP | Workflow Status: AP | XBRL Indicator: N

System Data

Event Details | Comments | Related Events | Documentation | Entitlements | **Adjustments**
**Event Summary**

+ Expand All
- Collapse All

**Stock Loans ( 3 )**

Displaying 1 to 3 of 3 items


Page 1 of 1

Displaying 1 to 3 of 3 items


Page 1 of 1

**REPO ( 3 )**

Displaying 1 to 3 of 3 items


Page 1 of 1

Displaying 1 to 3 of 3 items


Page 1 of 1

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This opens a pop-up window.



**Option 1 - Cash - Repo**

Your Account will be credited on 25-Jun-2014 for the following reasons:

REPO CANCELLATION AGAINST CONTRA PART = 0904  
ATP Activity of 25-Jun-2014

| Position    | Rate     | Adjustment Amount |
|-------------|----------|-------------------|
| -400,000.00 | 0.210000 | -84,000.00        |

Prepared by: CUSTOMERSVC OPTION#2 Telephone: 888-360-3822

Reactivate REPO Instructions

| Originator | Telephone  | Comments       |
|------------|------------|----------------|
| Keisha W.  | 2125551212 | Correct amount |

**Reactivate** **Create APO**

2. Type your name, phone number, and comments about why you are reactivating the repo income tracking adjustment. Click **Reactivate**.

You will see a status message that the repo income tracking adjustment has been reactivated.

**Option 1 - Cash - Repo**

✓ REPO Item was reactivated

Your Account will be credited on 25-Jun-2014 for the following reasons:

REPO CANCELLATION AGAINST CONTRA PART = 0904  
ATP Activity of 25-Jun-2014

| Position    | Rate     | Adjustment Amount |
|-------------|----------|-------------------|
| -400,000.00 | 0.210000 | -84,000.00        |

Prepared by: CUSTOMERSVC OPTION#2 Telephone: 888-360-3822

**Create APO**

3. Click the **X** to close the message window.

The REPO Status column on the table updates as “Reactivated” and a new line item appears in the REPO table that reactivates the income tracking adjustment.

**DTCC**
**ASSET SERVICES**  
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Wed Jun 25 10:16:26 EDT 2014

**Record Detail Page - 500108312**

[Return to Previous Page](#)

2005973 SEDOL | 459200101 CINS/CUSIP | IBM | INTERNATIONAL BUSINESS MACHINES |  
Issuer Description: IBM CORPORATION | Asset Class: 1 | Asset Type: 010 | Event Group: Distributions |  
Event Type: Capital Gains Distribution | Country of Incorporation: US | Country of Listing: US | CFI Code: ESUVFR |  
Processed at DTCC: Yes | DTC Eligible: Yes | Declared Mandatory/Voluntary: Mandatory |  
DTC Mandatory/Voluntary: Mandatory | ISO Core M/V: MAND | ISO Event Code: CAPG

-- Select Action --

Declared Workflow Status: AP | Workflow Status: AP | XBRL Indicator: N

System Data

Event Details
Comments
Related Events
Documentation
Entitlements
Adjustments

**Event Summary**

| CUSIP     | Event Type                 | Record Date | Payable Date |
|-----------|----------------------------|-------------|--------------|
| 459200101 | Capital Gains Distribution | 05-May-2014 | 09-May-2014  |

+ Expand All
- Collapse All

**Stock Loans ( 3 )**

Displaying 1 to 3 of 3 items

Page 1 of 1

| View                 | Option | Option Type | Post Date   | Contra Party | Adjustment Amount | Allocation Date/Time |
|----------------------|--------|-------------|-------------|--------------|-------------------|----------------------|
| <a href="#">View</a> | 1      | Cash        | 25-Jun-2014 | 00000904     | -417,102.00       |                      |
| <a href="#">View</a> | 1      | Cash        | 25-Jun-2014 | 00000139     | -29,213.10        |                      |
| <a href="#">View</a> | 1      | Cash        | 25-Jun-2014 | 00000006     | -1,680.00         |                      |

Displaying 1 to 3 of 3 items

Page 1 of 1

**REPO ( 4 )**

Displaying 1 to 4 of 4 items

Page 1 of 1

| View                 | Option | Option Type | Post Date   | Contra Party | Adjustment Amount | Allocation Date/Time | REPO Status |
|----------------------|--------|-------------|-------------|--------------|-------------------|----------------------|-------------|
| <a href="#">View</a> | 1      | Cash        | 25-Jun-2014 | 00000904     | -84,000.00        |                      | Canceled    |
| <a href="#">View</a> | 1      | Cash        | 25-Jun-2014 | 00000904     | 84,000.00         |                      | Reactivated |
| <a href="#">View</a> | 1      | Cash        | 25-Jun-2014 | 00000904     | -84,000.00        |                      |             |
| <a href="#">View</a> | 1      | Cash        | 25-Jun-2014 | 00007400     | -74,550.00        |                      |             |

Displaying 1 to 4 of 4 items

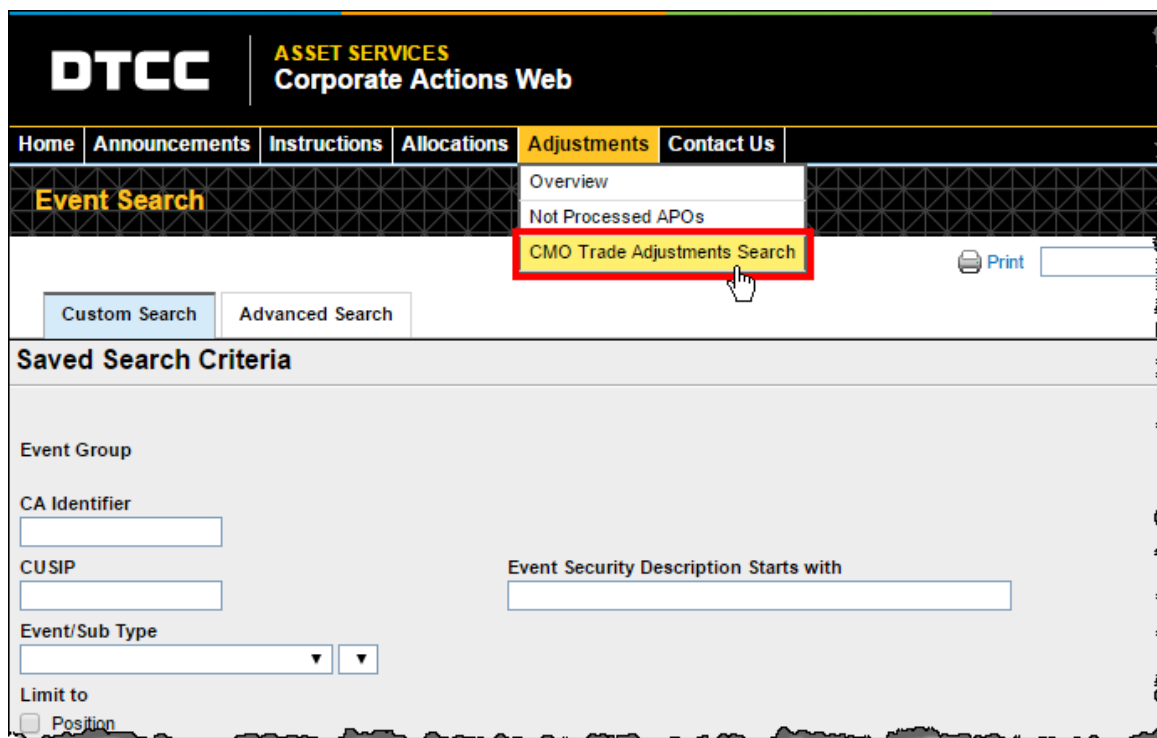
Page 1 of 1

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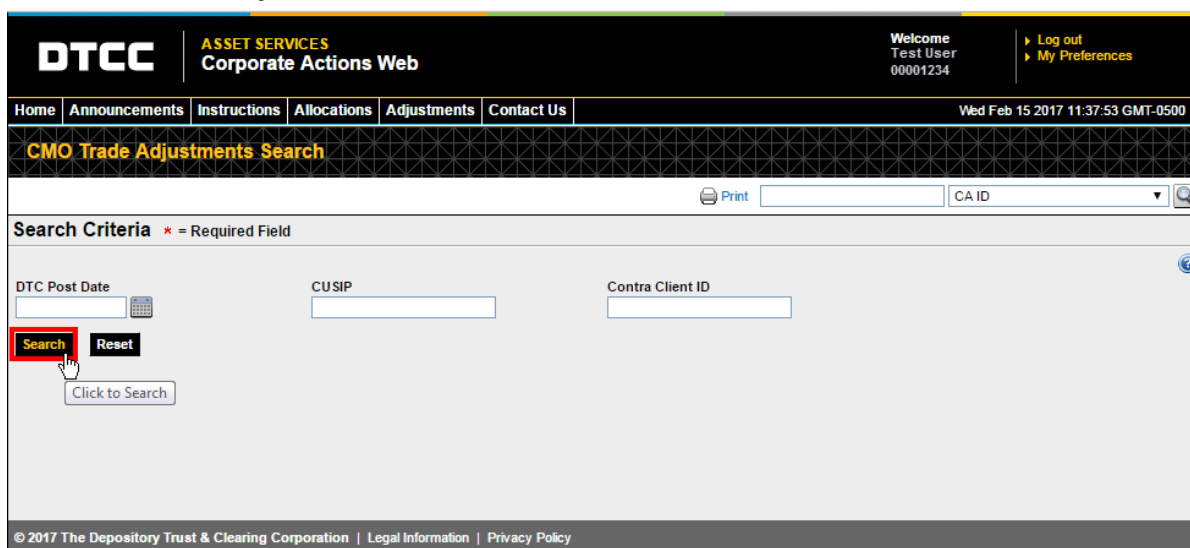
# CMO Trade Adjustments

## Searching for CMO Trade Adjustments

CA Web allows you to search for adjustment activity specifically for CMOs.



1. Hover your mouse over **Adjustments** in the menu bar.
2. Click **CMO Trade Adjustments Search**.



The Trade Adjustments Search page appears. It contains three criteria that you can use for your search:

- DTC Post Date,

- CUSIP, and
- Contra Client ID.

Note that there are no required fields.

You can use one or a combination of these fields to narrow your search.

3. Click **Search**.

The [Trade Adjustments Search Summary Results](#) page appears.

**DTCC** ASSET SERVICES Corporate Actions Web

Welcome Test User 00001234

Log out My Preferences

Home Announcements Instructions Allocations Adjustments Contact Us

Thu Feb 16 2017 08:50:43 GMT-0500

### CMO Trade Adjustments Search Summary Results

Print CA ID

Only the first 1,000 records are shown. To retrieve the entire list, use the Export feature.

Summary 00001234 - Test User

Displaying 1 to 20 of 1,000 items

Filter Export to Excel Page 1 of 50

| Details              | DTC Post Date | CUSIP     | Contra Client ID | Debit Amount | Debit Count | Credit Amount | Credit Count |
|----------------------|---------------|-----------|------------------|--------------|-------------|---------------|--------------|
| <a href="#">View</a> | Feb-21-2017   | 81744FBS5 | 00123400         | 0.00         | 0           | 111.64        | 1            |
| <a href="#">View</a> | Jan-27-2017   | 05948KS67 | 00000000         | 389.80       | 1           | 0.00          | 0            |
| <a href="#">View</a> | Jan-27-2017   | 94984FAE9 | 12340000         | 0.00         | 0           | 59,945.48     | 1            |
| <a href="#">View</a> | Jan-26-2017   | 12669GQ87 | 00123400         | 8,926.13     | 1           | 3,139.28      | 1            |
| <a href="#">View</a> | Jan-26-2017   | 16162WGP8 | 00000000         | 0.00         | 0           | 6,897.94      | 1            |
| <a href="#">View</a> | Jan-26-2017   | 16163FAK1 | 00123400         | 0.00         | 0           | 174.24        | 1            |
| <a href="#">View</a> | Jan-25-2017   | 004375AK7 | 00123400         | 0.00         | 0           | 64.73         | 1            |
| <a href="#">View</a> | Jan-25-2017   | 02149CAR2 | 00000000         | 0.00         | 0           | 30.00         | 1            |
| <a href="#">View</a> | Jan-25-2017   | 05946XTP8 | 12340000         | 0.00         | 0           | 3.04          | 1            |
| <a href="#">View</a> | Jan-25-2017   | 05948KPT0 | 00123400         | 0.00         | 0           | 10.33         | 1            |
| <a href="#">View</a> | Jan-25-2017   | 05948XBZ3 | 00000000         | 0.00         | 0           | 85.20         | 1            |
| <a href="#">View</a> | Jan-25-2017   | 05949AL99 | 12340000         | 32.38        | 1           | 0.00          | 0            |
| <a href="#">View</a> | Jan-25-2017   | 05950GBE2 | 00123400         | 0.00         | 0           | 30.65         | 1            |
| <a href="#">View</a> | Jan-25-2017   | 05950RAB5 | 00000000         | 0.00         | 0           | 103.85        | 1            |
| <a href="#">View</a> | Jan-25-2017   | 07384M4C3 | 12340000         | 259.90       | 1           | 0.00          | 0            |
| <a href="#">View</a> | Jan-25-2017   | 12543PAE3 | 00123400         | 0.00         | 0           | 516.82        | 1            |
| <a href="#">View</a> | Jan-25-2017   | 12544AAV7 | 00000000         | 0.00         | 0           | 1,059.22      | 1            |
| <a href="#">View</a> | Jan-25-2017   | 12544MAA7 | 12340000         | 162.63       | 1           | 0.00          | 0            |
| <a href="#">View</a> | Jan-25-2017   | 12667FEU5 | 00123400         | 24.43        | 1           | 0.00          | 0            |
| <a href="#">View</a> | Jan-25-2017   | 12667GA29 | 00000000         | 0.00         | 0           | 56.66         | 1            |

Displaying 1 to 20 of 1,000 items

Filter Export to Excel Page 1 of 50

**Search Criteria** \* = Required Field

DTC Post Date CUSIP 22541QVP4 Contra Client ID

**Search** **Reset**

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- Each row in the table represents a CUSIP in which you have position and have made settlement adjustments with a particular contra client.
- One CUSIP listing can represent a number of adjustments with that contra client (reflected in the “Debit Count” and “Credit Count” columns).
- You can limit this list by clicking **Filter**. The Grid Filter selection box allows you to pull records with particular values in one or more columns (for example, items with a debit count greater than 2).

- Only the first 1000 adjustments are returned by the search. If there are more than 1000 results, you can view them all using the **Export** function.
4. To view a particular adjustment record, click the **View** link in that row.  
The [Trade Adjustment Search Detail Results](#) page appears.

**ASSET SERVICES**  
**Corporate Actions Web**

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Test User  
00001234

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Thu Feb 16 2017 08:54:18 GMT-0500

### CMO Trade Adjustments Search Detail Results

[Return to Previous Page](#)
Print
CA ID

**Summary** 00001234 - Test User **a**

|               |           |                     |                                    |
|---------------|-----------|---------------------|------------------------------------|
| DTC Post Date | CUSIP     | CUSIP Description   | Contra Client                      |
| Jan-26-2017   | 12669GQ87 | CWMBS, INC. 2004-21 | 12340000 - Other Test Company, LLC |

Displaying 1 to 2 of 2 items [Filter](#) [Export to Excel](#) Page 1 of 1

| Details                       | Adjustment Amount | Adjustment Type | DTC Delivery Date | Trade Quantity | Trade Amount | Status |
|-------------------------------|-------------------|-----------------|-------------------|----------------|--------------|--------|
| <a href="#">View</a> <b>b</b> | 3,139.28          | Credit          | Jan-18-2017       | 245,000        | 101,165.86   |        |
| <a href="#">View</a>          | 8,926.13          | Debit           | Jan-18-2017       | 245,000        | 101,165.86   |        |

Displaying 1 to 2 of 2 items [Filter](#) [Export to Excel](#) Page 1 of 1

**Search Criteria** \* = Required Field

**DTC Post Date** **c**

**CUSIP**

**Contra Client ID**

Search Reset

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- Event summary information is displayed at the top.
- Individual adjustment records are displayed in the table below.
- Use the fields below the table to perform another search. These fields are automatically populated with information for the event being displayed.

5. To view an individual adjustment record, click its **View** link in the table.  
The [Trade Adjustments Details](#) popup appears.

**CMO Trade Adjustments Details**

**Print**

**Settlement Adjustment Has Been Confirmed**

**12340000 - Other Test Company, LLC**

| CUSIP     | CUSIP Description    | Payable Date |
|-----------|----------------------|--------------|
| 12669GQ87 | CWMBIS, INC. 2004-21 | Jan-25-2017  |

Your account was Credited in same day funds on Jan-26-2017 by 3,139.28 USD due to a deliver order trade activity on Jan-18-2017.

You received from client 12340000 - Other Test Company, LLC the quantity of 245,000.00 USD face value.

**3,131.64 USD** in principal adjustment based on 0.40459613809 actual factor and 0.417553253816 trade factor (generated).

**7.64 USD** in interest adjustment based on 17 days from accrual end date of Jan-01-2017 to trade settlement date of Jan-18-2017 at 5.1 effective coupon rate.

It contains information about the adjustment made to the principal amount and the factor used to determine the principal adjustment, as well as the resulting adjustment to the interest amount based on the trade details (such as end date and coupon rate).

- Credit amounts are displayed in **bold black**.
- Debit amounts are displayed in **bold red**.
- Click **Print** to print these adjustment details.

## Trade Adjustments Search Summary Results Page

This page contains the results of a valid CMO Trade Adjustments [search](#).

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Corporate Actions Web

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Thu Feb 16 2017 08:50:43 GMT-0500

### CMO Trade Adjustments Search Summary Results

**b** **c** Print CA ID

Only the first 1,000 records are shown. To retrieve the entire list, use the Export feature.

**d** **e** **f**

Summary 00001234 - Test User

Displaying 1 to 20 of 1,000 items Filter Export to Excel Page 1 of 50

| Details              | DTC Post Date | CUSIP              | Contra Client ID | Debit Amount | Debit Count | Credit Amount | Credit Count |
|----------------------|---------------|--------------------|------------------|--------------|-------------|---------------|--------------|
| <a href="#">View</a> | Feb-21-2017   | <b>a</b> 81744FBS5 | 00123400         | 0.00         | 0           | 111.64        | 1            |
| <a href="#">View</a> | Jan-27-2017   | 05948KS67          | 00000000         | 389.80       | 1           | 0.00          | 0            |
| <a href="#">View</a> | Jan-27-2017   | 94984FAE9          | 12340000         | 0.00         | 0           | 59,945.48     | 1            |
| <a href="#">View</a> | Jan-26-2017   | 12669GQ87          | 00123400         | 8,926.13     | 1           | 3,139.28      | 1            |
| <a href="#">View</a> | Jan-26-2017   | 16162WGP8          | 00000000         | 0.00         | 0           | 6,897.94      | 1            |
| <a href="#">View</a> | Jan-26-2017   | 16163FAK1          | 12340000         | 0.00         | 0           | 174.24        | 1            |
| <a href="#">View</a> | Jan-25-2017   | 004375AK7          | 00123400         | 0.00         | 0           | 64.73         | 1            |
| <a href="#">View</a> | Jan-25-2017   | 02149CAR2          | 00000000         | 0.00         | 0           | 30.00         | 1            |
| <a href="#">View</a> | Jan-25-2017   | 05946XTP8          | 12340000         | 0.00         | 0           | 3.04          | 1            |
| <a href="#">View</a> | Jan-25-2017   | 05948KPT0          | 00123400         | 0.00         | 0           | 10.33         | 1            |
| <a href="#">View</a> | Jan-25-2017   | 05948XBZ3          | 00000000         | 0.00         | 0           | 85.20         | 1            |
| <a href="#">View</a> | Jan-25-2017   | 05949AL99          | 00123400         | 32.38        | 1           | 0.00          | 0            |
| <a href="#">View</a> | Jan-25-2017   | 05950GBE2          | 00123400         | 0.00         | 0           | 30.65         | 1            |
| <a href="#">View</a> | Jan-25-2017   | 05950RAB5          | 00000000         | 0.00         | 0           | 103.85        | 1            |
| <a href="#">View</a> | Jan-25-2017   | 07384M4C3          | 12340000         | 259.90       | 1           | 0.00          | 0            |
| <a href="#">View</a> | Jan-25-2017   | 12543PAE3          | 00123400         | 0.00         | 0           | 516.82        | 1            |
| <a href="#">View</a> | Jan-25-2017   | 12544AAV7          | 00000000         | 0.00         | 0           | 1,059.22      | 1            |
| <a href="#">View</a> | Jan-25-2017   | 12544MAA7          | 12340000         | 162.63       | 1           | 0.00          | 0            |
| <a href="#">View</a> | Jan-25-2017   | 12667FEU5          | 00123400         | 24.43        | 1           | 0.00          | 0            |
| <a href="#">View</a> | Jan-25-2017   | 12667GA29          | 00000000         | 0.00         | 0           | 56.66         | 1            |

Displaying 1 to 20 of 1,000 items Filter Export to Excel Page 1 of 50

**Search Criteria** \* = Required Field

DTC Post Date CUSIP Contra Client ID

**g** Search Reset

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- a. The results table contains a summary list of all CMO trade adjustments that match your search criteria. The fields displayed depend upon the search criteria you selected.

The possible fields include:

| Details              | Click <b>View</b> to see the details of this CMO adjustment.   |
|----------------------|--|
| <b>DTC Post Date</b> | The date on which the CMO adjustment was posted in the Settlement feed.<br>The adjustments are listed with the most recent adjustments first. Click the arrow next to "Date" to sort the fields with the earliest adjustments first. |
| <b>CUSIP</b>         | The security for which adjustments to your position were made with the contra client.  |

|                         |   |
|-------------------------|---|
| <b>Contra Client ID</b> | The ID for the contra client with which adjustments were made in this security.                   |
| <b>Debit Amount</b>     | The <i>total</i> dollar amount of debit adjustments made with this contra client for this CUSIP.  |
| <b>Debit Count</b>      | The number of individual debit actions that comprise the debit amount, above.                     |
| <b>Credit Amount</b>    | The <i>total</i> dollar amount of credit adjustments made with this contra client for this CUSIP. |
| <b>Credit Count</b>     | The number of individual credit actions that comprise the credit amount, above.                   |

- b. This table only displays the first 1000 search results using your current search criteria. To narrow this list, you can:
  - Filter your results (d),
  - Export the full list to Excel (e), or
  - Perform a new search (g).
- c. Click **Print** to print the contents of this page.
- d. Click **Filter** to limit this list.  
The Grid Filter selection box allows you to pull records with particular values in one or more columns (for example, items with a debit count greater than 2).
- e. Click **Export to Excel** to export your search results to a spreadsheet.  
When you export this table to Excel, you will export all adjustment entries—not just the ones that appear on the visible page, or the first thousand results/50 pages returned by the application.
- f. Click this arrow or enter a number in the **Page** field to move through the list of adjustments returned by the search.
- g. Use the fields below the table to perform another search.



## Trade Adjustments Search Detail Results Page

This page is shown when you click **View** on an item listed on the [Trade Adjustments Search Summary](#) page.

**DTCC** | **ASSET SERVICES**  
**Corporate Actions Web**

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### CMO Trade Adjustments Search Detail Results

[< Return to Previous Page](#) [Print](#)  CA ID

**Summary 00001234 - Test User** **a**

| DTC Post Date | CUSIP     | CUSIP Description   | Contra Client                      |
|---------------|-----------|---------------------|------------------------------------|
| Jan-26-2017   | 12669GQ87 | CWMBS, INC. 2004-21 | 12340000 - Other Test Company, LLC |

Displaying 1 to 2 of 2 items [Filter](#) [Export to Excel](#) Page 1 of 1

| Details                       | Adjustment Amount | Adjustment Type | DTC Delivery Date | Trade Quantity | Trade Amount | Status |
|-------------------------------|-------------------|-----------------|-------------------|----------------|--------------|--------|
| <a href="#">View</a> <b>b</b> | 3,139.28          | Credit          | Jan-18-2017       | 245,000        | 101,165.86   |        |
| <a href="#">View</a>          | 8,926.13          | Debit           | Jan-18-2017       | 245,000        | 101,165.86   |        |

Displaying 1 to 2 of 2 items [Filter](#) [Export to Excel](#) Page 1 of 1

**Search Criteria** \* = Required Field **c**

DTC Post Date   CUSIP  Contra Client ID

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This page includes the following information:

- a. The **Summary** area displays general information about the CUSIP and contra party involved in the adjustment:

|                          |   |
|--------------------------|---|
| <b>DTC Post Date</b>     | The date on which the CMO adjustment was posted in the Settlement feed.     |
| <b>CUSIP</b>             | The CUSIP involved in this adjustment.                                      |
| <b>CUSIP Description</b> | A text description of the CUSIP involved in this adjustment.                |
| <b>Contra Client</b>     | The DTCC Client ID of the contra party involved in the adjustment activity. |


- b. The **Details** area displays a list of individual adjustment actions with this contra client for this CUSIP, as well as more details for each:


|                          |  |
|--------------------------|--|
| <b>Details</b>           | Click <b>View</b> to display the <a href="#">Trade Adjustments Details</a> popup window for this individual adjustment activity.   |
| <b>Adjustment Amount</b> | The dollar amount of the individual adjustment activity.   |
| <b>Adjustment Type</b>   | The type of adjustment that was made, "Credit" or "Debit."   |
| <b>DTC Delivery Date</b> | The date on which the adjustment amount was delivered.   |
| <b>Trade Quantity</b>    | The number of shares involved in the original trade.   |
| <b>Trade Amount</b>      | The dollar value of the original trade.  |
| <b>Status</b>            | The status of the adjustment.  |
| <b>Action</b>            | Click <b>Delete</b> to delete this individual adjustment.<br><br>This field is visible only if your user profile is associated with a role that allows for deleting adjustments. |


- c. Use the **Search Criteria** fields to perform another search.  
These fields are automatically filled in with the details from your last search.

## CMO Trade Adjustments Details

This pop-up window appears when you click a View hyperlink on the [Trade Adjustments Search Detail Results](#) page.

**CMO Trade Adjustments Details**


 Print

 Settlement Adjustment Has Been Confirmed



**12340000 - Other Test Company, LLC**

| CUSIP     | CUSIP Description   | Payable Date |
|-----------|---------------------|--------------|
| 12669GQ87 | CWMBS, INC. 2004-21 | Jan-25-2017  |

Your account was Credited in same day funds on Jan-26-2017 by 3,139.28 USD due to a deliver order trade activity on Jan-18-2017.

You received from client 12340000 - Other Test Company, LLC the quantity of 245,000.00 USD face value.

3,131.64 USD in principal adjustment based on 0.40459613809 actual factor and 0.417553253816 trade factor (generated).

7.64 USD in interest adjustment based on 17 days from accrual end date of Jan-01-2017 to trade settlement date of Jan-18-2017 at 5.1 effective coupon rate.

- A colored bar at the top provides the status of this adjustment.
- The header of the table below contains the DTCC ID and full name of your contra client. The table itself specifies the CUSIP involved in the adjustment.
- The text below the table provides the details of the adjustment in plain language:
  - The credit or debit to the account,
  - The date of the adjustment,
  - The date of the original trade,
  - The amount of the original trade, and
  - The calculations involved in the adjustment.
- Click the **Print** button to print this popup window.
- Click "**X**" to close the box and return to the Trade Adjustments Search Detail Results page.

# Position Adjustments

## Searching for Position Adjustments

You can view a list of position adjustments by date, CUSIP, or status, or you can view the full list of position adjustments for your firm.

1. From the menu bar, click **Adjustments > Position Adjustments**.

The screenshot displays the DTCC Corporate Actions Web interface. At the top, the header includes the DTCC logo, 'Asset Services', and 'Corporate Actions Web'. The right side of the header shows the date and time (Thu Mar 15 2018 12:53:18 GMT-0400), a 'Contact Us' link, the DTCC.com URL, and a user session for 'test\_user 00001234' with 'Logout' and settings icons.

The main navigation bar contains links for 'Home', 'Announcements', 'Allocations', and 'Adjustments'. The 'Adjustments' link is highlighted with a red box. A dropdown menu is open under 'Adjustments', showing options: 'Overview', 'Not Processed APOs', 'CMO Trade Adjustments Search', and 'Position Adjustments'. The 'Position Adjustments' option is also highlighted with a red box and a mouse cursor.

Below the navigation bar, the 'Event Search' section is visible. It includes tabs for 'Custom Search' and 'Advanced Search'. Under 'Custom Search', there are input fields for 'CA Identifier', 'CUSIP', and 'Event Security Description Starts with'. There is also a dropdown for 'Event/Sub Type' with a 'Not Applicable' option. A 'Limit to' section has a checkbox for 'Position'. At the bottom of the search section are 'Search' and 'Reset' buttons. A 'Save This Search' button with a green plus icon is located at the bottom right of the search area.

The footer of the page includes the DTCC logo and links for 'Contact Us', 'Support', 'Privacy', and 'Terms of Use'. A copyright notice 'DTCC © 2017 All Rights Reserved' is also present.

The Position Adjustment Inquiry page appears.

2. Select the criteria you want to search by:

- **Status.** Select an adjustment status to view a list of all adjustments in a particular state:
  - **All.** View all adjustments for your firm regardless of status.
  - **Uploaded.** View all adjustments that were uploaded by DTC.
  - **Draft.** View all adjustments that were entered on CA Web and saved as drafts. These items must be submitted and approved before they are applied to an event. Draft adjustments can also be canceled.
  - **Pending DTC Approval.** View all adjustments that DTC has submitted on your behalf.
  - **Pending Customer Approval.** View all adjustments that have been submitted to CA Web and are awaiting either approval or rejection by a second party at your firm.
  - **Approved.** View all adjustments that have been approved by a second party at your firm or by DTC. These items will move to “Completed” after they have been processed by CA Web.
  - **Rejected.** View all adjustments that have been rejected by a second party at your firm or by DTC.
  - **Completed.** View all approved adjustments that have been completed by CA Web.
  - **Cancelled.** View all draft adjustments that were canceled before submission.
- **CUSIP.** Enter the full or partial CUSIP for which you want to view all applicable adjustments.
- **Date Range.** This specifies the date on which the adjustment was originally entered. Using the calendar tool, select a search date. If you are searching within a date range, this sets the start of your date range.
- **+/-.** If you are searching by a date range, this specifies whether your selected date is the start point or end point of your search range.
  - Selecting “+” sets the date as your start point. Your search will move forward a number of days from this point.
  - Selecting “-” sets the date as your end point. Your search will move backward a number of days from this point.

- **Days.** If you are searching by a date range, this specifies the number of days used in your search range. You can search by a maximum of +/- 90 days.

**Note:**

Selecting no search criteria will perform a search for all adjustment records for your firm

3. Click **Search** to perform the search using your selected search criteria. You can also click **Reset** to clear all of your search criteria.
4. The **Search Results** page displays all results that match your selection.
5. Click the date of any adjustment record to [view](#) the adjustment item and (if applicable) [take action](#) upon it, *or*  
Click the CA ID of any adjustment record to view the item in the Entitlements tab and (if applicable) take action upon it.

**DTCC** Asset Services **Corporate Actions Web** Fri Mar 16 2018 12:57:38 GMT-0400 Contact Us DTCC.com  
test\_user 00001234 Logout

Home Announcements Instructions Allocations Adjustments

Position Adjustment Inquiry

⚠ There is/are pending Treasury Buyback Adjustment(s) that require approval/rejection.

**Search Results**

Approve Reject

| Action                   | Date Created                | CA ID     | CUSIP     | Record Date | Payment Date | Rate | Current Status              | Adjusted Shares | Adjusted Amount |
|--------------------------|-----------------------------|-----------|-----------|-------------|--------------|------|-----------------------------|-----------------|-----------------|
|                          | <a href="#">Mar-16-2018</a> | 516045426 | 74042QAE7 | Mar-07-2018 | Mar-22-2018  | 0    | Completed                   | 2000            |                 |
|                          | <a href="#">Mar-16-2018</a> | 516045427 | 74042QAE7 | Mar-07-2018 | Mar-22-2018  | 0    | Completed                   | 3000            |                 |
|                          | <a href="#">Mar-16-2018</a> | 516045428 | 74042QAG2 | Mar-07-2018 | Mar-22-2018  | 0    | Completed                   | 4000            |                 |
|                          | <a href="#">Mar-16-2018</a> | 516045429 | 74042QAG2 | Mar-07-2018 | Mar-22-2018  | 0    | Completed                   | 5000            |                 |
| <input type="checkbox"/> | <a href="#">Mar-16-2018</a> | 516717749 | 059695106 | Mar-15-2018 | Mar-22-2018  | 0.25 | Pending Customer Approval   | 1000            | 2               |
|                          | <a href="#">Dec-14-2017</a> | 0         | 031162100 | Feb-28-1980 | Feb-29-1980  | 0    | Pending Supervisor Approval | 2221            |                 |

**Notes:**

- Print these results by clicking on the **Print** icon.  
When you print your results, you will only print the results that appear on the page.
- Export these results to Excel by clicking the **Export to Excel** link.  
When you export your results to Excel, you will export all results – not just the ones that appear on the page.
- Click any column name to sort your results by this column.
- Filter these results by clicking on the **Filter** icon. Select the values for your filter parameters in the pop-up box that appears.

## Entering a Position Adjustment for a Particular Event

You can enter a position adjustment for an event that is two days or more in the future. [See more](#)

1. Enter the CA ID in the **Search** field.

The screenshot displays the DTCC Corporate Actions Web interface. At the top, the DTCC logo and 'Corporate Actions Web' title are visible. The navigation bar includes links for Home, Announcements, Instructions, Allocations, and Adjustments. The main content area is titled 'Event Search'. It features a search bar with a CA ID field (containing '516717749') and a search button. Below the search bar are tabs for 'Custom Search' and 'Advanced Search'. The 'Custom Search' tab is active, showing a 'Saved Search Criteria' section with a dropdown menu for 'No Saved Searches Available' and a 'Load' button. Below this are various search criteria fields: 'Event Group' (with checkboxes for Distributions, Redemptions, and Reorganizations), 'CA Identifier', 'CUSIP', 'Event Security Description Starts with', 'Event/Sub Type' (with a dropdown menu for 'Not Applicable'), and 'Limit to' (with a checkbox for 'Position'). A 'Search' button and a 'Reset' button are located at the bottom left. A 'Save This Search' button with a plus icon is at the bottom right.

2. Select **CA ID** from the search criteria selection box.
3. Click the magnifying glass. The event record appears.

- Click the **Entitlements** tab.

**Record Detail Page - 516717749**

CUSIP: 059695106 | Ticker: BCV | Issue Description: BANCROFT FUND LTD | Issuer Description: BANCROFT  
 CONV FD INC | Asset Class: Equity | Asset Type: Common Stock | Event Group: Distributions | Event Type: Cash  
 Dividend - Sub Event Type: DRIP (DTC only) | Country of Incorporation: US | Processed at DTC: Yes | DTC Eligible:  
 Yes | Declared Mandatory / Voluntary: Mandatory | DTC Mandatory / Voluntary: Mandatory with Option | -- Select Action --  
 ISO Core M/V: CHOS | ISO Event Code: DVCA

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

Event Details | Comments | Related Events | **Entitlements** | Instructions | Security Position | Settlement Activity

Position Summary - 00001211 1211-TEST USER

| Record Date Free Position | Record Date Stock Loan/Repo | Record Date | Declared Payable Date |
|---------------------------|-----------------------------|-------------|-----------------------|
| 68,590                    | 0                           | Mar-15-2018 | Mar-22-2018           |

⊕ Expand All ⊖ Collapse All

**Option 1 - Cash** +

**Option 2 - DRIP DTC** +

- If multiple options are displayed in the **Option** area, click the bar for the option you want to view. This displays the details for that option, including its associated positions and activities.



**Record Detail Page - 516717749**

CUSIP: 059695106 | Ticker: BCV | Issue Description: BANCROFT FUND LTD | Issuer Description: BANCROFT  
 CONV FD INC | Asset Class: Equity | Asset Type: Common Stock | Event Group: Distributions | Event Type: Cash  
 Dividend - Sub Event Type: DRIP (DTC only) | Country of Incorporation: US | Processed at DTC: Yes | DTC Eligible:  
 Yes | Declared Mandatory / Voluntary: Mandatory | DTC Mandatory / Voluntary: Mandatory with Option | -- Select Action --  
 ISO Core M/V: CHOS | ISO Event Code: DVCA

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

Event Details | Comments | Related Events | **Entitlements** | Instructions | Security Position | Settlement Activity

**Position Summary - 00001211 1211-TEST USER**

| Record Date Free Position | Record Date Stock Loan/Repo | Record Date | Declared Payable Date |
|---------------------------|-----------------------------|-------------|-----------------------|
| 68,590                    | 0                           | Mar-15-2018 | Mar-22-2018           |

☐ Expand All ☐ Collapse All

**Option 1 - Cash**

| Net Position | Net Free Position | Net SLN/Repo Position | Net Fail Position | DTC Cash Rate | Total Cash Due |
|--------------|-------------------|-----------------------|-------------------|---------------|----------------|
| 67,590       | 67,590            | 0                     | 0                 | 0.25          | 16,897.50      |

**Position (2)**

| Activity Date | Activity                             | Position | DTC Activity |
|---------------|--------------------------------------|----------|--------------|
| Mar-15-2018   | <a href="#">Record Date Position</a> | 68,590   | N/A          |

Displaying 1 to 1 of 1 items

**Option 2 - DRIP DTC**

Close

If there is only one option displayed, the details are displayed by default.

6. Scroll down to the position area and click the **Record Date Activity** or **Late Record Date Activity** link for the position activity detail you want to view.

**Note:**

You can only enter a position adjustment for these two activity types. A window appears, displaying the details for this entitlement option.

7. Click the **Position Adjustment** button.

Entitlements: Option 1 - CASH - Record Date Position

Option Activity Details

| Activity             | DTC Activity | Activity | Record Date | Declared Payable Date | DTC Cash Rate |
|----------------------|--------------|----------|-------------|-----------------------|---------------|
| Record Date Position | Mar-15-2018  | N/A      | Mar-15-2018 | Mar-22-2018           | .25           |

Activity Breakdown

| Position | Account | Description                |
|----------|---------|----------------------------|
| 5        | 022     | Inventory Regular Unpledge |
| 68,585   | 010     | Regular Unpledge           |

Displaying 1 to 2 of 2 items

Page 1 of 1

Position Adjustment

Click to create Position Adjustment

The Position Adjustment window appears.

Position Adjustment

Event Detail

|                      |                     |                   |             |
|----------------------|---------------------|-------------------|-------------|
| CA ID/CUSIP          | 516717749/059695106 | Rate              | 0.25        |
| Payment Date         | Mar-22-2018         | Record Date       | Mar-15-2018 |
| Record Date Position | 68,590              | Record Date Value | 17,147.50   |
| Adjusted Shares      | 0                   | Adjusted Value    | 0.00        |

Date Created: Mar-16-2018
Type: Treasury Buyback
Status: Draft

Pending Adjusted Shares \*
Pending Adjusted Value

Phone\*

User Name
Email

| Timestamp                  | Shares | Amount | Action | Name | Phone # | User |
|----------------------------|--------|--------|--------|------|---------|------|
| No data available in table |        |        |        |      |         |      |

No records available |

Show 20 per page

8. Enter the details of the position adjustment you want to make.
  - Enter the amount of adjusted shares. The adjusted value is calculated by default.
  - The phone number defaults to the phone number associated with your client account. Change the phone number if desired.
9. Click **Submit** or **Save Draft**.
  - Clicking **Submit** places this adjustment in a “pending” state. It must be [approved](#) or rejected by another user from your firm by end-of-day on Payable Date-2. Past that time, please contact DTC to complete your adjustment.
  - Clicking **Save Draft** saves this adjustment in a “Draft” state. You can then go back and edit, submit, or cancel it. You will not be able to edit this draft after end-of-day on payable date-2.
  - To abandon this adjustment entry, click **Cancel**.

---

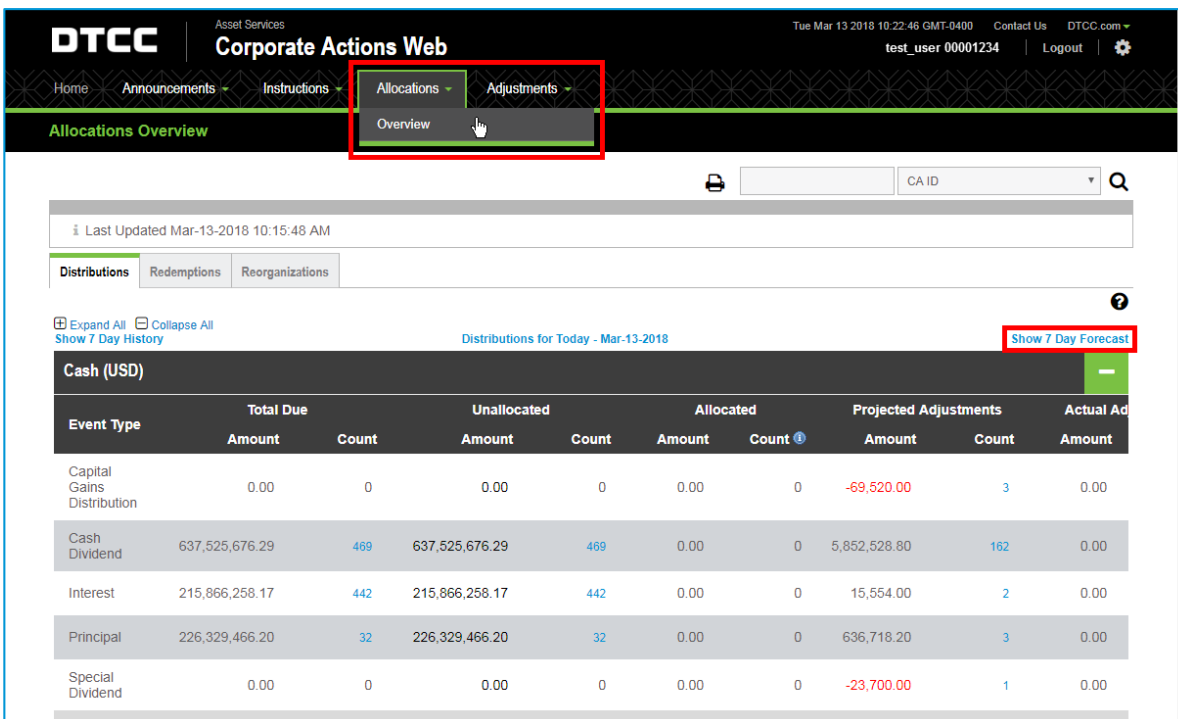
**General Notes:**

- You can only submit one adjustment at a time. An adjustment has to be either in a completed state or removed from CA Web before another adjustment can be submitted on a single CUSIP.
  - Adjustments must be fully entered before end-of-day on Payable Date-2. Any drafts or unapproved adjustments will be removed from the system at this time.
  - If you need to perform a Buyback adjustment that takes place closer to the payable date, please contact the correct DTC party:
    - If the event type is Dividend with Option, Payment in Kind, Rights Distribution, Spinoff, Stock Dividend, or Stock Split, please contact the Stock Dividend team at [stockdividendprocessing@dtcc.com](mailto:stockdividendprocessing@dtcc.com).
    - If the event type is Cash Dividends, Interest/Municipal Payments, please contact the P&I Research team at [treasurybuyback@dtcc.com](mailto:treasurybuyback@dtcc.com).
-

## Entering a Position Adjustment by Date

You can enter a position adjustment for an event that is two days or more in the future. [See more](#)

- From the menu bar, click **Allocations > Overview**.



**DTCC** Asset Services **Corporate Actions Web** Tue Mar 13 2018 10:22:46 GMT-0400 Contact Us DTCC.com  
test\_user 00001234 Logout

Home Announcements Instructions **Allocations** Adjustments  
Overview

**Allocations Overview**

Last Updated Mar-13-2018 10:15:48 AM

Distributions Redemptions Reorganizations

Expand All Collapse All Show 7 Day History Distributions for Today - Mar-13-2018 Show 7 Day Forecast

**Cash (USD)**

| Event Type                 | Total Due      |       | Unallocated    |       | Allocated |       | Projected Adjustments |       | Actual Ad Amount |
|----------------------------|----------------|-------|----------------|-------|-----------|-------|-----------------------|-------|------------------|
|                            | Amount         | Count | Amount         | Count | Amount    | Count | Amount                | Count |                  |
| Capital Gains Distribution | 0.00           | 0     | 0.00           | 0     | 0.00      | 0     | -69,520.00            | 3     | 0.00             |
| Cash Dividend              | 637,525,676.29 | 469   | 637,525,676.29 | 469   | 0.00      | 0     | 5,852,528.80          | 162   | 0.00             |
| Interest                   | 215,866,258.17 | 442   | 215,866,258.17 | 442   | 0.00      | 0     | 15,554.00             | 2     | 0.00             |
| Principal                  | 226,329,466.20 | 32    | 226,329,466.20 | 32    | 0.00      | 0     | 636,718.20            | 3     | 0.00             |
| Special Dividend           | 0.00           | 0     | 0.00           | 0     | 0.00      | 0     | -23,700.00            | 1     | 0.00             |

- Click **Show 7-Day Forecast**.  
The Allocations Forecast page appears.

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Home Announcements Allocations Adjustments

**Allocations Overview - 7 Day Forecast**

CA ID

i Dates only appear where activity on your account is anticipated to occur.

Distributions Redemptions Reorganizations

Expand All Collapse All Show 7 Day History Distributions for Today - Mar-13-2018 Show 7 Day Forecast

**Cash (USD)**

| Date        | Total Due      |       | Unallocated    |       | Allocated |       | Projected Adjustments |       | Actual Adjust |
|-------------|----------------|-------|----------------|-------|-----------|-------|-----------------------|-------|---------------|
|             | Amount         | Count | Amount         | Count | Amount    | Count | Amount                | Count |               |
| Mar-14-2018 | 8,369,896.52   | 35    | 8,369,896.52   | 35    | 0.00      | 0     | 20,204.83             | 17    | 0.00          |
| Mar-15-2018 | 560,844,620.41 | 1,693 | 560,844,620.41 | 1,693 | 0.00      | 0     | 377,696.28            | 79    | 0.00          |
| Mar-16-2018 | 14,845,420.74  | 84    | 14,845,420.74  | 84    | 0.00      | 0     | 232,516.04            | 21    | 0.00          |
| Mar-19-2018 | 14,847,371.89  | 130   | 14,847,371.89  | 130   | 0.00      | 0     | 25,059.05             | 14    | 0.00          |
| Mar-20-2018 | 18,561,575.83  | 107   | 18,561,575.83  | 107   | 0.00      | 0     | 44,065.00             | 10    | 0.00          |
| Mar-21-2018 | 71,733,544.57  | 35    | 71,733,544.57  | 35    | 0.00      | 0     | 0.00                  | 0     | 0.00          |

- Click the count for the date you want to view.

The Search Results page appears. It contains a list of all events for the date you selected.

**DTCC** Asset Services **Corporate Actions Web** Tue Mar 13 2018 10:39:35 GMT-0400 Contact Us DTCC.com  
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Home Announcements Allocations Adjustments

**Distributions - Allocations - Forecast - Cash (USD) - Total Due - Mar-15-2018 - Search Results**

< Return to Previous Page

Results for Client 00000015 - Morgan Stanley

| CA ID     | CUSIP     | Event Security Description                    | Event Type    | Sub Event Type  | Asset Type | Record Date | Declared Payable Date | D |
|-----------|-----------|---|---------------|-----------------|------------|-------------|-----------------------|---|
| 516996478 | 439555301 | HOPEWELL HLDGS LTD                            | Cash Dividend |                 | 110        | Feb-28-2018 | Mar-19-2018           |   |
| 516821114 | 75102W108 | RAKUTEN INC                                   | Cash Dividend |                 | 110        | Dec-28-2017 | Mar-19-2018           |   |
| 516814981 | 863236105 | STRAYER EDUCATION, INC.                       | Cash Dividend | DRIP (DTC only) | 010        | Mar-12-2018 | Mar-19-2018           |   |
| 516722906 | 482564101 | LMG-B INC                                     | Cash Dividend |                 | 010        | Mar-12-2018 | Mar-19-2018           |   |
| 516722852 | 27828H105 | EATON VANCE LIMITED DURATION INCOME FUND      | Cash Dividend | DRIP (DTC only) | 761        | Mar-12-2018 | Mar-19-2018           |   |
| 516722842 | 27826W104 | EATON VANCE NEW YORK MUNICIPAL INCOME TRUST   | Cash Dividend | DRIP (DTC only) | 761        | Mar-12-2018 | Mar-19-2018           |   |
| 516722841 | 27826V106 | EATON VANCE NEW JERSEY MUNICIPAL INCOME TRUST | Cash Dividend | DRIP (DTC only) | 761        | Mar-12-2018 | Mar-19-2018           |   |

Displaying 1 to 20 of 128 items

Filter Search Criteria

CUSIP

Search Reset

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**Note:**

Use the scroll bar and arrow buttons to browse through the full list of events. You can also use the **Filter Search Criteria** fields below the events table to narrow your list of results.

- Click the **CA ID** of the event you want to view.

The event record appears.

The screenshot displays the DTCC Corporate Actions Web interface. At the top, the header includes the DTCC logo, 'Asset Services', and 'Corporate Actions Web'. The user is logged in as 'test\_user 00001234' on 'Tue Mar 13 2018 10:41:15 GMT-0400'. The main navigation bar shows 'Home', 'Announcements', 'Allocations', and 'Adjustments'. Below this, a 'Workflow Status: Approved' and 'XBRL Indicator: No' are shown. The 'Entitlements' tab is selected and highlighted with a red box. The 'Position Summary - 00001234 Test Corporation' section shows a table with columns: 'Record Date Free Position', 'Record Date Stock Loan/Repo', 'Record Date', and 'Declared Payable Date'. The values are 195, 0, Feb-26-2018, and Mar-15-2018 respectively. Below this, the 'Option 1 - Cash' section is highlighted with a red box. It contains a table with columns: 'Net Position', 'Net Free Position', 'Net SLN/Repo Position', 'Net Fail Position', 'DTC Cash Rate', and 'Total Cash Due'. The values are 16, 16, 0, 0, 0.3, and 4.80 respectively. Below the option section, the 'Position (2)' section is shown. It contains a table with columns: 'Activity Date', 'Activity', 'Position', and 'DTC Activity'. The activities are 'Participant Adjustment' (Feb-26-2018) and 'Late Record Date Position' (Mar-08-2018). The 'Late Record Date Position' link is highlighted with a red box. The footer includes the DTCC logo and links for 'Contact Us', 'Support', 'Privacy', and 'Terms of Use'.

5. Click the **Entitlements** tab.
6. If multiple options are displayed in the **Option** area, click the bar for the option you want to view. This displays the details for that option, including its associated positions and activities. If there is only one option displayed, the details are displayed by default.
7. Scroll down to the position area and click the **Record Date Activity** or **Late Record Date Activity** link for the position activity detail you want to view.

**Note:**

You can only enter a position adjustment for these two activity types.

A window appears, displaying the details for this entitlement option.

**Entitlements: Option 1 - CASH - Late Record Date Position**

Option Activity Details

| Activity                  | DTC Activity | Activity | Record Date | Declared Payable Date | DTC Cash Rate |
|---------------------------|--------------|----------|-------------|-----------------------|---------------|
| Late Record Date Position | Mar-08-2018  | N/A      | Feb-28-2018 | Mar-15-2018           | .3            |

Activity Breakdown

| Position | Account | Description                |
|----------|---------|----------------------------|
| 179      | 022     | Inventory Regular Unpledge |
| 16       | 010     | Regular Unpledge           |

Displaying 1 to 2 of 2 items

**Position Adjustment** (highlighted with a red box)

Click to create Position Adjustment

8. Click the **Position Adjustment** button.  
The Position Adjustment window appears.

**Position Adjustment**

Event Detail

|                      |                     |                   |             |
|----------------------|---------------------|-------------------|-------------|
| CA ID/CUSIP          | 516996478/439555301 | Rate              | 0.056144    |
| Payment Date         | Mar-19-2018         | Record Date       | Feb-28-2018 |
| Record Date Position | 130,391             | Record Date Value | 7,320.67    |
| Adjusted Shares      | 0                   | Adjusted Value    | 0.00        |

Date Created: Mar-16-2018      Type: Treasury Buyback      Status: Draft

Pending Adjusted Shares \*

500 |

Pending Adjusted Value

28.07

Phone\*

2128551541 |

User Name

Sample, Jane Q.

Email

test\_user

**Submit** (highlighted with a red box)    Save Draft    Cancel    Approve    Reject



9. Enter the details of the position adjustment you want to make.
  - Enter the amount of adjusted shares. The adjusted value is calculated by default.
  - The phone number defaults to the phone number associated with your client account. Change the phone number if desired.
10. Click **Submit** or **Save Draft**.
  - Clicking **Submit** places this adjustment in a “Pending Approval” state. It must be [approved](#) by another user from your firm.
  - Clicking **Save Draft** saves this adjustment in a “Draft” state. You can then go back and edit, submit, or cancel it.
  - To abandon this adjustment entry, click **Cancel**.

---

**General Notes:**

- You can only submit one adjustment at a time. An adjustment has to be either in a completed state or removed from CA Web before another adjustment can be submitted on a single CUSIP.
  - Adjustments must be fully entered before end-of-day on Payable Date-2. Any drafts or unapproved adjustments will be removed from the system at this time.
  - If you need to perform a buy-back adjustment that takes place closer to the payable date, please contact the correct DTC party:
    - If the event type is Dividend with Option, Payment in Kind, Rights Distribution, Spinoff, Stock Dividend, or Stock Split, please contact the Stock Dividend team at [stockdividendprocessing@dtcc.com](mailto:stockdividendprocessing@dtcc.com).
    - If the event type is Cash Dividends, Interest/Municipal Payments, please contact the P&I Research team at [treasurybuyback@dtcc.com](mailto:treasurybuyback@dtcc.com).
-

## Approving/Rejecting Position Adjustments for Particular Events

You can approve or reject a position adjustment that was previously entered by another user at your firm.

1. Enter the CA ID in the **Search** field.

The screenshot displays the DTCC Corporate Actions Web interface. At the top, the DTCC logo and 'Corporate Actions Web' title are visible. The navigation bar includes links for Home, Announcements, Instructions, Allocations, and Adjustments. The main section is titled 'Event Search'. It features a search bar with a magnifying glass icon. Below the search bar, there are tabs for 'Custom Search' and 'Advanced Search'. The 'Custom Search' tab is active. Underneath, there's a 'Saved Search Criteria' section with a 'No Saved Searches Available' message and a 'Load' button. The search criteria section includes several input fields: 'Event Group' with checkboxes for 'Distributions', 'Redemptions', and 'Reorganizations'; 'CA Identifier' with a text input field; 'CUSIP' with a text input field; 'Event Security Description Starts with' with a text input field; 'Event/Sub Type' with a dropdown menu showing 'Not Applicable'; and 'Limit to' with a checkbox for 'Position'. A 'Search' button is highlighted in blue, and a 'Reset' button is also present. At the bottom of the search criteria section, there is a 'Save This Search' button with a green plus icon.

2. Select **CA ID** from the search criteria selection box.
3. Click the magnifying glass.  
The event record appears.

**Record Detail Page - 516717749**

CUSIP: 059695106 | Ticker: BCV | Issue Description: BANCROFT FUND LTD | Issuer Description: BANCROFT  
 CONV FD INC | Asset Class: Equity | Asset Type: Common Stock | Event Group: Distributions | Event Type: Cash  
 Dividend - Sub Event Type: DRIP (DTC only) | Country of Incorporation: US | Processed at DTC: Yes | DTC Eligible:  
 Yes | Declared Mandatory / Voluntary: Mandatory | DTC Mandatory / Voluntary: Mandatory with Option | -- Select Action --  
 ISO Core M/V: CHOS | ISO Event Code: DVCA

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

Event Details | Comments | Related Events | **Entitlements** | Instructions | Security Position | Settlement Activity

Position Summary - 00001211 1211-TEST USER

| Record Date Free Position | Record Date Stock Loan/Repo | Record Date | Declared Payable Date |
|---------------------------|-----------------------------|-------------|-----------------------|
| 68,590                    | 0                           | Mar-15-2018 | Mar-22-2018           |

[Expand All](#) [Collapse All](#)

**Option 1 - Cash** +

**Option 2 - DRIP DTC** +

- Click the **Entitlements** tab.
- In the **Option** area, click the bar for the option you want to view.

**Record Detail Page - 516717749**

CUSIP: 059695106 | Ticker: BCV | Issue Description: BANCROFT FUND LTD | Issuer Description: BANCROFT  
 CONV FD INC | Asset Class: Equity | Asset Type: Common Stock | Event Group: Distributions | Event Type: Cash  
 Dividend - Sub Event Type: DRIP (DTC only) | Country of Incorporation: US | Processed at DTC: Yes | DTC Eligible:  
 Yes | Declared Mandatory / Voluntary: Mandatory | DTC Mandatory / Voluntary: Mandatory with Option | -- Select Action --  
 ISO Core M/V: CHOS | ISO Event Code: DVCA

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

Event Details | Comments | Related Events | **Entitlements** | Instructions | Security Position | Settlement Activity

**Position Summary - 00001211 1211-TEST USER**

| Record Date Free Position | Record Date Stock Loan/Repo | Record Date | Declared Payable Date |
|---------------------------|-----------------------------|-------------|-----------------------|
| 68,590                    | 0                           | Mar-15-2018 | Mar-22-2018           |

Expand All Collapse All

**Option 1 - Cash**

| Net Position | Net Free Position | Net SLN/Repo Position | Net Fail Position | DTC Cash Rate | Total Cash Due |
|--------------|-------------------|-----------------------|-------------------|---------------|----------------|
| 67,590       | 67,590            | 0                     | 0                 | 0.25          | 16,897.50      |

**Position (2)**

| Activity Date | Activity                    | Position | DTC Activity |
|---------------|-----------------------------|----------|--------------|
| Mar-15-2018   | <b>Record Date Position</b> | 68,590   | N/A          |

Displaying 1 to 1 of 1 items

**Option 2 - DRIP DTC**



Close

This displays the details for that option, including its associated positions and activities.

6. Scroll down to the position area and click the **Record Date Activity** or **Late Record Date Activity** link for the position activity detail you want to view.



**Note:**

You can only approve or reject a position adjustment for these two activity types.

Entitlements: Option 1 - CASH - Record Date Position







Option Activity Details

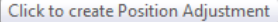
| Activity             | DTC Activity | Activity | Record Date | Declared Payable Date | DTC Cash Rate |
|----------------------|--------------|----------|-------------|-----------------------|---------------|
| Record Date Position | Mar-15-2018  | N/A      | Mar-15-2018 | Mar-22-2018           | .25           |

Activity Breakdown



| Position | Account | Description                |
|----------|---------|----------------------------|
| 5        | 022     | Inventory Regular Unpledge |
| 68,585   | 010     | Regular Unpledge           |

Displaying 1 to 2 of 2 items





Page
1
of 1



Position Adjustment


A window appears, displaying the details for this entitlement option.

- Click the **Position Adjustment** button.  
The Position Adjustment window appears.

## Position Adjustment

**Event Detail**

|                      |                     |                   |             |
|----------------------|---------------------|-------------------|-------------|
| CA ID/CUSIP          | 516045429/74042QAG2 | Rate              | 0           |
| Payment Date         | Mar-22-2018         | Record Date       | Mar-07-2018 |
| Record Date Position | 150,000             | Record Date Value | 0.00        |
| Adjusted Shares      | 0                   | Adjusted Value    | 0.00        |



Date Created: Mar-16-2018      Type: Treasury Buyback      Status: Pending Customer Approval  
 Pending Adjusted Shares \*      Pending Adjusted Value

Phone\*

User Name

Email

Save Draft
Submit
Cancel
Approve
Reject

 |  

| Timestamp                  | Shares | Amount | Action                 | Name      | Phone #    | User      |
|----------------------------|--------|--------|------------------------|-----------|------------|-----------|
| Mar-16-2018<br>11:43:27 AM | 5,000  | 0.00   | Customer<br>Submission | test_user | 2128551541 | test_user |

Displaying 1 to 1 of 1 records |  
 Show  per page

<< < 1 > >>

8. Click **Approve** or **Reject**.

- Clicking **Approve** places this adjustment in an “Approved” state. Once the system has finished processing the adjustment, the status will be changed to “Completed.”
- Clicking **Reject** places this adjustment in a “Rejected” state. The position adjustment will not occur.

## Approving/Rejecting Multiple Position Adjustments

You can approve or reject multiple position adjustments that were previously entered by another user at your firm. You can only perform one of these actions at a time.

1. From the menu bar, click **Adjustments > Position Adjustments**.

The screenshot shows the Corporate Actions Web interface. The top navigation bar includes links for Home, Announcements, Allocations, and Adjustments. The Adjustments dropdown menu is open, showing options: Overview, Not Processed APOs, CMO Trade Adjustments Search, and Position Adjustments. The Position Adjustments option is highlighted with a red box and a mouse cursor. Below the menu, the Event Search section is visible, featuring search criteria like Event Group, CA Identifier, CUSIP, and Event Security Description. A 'Search' button is also present.

The **Position Adjustment Inquiry** page appears.

The screenshot shows the Position Adjustment Inquiry page. It features a search form with fields for Status (set to Pending Customer Approval), CUSIP, Date Range, and Days. A red box highlights the Search button, which is being clicked by a mouse cursor. The page also includes a CA ID search bar at the top right and a footer with contact information.

2. Select **Pending Customer Approval** from the status selection box.
3. Click **Search**.  
The **Search Results** page displays all results that match your selection.

**DTCC** Asset Services **Corporate Actions Web** Fri Mar 16 2018 12:49:27 GMT-0400 Contact Us DTCC.com  
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Home Announcements Instructions Allocations Adjustments

Position Adjustment Inquiry

⚠ There is/are pending Treasury Buyback Adjustment(s) that require approval/rejection.

**Search Results**

Approve Reject

| Action                              | Date Created | CA ID     | CUSIP     | Record Date | Payment Date | Rate | Current Status            | Adjusted Shares | Adjusted Amount | Short/Lo |
|-------------------------------------|--------------|-----------|-----------|-------------|--------------|------|---------------------------|-----------------|-----------------|----------|
| <input checked="" type="checkbox"/> | Mar-16-2018  | 516045426 | 74042QAE7 | Mar-07-2018 | Mar-22-2018  | 0    | Pending Customer Approval | 2000            | 0               | Short    |
| <input checked="" type="checkbox"/> | Mar-16-2018  | 516045427 | 74042QAE7 | Mar-07-2018 | Mar-22-2018  | 0    | Pending Customer Approval | 3000            | 0               | Short    |
| <input checked="" type="checkbox"/> | Mar-16-2018  | 516045428 | 74042QAG2 | Mar-07-2018 | Mar-22-2018  | 0    | Pending Customer Approval | 4000            | 0               | Short    |
| <input type="checkbox"/>            | Mar-16-2018  | 516045429 | 74042QAG2 | Mar-07-2018 | Mar-22-2018  | 0    | Pending Customer Approval | 5000            | 0               | Short    |

Pending

4. Click the checkbox next to each item that you want to approve or reject.

---

**Note:**

Selecting multiple items allows you to either approve them as a group or reject them as a group.

---

5. Click **Approve** to approve your selected items or click **Reject** to reject your selected items.
  - Clicking **Approve** places these adjustments in an “Approved” state. Once the system has finished processing the adjustments, the status will be changed to “Completed.”
  - Clicking **Reject** places these adjustment in a “Rejected” state. The position adjustments will not occur.



## Viewing an Audit Trail History for a Position Adjustment

You can see the full history of a particular adjustment.

1. From the menu bar, click **Adjustments > Position Adjustments**.

The screenshot shows the DTCC Corporate Actions Web interface. The top navigation bar includes links for Home, Announcements, Allocations, and Adjustments. The Adjustments dropdown menu is open, showing options: Overview, Not Processed APOs, CMO Trade Adjustments Search, and Position Adjustments. The Position Adjustments option is highlighted with a red box and a mouse cursor. Below the menu, the Event Search section is visible, featuring search criteria like Event Group, CA Identifier, CUSIP, and Event Security Description Starts with. A Search button is present at the bottom of the search criteria section.

The **Position Adjustment Inquiry** page appears.

The screenshot shows the DTCC Corporate Actions Web interface with the Position Adjustment Inquiry page. The page title is "Position Adjustment Inquiry". Below the title, there are search filters: Status\* (set to All), CUSIP, Date Range, +/-, and Days. A red box highlights the Search button, which is next to a Reset button. The top navigation bar shows the path: Home > Announcements > Instructions > Allocations > Adjustments.

2. Select any [search criteria](#), if applicable.
3. Click **Search**.  
The **Search Results** page displays all results that match your selection.

**DTCC** Asset Services **Corporate Actions Web** Thu Mar 15 2018 13:08:20 GMT-0400 Contact Us DTCC.com  
test\_user 00001234 Logout

Home Announcements Instructions Allocations Adjustments

Position Adjustment Inquiry

Search Results

Approve Reject

| Action | Date Created | CA ID    | CUSIP     | Record Date | Payment Date | Rate | Current Status | Adjusted Shares | Adjusted Amount | Short/Long |
|--------|--------------|----------|-----------|-------------|--------------|------|----------------|-----------------|-----------------|------------|
|        | May-19-2016  | 98386756 | 675234108 | May-09-2016 | May-20-2016  | 0.13 | Completed      | 354924          | 46140.12        | Short      |

Displaying 1 to 1 of 1 records | Show 20 per page



Status\* All CUSIP Date Range +/- Days

Search Reset

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4. Click the **Date Created** link for the adjustment you want to view.  
An Adjustment History window displays the full history of this adjustment (including submission, approval, rejection, and cancellation).


Adjustment History - 675234108



Event Detail

|                 |                         |                 |             |                 |           |
|-----------------|-------------------------|-----------------|-------------|-----------------|-----------|
| Date Created    | May-19-2016 03:04:48 PM | CA ID           | 98386756    | CUSIP           | 675234108 |
| Record Date     | May-09-2016             | Payment Date    | May-20-2016 | Rate            | 0.13      |
| Current Status  | Completed               | Adjusted Amount | 46,140.12   | Adjusted Shares | 354,924   |
| Adjustment Type | Treasury Buyback        | Short/Long      | Short       |                 |           |

 |



| Timestamp               | Shares  | Amount    | Short/Long | Action                         | Name | Phone # | User |
|-------------------------|---------|-----------|------------|--------------------------------|------|---------|------|
| May-19-2016 04:56:54 PM | 354,924 | 46,140.12 | Short      | Adjustment Applied to Position | DTC  |         | DTC  |
| May-19-2016 03:05:30 PM | 354,924 | 46,140.12 | Short      | Initial Approval               | DTC  |         | DTC  |
| May-19-2016 03:05:04 PM | 354,924 | 46,140.12 | Short      | Adjustment Added               | DTC  |         | DTC  |

Displaying 1 to 4 of 4 records | Show 

20

 per page

<<

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1

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Distributions

247

# REDEMPTIONS

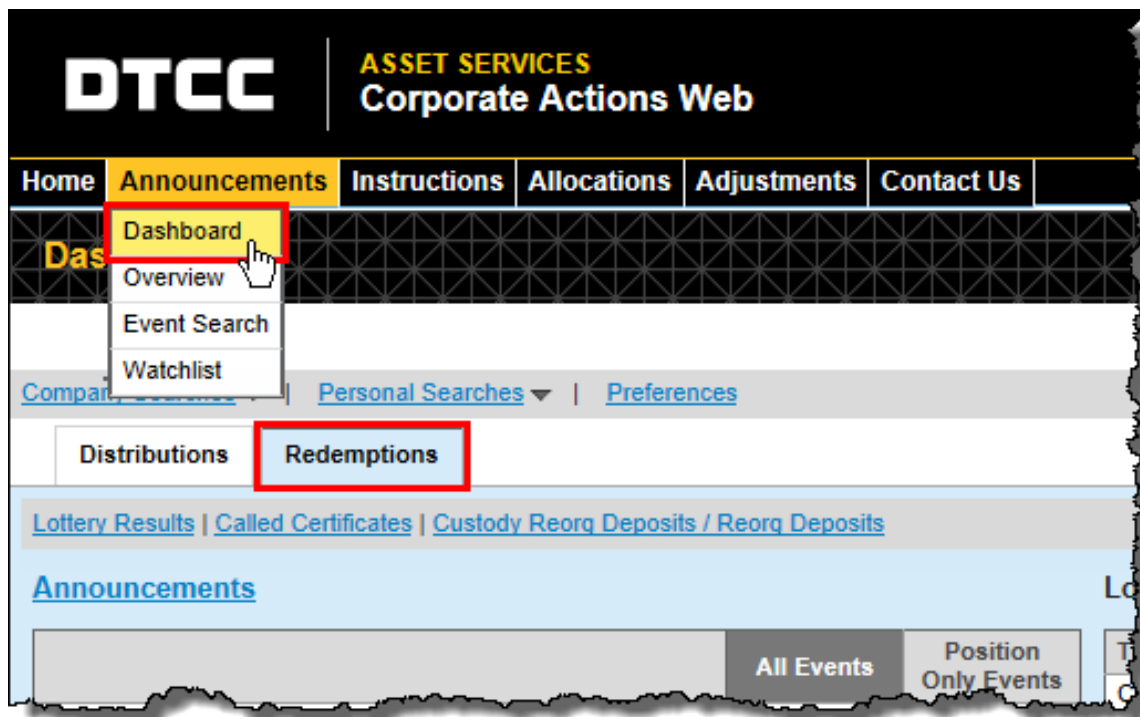
## Dashboard

### About the Redemptions Dashboard

The Dashboard provides you with one convenient launch page that allows you to view all items in CA Web that potentially need your attention. Redemptions items are available on the **Redemptions** tab.

From the menu bar:

1. Hover over **Announcements**.
2. Click **Dashboard**.



3. Click the **Redemptions** tab.

**Dashboard**

Company Searches | Personal Searches | **Preferences**

Distributions | **Redemptions**

**Lottery Results** | Called Certificates | Custody Reorg Deposits / Reorg Deposits

**Announcements**

|   | All Events | Position Only Events |
|---|------------|----------------------|
| New Events  | 530        | 87                   |
| Key Data Updated  | 97         | 10                   |
| Declared Payable Date Changed                               | 13         | 4                    |
| Canceled/Deleted Events                                     | 3          | 0                    |
| Multiple Events with same Declared Payable Date/Security ID | 4          | 4                    |
| Events with Zero Rate on Declared Payable Date              | 0          | 0                    |
| DTC Rate to Rate Change                                     | 7          | 2                    |
| DTC Zero to Rate Change                                     | 9          | 3                    |
| DTC Rate to Zero Rate Change                                | 16         | 3                    |

**Warnings (Late Announcements)**

|  | All Events | Position Only Events |
|--|------------|----------------------|
| Created 5-2 days prior to Declared Payable Date      | 106        | 10                   |
| Created 1 day or less prior to Declared Payable Date | 9          | 6                    |

**Lotteries Processed Today**

| Type  | Selected for Lottery | Not Selected for Lottery |
|---|----------------------|--------------------------|
| Partial Call                                | 13                   | 1                        |
| Partial Prerefunding                        | 0                    | 0                        |
| Partial Defeasance                          | 0                    | 0                        |
| Supplementals                               | 0                    | 0                        |
| <b>Total</b>                                | <b>13</b>            | <b>1</b>                 |
| Concurrent Calls                            | 0                    | 0                        |
| Lottery Events Where Short Positions Exist* | 13                   | 0                        |
| Lottery Reversals/Reruns                    | 0                    | 0                        |

\*Your account is currently short in the Total Free Position

**Lottery Adjustments Today**

| Type                            | Pre-Allocation | Post-Allocation |
|---------------------------------|----------------|-----------------|
| Cancels                         | 0              | 0               |
| Cancels with Intention to Rerun | 0              | 0               |

**Warnings**

| Type  | As of Mar-29 |
|---|--------------|
| All Events with Pledge Positions - Allocating within 5 Days | 120          |
| Conditional Payments  | 5            |

**Allocations (Today)**

Last Updated: Feb-11-2016 10:28:36 AM

| Type       | Total Due         |       | Unallocated    |       | Allocated         |       |
|------------|-------------------|-------|----------------|-------|-------------------|-------|
|            | Amount*           | Count | Amount*        | Count | Amount*           | Count |
| Cash (USD) | 4,554,313,384.06  | 820   | 30,818,331.80  | 36    | 4,523,495,052.26  | 784   |
| MMI        | 35,627,309,034.22 | 895   | 401,154,673.80 | 10    | 35,226,154,360.42 | 885   |
| Security   | N/A               | 8     | N/A            | 0     | N/A               | 8     |

\*Amounts only apply to cash allocations and not security allocations.

**Adjustments (Today)**

Last Updated: Feb-11-2016 10:28:36 AM

| Cash (USD)      | Adjustments   |       |
|-----------------|---------------|-------|
|                 | Net Amount    | Count |
| Cash Total      | 45,776,649.37 | 113   |
| Rate            | 950,782.41    | 61    |
| Misc/GL         | 9,620,745.39  | 22    |
| Reorg Deposit   | 128,500.00    | 7     |
| Custody Deposit | 35,076,621.57 | 23    |

| MMI         | Adjustments |       |
|-------------|-------------|-------|
|             | Net Amount  | Count |
| MMI Total   | 67,579.36   | 16    |
| MMI Rate    | -12,420.64  | 9     |
| MMI Misc/GL | 80,000.00   | 7     |

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The top part of the dashboard allows you to search for:

- [Lottery Results](#),
- [Called Certificates](#), and
- [Custody Reorg Deposits/Reorg Deposits](#).

Click any of these links to refine your search.

On the main part of the Dashboard you can see six different areas, called "compartments":

- [Announcements](#),
- [Lotteries Processed Today](#),
- [Lottery Adjustments Today](#),
- [Warnings](#),
- [Allocations \(Today\)](#), and
- [Adjustments \(Today\)](#).

These compartments contain clickable links to take you to different search results pages. You can refresh your dashboard information by pressing the **F5** key.

## Announcements

The Announcements compartment contains two lists of totals (All Events and Position Only Events) for a number of different event categories.

| <a href="#">Announcements</a>                               |            |                      |
|---|------------|----------------------|
|   | All Events | Position Only Events |
| New Events  | 530        | 87                   |
| Key Data Updated  | 97         | 10                   |
| Declared Payable Date Changed                               | 13         | 4                    |
| Canceled/Deleted Events                                     | 3          | 0                    |
| Multiple Events with same Declared Payable Date/Security ID | 4          | 4                    |
| Events with Zero Rate on Declared Payable Date              | 0          | 0                    |
| DTC Rate to Rate Change                                     | 7          | 2                    |
| DTC Zero to Rate Change                                     | 9          | 3                    |
| DTC Rate to Zero Rate Change                                | 16         | 3                    |
| Warnings (Late Announcements) ⓘ                             | All Events | Position Only Events |
| Created 5-2 days prior to Declared Payable Date             | 106        | 10                   |
| Created 1 day or less prior to Declared Payable Date        | 9          | 6                    |


New event announcements are shown here, as well as announcements on which a particular piece of event information has changed.

Additionally, you can see "Warning" items for late announcements. These are events announced today by DTC that may require timely attention. Your Late Announcement warnings are further categorized by creation date: those announcements created between 2 and 5 days prior to their declared payable dates, and those announcements created one day or less prior to their declared payable dates.

- Click the **Announcements** heading to reach the [Announcements Overview](#) page.
- Click a hyperlinked number in either **Events** column to see a Search Results page that lists all events comprising this total. You can reach a particular event's [Record Detail](#) page from here.

## Lotteries Processed Today

This compartment displays the current day's lottery results and whether the position on publication date minus 1 has been affected by the lottery.

| Lotteries Processed Today  |                      |                          |
|---|----------------------|--------------------------|
| Type  | Selected for Lottery | Not Selected for Lottery |
| Partial Call  | <a href="#">13</a>   | <a href="#">1</a>        |
| Partial Prerefunding  | 0                    | 0                        |
| Partial Defeasance  | 0                    | 0                        |
| Supplementals   | 0                    | 0                        |
| Total   | <a href="#">13</a>   | <a href="#">1</a>        |
| Concurrent Calls  | 0                    | 0                        |
| Lottery Events Where Short Positions Exist  | 0                    | 0                        |
| Lottery Reversals/Reruns  | 0                    | 0                        |

A blue icon next to the title provides a definition of this area:

“Lotteries Processed Today is defined as Lottery Swing Date equals today. This information will be available for Partial Calls, Partial Defeasances, Partial Prerefundings, Supplementals, and Concurrent Calls.”

If short positions exist for any lottery events, a message appears below this compartment that reads "Your account is currently short in the Total Free Position."

This compartment is divided into columns for **Type**, **Selected for Lottery** (“affected” events) and **Not Selected for Lottery** (“unaffected” events). Blue hyperlinks in these columns indicate the number of records for each item type listed on the left. Clicking on these links takes you to a Search Results page for that type.

The types in this compartment are:

- **Partial Calls.** Items in this row are original lotteries (that have not been canceled or deleted) with an event type of “partial call” and a lottery swing date equal to today.
- **Partial Pre-refunding.** Items in this row are original lotteries (that have not been canceled or deleted) with an event type of “partial pre-refunding” and a lottery swing date equal to today.
- **Partial Defeasance.** Items in this row are original lotteries (that have not been canceled or deleted) with an event type of “partial defeasance,” and a lottery swing date equal to today.
- **Supplementals.** Items in this row are supplemental lotteries (that have not been canceled or deleted) with an event type of “partial call” and a lottery swing date equal to today.
- **Total.** This row contains totals for all active events listed above (that have not been canceled or deleted) with a lottery swing date equal to today.
- **Concurrent Calls.** Items in this row represent any two active partial call events (that have not been canceled or deleted) with the same CUSIP, declared payable date, and declared publication date, and both events are original lotteries.
- **Lottery Events where Short Positions Exist.** Items in this row include all active redemption lottery type events (that have not been canceled or deleted) with a lottery swing date equal to today for which you have a negative total free position.

Items in this row will cause the information icon at the top of this compartment to appear. If you have a positive total free position, this row will not contain hyperlinks and the icon will not appear.


- **Lottery Reversal/Rerun.** Items in this row include all active Redemption lottery events (that have not been canceled or deleted) for which the event stage is “FULL.”

## Lottery Adjustments Today

There are two types of lottery adjustments:

- Cancels, and
- Cancels with Intention to Rerun.

This compartment provides information about cancellation processing of partial calls, partial pre-refundings, partial defeasances, and the cancellation/rerunning of these events.

| Lottery Adjustments Today   |                |                 |
|---|----------------|-----------------|
| Type  | Pre-Allocation | Post-Allocation |
| Cancels   | 0              | 0               |
| Cancels with Intention to Rerun  | 0              | 0               |

If there are any canceled lotteries to be rerun, a blue information icon is visible in this row. Hovering over this icon displays the message "Refer to the Related Events tab for the Rerun lottery and its CA ID. Lottery results will be provided in the [Lotteries Processed Today](#) compartment."

- **Cancels** refers to all active events (partial calls, partial pre-refundings, and partial defeasances) with today's timestamp that have been marked canceled (CN) or deleted (DE).
- **Cancels with Intention to Rerun** refers to all active events (partial calls, partial pre-refundings, and partial defeasances) with today's timestamp that have been marked canceled (CN) or deleted (DE) and have an event stage of “FULL.”

This compartment is divided into **Type**, **Pre-Allocation**, and **Post Allocation** columns. Blue hyperlinks in these columns indicate the number of records for each lottery adjustment type listed on the left. Clicking on these links takes you to a Search Results page for that type.

- Pre-Allocation events do not have a DTC allocation date and time associated with them.
- Post Allocation events are stamped with a DTC allocation date and time.

## Warnings

This compartment contains a list, broken out by type, of any items that require your attention today. Clicking on a hyperlinked blue number below today's date brings you to a Search Results page for that warning type.

| Warnings  |                     |
|---|---------------------|
| Type  | As of Mar-29        |
| All Events with Pledge Positions - Allocating within 5 Days | <a href="#">120</a> |
| Conditional Payments  | <a href="#">5</a>   |

The warning types include:



1. **All Events with Pledge Positions Allocating Within 5 Days.** This includes active events (that have not been canceled or deleted) in which you have position and the declared payable date is within five days of today.
2. **Conditional Payments.** This includes active events (excluding maturities) for which today is the declared payable date that have not been canceled or deleted. Additionally, the **Conditional Payment Applicable Flag** value equals "Y" and the **DTC Allocation Date and Time** field is not populated.

## Allocations (Today)

The **Allocations (Today)** compartment summarizes the allocation of cash and securities from redemption events. It displays an amount and count of events. These allocation counts are divided up by entitlement types:

| <b>Allocations (Today)</b>            |                   |       |                |       |                   |       |
|---------------------------------------|-------------------|-------|----------------|-------|-------------------|-------|
| Last Updated: Feb-11-2016 10:28:36 AM |                   |       |                |       |                   |       |
| Type                                  | Total Due         |       | Unallocated    |       | Allocated         |       |
|                                       | Amount*           | Count | Amount*        | Count | Amount*           | Count |
| Cash (USD)                            | 4,554,313,384.06  | 820   | 30,818,331.80  | 36    | 4,523,495,052.26  | 784   |
| MMI                                   | 35,627,309,034.22 | 895   | 401,154,673.80 | 10    | 35,226,154,360.42 | 885   |
| Security                              | N/A               | 8     | N/A            | 0     | N/A               | 8     |

\* Amounts only apply to cash allocations and not stock allocations.

- The **Total Due** counts allow you to see what is expected to be paid out for each entitlement type on this business day.
  - For **Cash** and **MMI**, both a dollar amount and a count are displayed.
  - For **Security**, only a count is displayed. This count matches the **Allocated** count.
- The **Unallocated** counts allow you to see what is awaiting allocation on this business day for each entitlement type. It represents what has been scheduled to be paid out today but has not yet been allocated.
  - For **Cash** and **MMI**, both a dollar amount and a count are displayed.
  - For **Security**, this will always be marked "NA" and the count will always be "0."
- The **Allocated** counts allow you to see what has actually been paid out on this business day for each entitlement type.
  - For **Cash** and **MMI**, both a dollar amount and a count are displayed.
  - For **Security**, only a count is displayed. This count matches the **Total Due** count.

Click the **Allocations (Today)** heading to reach the [Allocations Overview](#) page.

Click any hyperlinked number in the **Count** columns to go to a page that lists all events comprising that total. You can reach a particular event's [Record Detail](#) page from here.

## Adjustments (Today)

“Adjustments” includes all entitlement and allocation activity that is outside the traditional pay date allocations. The Adjustments compartment displays a bird's-eye view of your adjustment totals. This includes all post allocation rate adjustments, general ledger adjustments, reorg deposits, and custody deposits. You can view today's totals split out by adjustment type as well as the number of records that comprise that total.

| Adjustments (Today)                   |               |                     |
|---------------------------------------|---------------|---------------------|
| Last Updated: Feb-11-2016 10:28:36 AM |               |                     |
| Cash (USD)                            | Adjustments   |                     |
|                                       | Net Amount    | Count               |
| Cash Total                            | 45,776,649.37 | <a href="#">113</a> |
| Rate                                  | 950,782.41    | <a href="#">61</a>  |
| Misc/GL                               | 9,620,745.39  | <a href="#">22</a>  |
| Reorg Deposit                         | 128,500.00    | <a href="#">7</a>   |
| Custody Deposit                       | 35,076,621.57 | <a href="#">23</a>  |
| MMI                                   | Adjustments   |                     |
|                                       | Net Amount    | Count               |
| MMI Total                             | 67,579.36     | <a href="#">16</a>  |
| MMI Rate                              | -12,420.64    | <a href="#">9</a>   |
| MMI Misc/GL                           | 80,000.00     | <a href="#">7</a>   |

The Adjustments compartment is split into two categories.

- **Cash Adjustments.** This includes a net amount and an adjustment count for **Cash**, **Rate**, and **Misc/GL** adjustments, **Reorg Deposits**, and **Custody Deposits**.
  - The net amount for each adjustment type represents the sum total of all cash credits and debits that occur with adjustment processing for that type.
  - The **Cash** row represents a total net amount and a total count of the other four cash adjustment types.
  - The record count is a hyperlink that informs you how many adjustments have been made in this category.
- **MMI Adjustments.** This includes **MMI Misc/GL** and **MMI Rate** adjustments.
  - The net amount represents the total credits and debits that occur with each type of MMI adjustment processing.
  - The record count is a hyperlink that informs you how many adjustments have been made in this category.

Click the **Adjustments (Today)** heading to reach the [Adjustments Overview](#) page.

Click any hyperlinked number in either **Count** column to go to a page that lists all events comprising that total. You can reach a particular event's [Record Detail](#) page from here.

## Dashboard Search Results Pages

Clicking on any link in any Dashboard compartment brings you to a Search Results page for that particular group of Redemption events.

Each link represents the number of items in a particular category.

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Wed Mar 16 2016 15:33:07 GMT-0400

**Dashboard**

Print
CA ID

[Company Searches](#) | [Personal Searches](#) | [Preferences](#)

[Distributions](#) | [Redemptions](#)

[Lottery Results](#) | [Called Certificates](#) | [Custody Reorg Deposits / Reorg Deposits](#)

### Announcements

|   | All Events | Position Only Events |
|---|------------|----------------------|
| New Events  | 1,221      | 140                  |
| Key Data Updated  | 926        | 115                  |
| Declared Payable Date Changed                               | 22         | 2                    |
| Canceled/Deleted Events                                     | 115        | 10                   |
| Multiple Events with same Declared Payable Date/Security ID | 259        | 25                   |
| Events with Zero Rate on Declared Payable Date              | 0          | 0                    |
| DTC Rate to Rate Change                                     | 17         | 2                    |
| DTC Zero to Rate Change                                     | 10         | 1                    |
| DTC Rate to Zero Rate Change                                | 18         | 1                    |

### Lottery Adjustments Today

| Type                            | Pre-Allocation | Post-Allocation |
|---------------------------------|----------------|-----------------|
| Cancels                         | 0              | 0               |
| Cancels with Intention to Rerun | 0              | 0               |

### Warnings

| Type  | As of Mar-16 |
|---|--------------|
| All Events with Pledge Positions - Allocating within 5 Days | 120          |
| Conditional Payments  | 5            |

### Allocations (Today)

Last Updated: Feb-11-2016 10:28:36 AM

| Type       | Total Due         |       | Unallocated    |       | Allocated         |       |
|------------|-------------------|-------|----------------|-------|-------------------|-------|
|            | Amount*           | Count | Amount*        | Count | Amount*           | Count |
| Cash (USD) | 4,554,313,384.06  | 820   | 30,818,331.80  | 36    | 4,523,495,052.26  | 784   |
| MMI        | 35,627,309,034.22 | 895   | 401,154,673.80 | 10    | 35,226,154,360.42 | 885   |
| Security   | N/A               | 8     | N/A            | 0     | N/A               | 8     |

\* Amounts only apply to cash allocations and not stock allocations.

### Adjustments (Today)

Last Updated: Feb-11-2016 10:28:36 AM

| Cash Adjustment Type | Adjustments |       |
|----------------------|-------------|-------|
|                      | Net Amount  | Count |
| Cash Total           | 0.00        | 0     |
| Rate                 | 0.00        | 0     |
| Misc/GL              | 0.00        | 0     |
| Reorg Deposit        | 0.00        | 0     |
| Custody Deposit      | 0.00        | 0     |

| MMI Adjustment Type | Adjustments |       |
|---------------------|-------------|-------|
|                     | Net Amount  | Count |
| MMI Total           | 0.00        | 0     |
| MMI Rate            | 0.00        | 0     |
| MMI Misc/GL         | 0.00        | 0     |

### Lotteries Processed Today

| Type  | Selected for Lottery | Not Selected for Lottery |
|---|----------------------|--------------------------|
| Partial Call                                | 11                   | 2                        |
| Partial Prerefunding                        | 0                    | 0                        |
| Partial Defeasance                          | 0                    | 0                        |
| Supplementals                               | 0                    | 0                        |
| Total                                       | 11                   | 2                        |
| Concurrent Calls                            | 0                    | 0                        |
| Lottery Events Where Short Positions Exist* | 10                   | 0                        |
| Lottery Reversals/Reruns                    | 0                    | 0                        |

\*Your account is currently short in the Total Free Position

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The specific fields on each results page vary according to the link you click. The most relevant event details are shown for each compartment link.

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Wed Mar 16 2016 16:14:33 GMT-0400

Redemptions - New Events Search Results

< Return to Previous Page

Print

CA ID

Displaying 1 to 50 of 1,221 items

Filter

Customize Result Columns

Export to Excel

Page 1 of 25

| CA ID     | CUSIP     | Event Security Description                  | Event Type    | Sub Event Type | Declared Publication Date | Refunded Maturity Date | Event Stage | Contra Cusip | Asse |
|-----------|-----------|---|---------------|----------------|---------------------------|------------------------|-------------|--------------|------|
| 500669299 | 667825VF7 | NORTHWEST INDEPENDENT SCHOOL DISTRICT       | Full Call     |                |                           |                        |             |              |      |
| 500664565 | 013842SZ3 | CITY OF ALCOA, TENNESSEE                    | Full Call     |                |                           |                        |             |              |      |
| 500664566 | 123405AF9 | BUTLER COUNTY, ALABAMA                      | Final Paydown |                |                           |                        |             |              |      |
| 500663451 | 53736NBL2 | CITY OF LITTLE ROCK, ARKANSAS               | Full Call     |                |                           |                        |             |              |      |
| 500663452 | 53736NBM0 | CITY OF LITTLE ROCK, ARKANSAS               | Full Call     |                |                           |                        |             |              |      |
| 500663453 | 53736NBP3 | CITY OF LITTLE ROCK, ARKANSAS               | Full Call     |                |                           |                        |             |              |      |
| 500668759 | 45107GAA9 | ICON FINANCE, LLC                           | Full Call     |                |                           |                        |             |              |      |
| 500669004 | 459200101 | IBM CORPORATION                             | Partial Call  |                | Mar-15-2016               |                        |             |              |      |
| 500668156 | 730817AB9 | PARISH OF POINTE COUPEE, STATE OF LOUISIANA | Partial Call  |                | Mar-11-2016               |                        |             |              |      |
| 500667346 | 30749LHV1 | FARGO PUBLIC SCHOOL                         | Full Call     |                |                           |                        |             |              |      |

Displaying 1 to 50 of 1,221 items

FilterCustomize Result ColumnsExport to Excel

Page 1 of 25

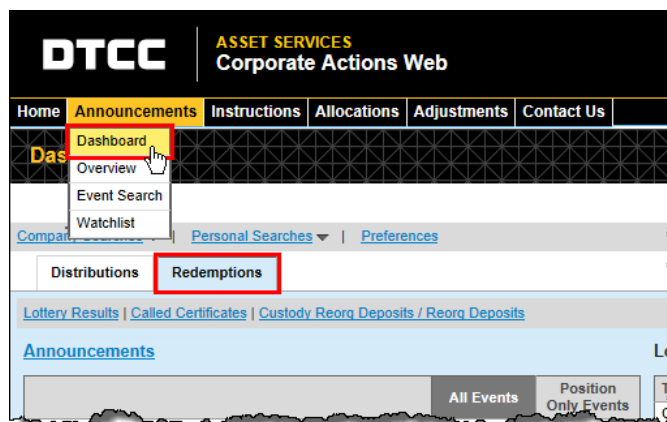
- Click **Customize Search Results** to select the columns that appear in your search results. On the popup window that appears, use the arrow buttons to move column names between the **Available** and **Selected** boxes and click **Save**.
- Sort these results by clicking on any of the column headings.
- The search results page displays all items that match the link's criteria. These results are shown 50 at a time. Click the arrow buttons to move through the pages, or type a page number in the field and press **Enter**.
- You can [filter the results by CUSIP](#) on the bottom of these results pages:
  - Lotteries Processed Today
  - Lottery Adjustments Today
  - Warnings
  - Allocations (Today)
  - Adjustments (Today)
- On the remaining search results pages, you can perform a [custom or advanced search](#) at the bottom of the page.
- Click the **Filter** link to refine the search results by a variety of criteria.
- Export these results to Excel by clicking the **Export to Excel** link.  
When you export your results to Excel, you will export all results—not just the ones that appear on the page.
- Print these results by clicking on the **Print** icon.  
When you print your results, you will only print the results that appear on the page.
- Click any link in the **CA ID** column to view details for that event.

# Advanced Redemptions Searches

## Searching for Lottery Results

You can specifically limit an event search to lottery results.

To reach this Search page from the menu bar:



1. Hover over **Announcements**.
2. Click **Dashboard**.
3. Click the **Redemptions** tab.
4. Click **Lottery Results**.

The screenshot shows the DTCC Asset Services Corporate Actions Web interface with the Lottery Results Search page. The top navigation bar includes links for Home, Announcements, Instructions, Allocations, Adjustments, and Contact Us. The Announcements link is highlighted. Below the navigation bar, there are tabs for Distributions and Redemptions, with Redemptions being the active tab. At the bottom, there are links for Lottery Results, Called Certificates, Custody Reorg Deposits, and Reorg Deposits. The Lottery Results link is highlighted.

**Announcements**

|   | All Events | Position Only Events |
|---|------------|----------------------|
| New Events  | 52         | 8                    |
| Key Data Updated  | 4          | 0                    |
| Declared Payable Date Changed                               | 0          | 0                    |
| Canceled/Deleted Events                                     | 0          | 0                    |
| Multiple Events with Same Declared Payable Date/Security ID | 0          | 0                    |
| Events with Zero Rate on Declared Payable Date              | 24         | 0                    |
| DTC Rate to Rate Change                                     | 0          | 0                    |
| DTC Zero to Rate Change                                     | 0          | 0                    |
| DTC Rate to Zero Rate Change                                | 0          | 0                    |
| Warnings (Late Announcements)                               | All Events | Position Only Events |
| Created 5-2 Days Prior to Declared Payable Date             | 1          | 0                    |

**Lottery Adjustments Today**

| Type                            | Pre-Allocation | Post-Allocation |
|---------------------------------|----------------|-----------------|
| Cancels                         | 0              | 0               |
| Cancels with Intention to Rerun | 0              | 0               |

**Warnings**

| Type  | As of Jan-05 |
|---|--------------|
| All Events with Pledge Positions - Allocating within 5 Days | 30           |
| Conditional Payments  | 19           |

**Allocations (Today)**

| Type       | Total Due     | Unallocated   | Allocated     |
|------------|---------------|---------------|---------------|
|            | Amount* Count | Amount* Count | Amount* Count |
| Cash (USD) | 0.00 0        | 0.00 0        | 0.00 0        |

The Lottery Results Search page appears.

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Home Announcements Instructions Allocations Adjustments Contact Us Thu Jan 05 2017 11:48:50 GMT-0500

**Lottery Results Search**

[Return to Previous Page](#) Print CA ID

**Search Criteria**

CA ID CUSIP  
Event Type Lottery Type  
Asset Class  
Lottery Swing Date  
Declared Payable Date  
Limit to  
☒ Selected by Lottery ☐ Active ☐ Historical

**Search** **Reset**

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5. Fill out the Search criteria for the lottery results you want to find. You can enter any combination of these criteria to narrow your search.

**Notes:**

- You must enter either the **CUSIP** (full or partial) or the **Event Type**.
- If you enter a **CUSIP** (full or partial), you do not need to specify the **Payable Date**.

|                           |   |
|---------------------------|---|
| <b>CA ID</b>              | Type the unique Corporate Actions identifier for the event.   |
| <b>CUSIP</b>              | Type all or a portion of the CUSIP associated with the lottery.<br><br>Note that if you type a partial CUSIP, the system will, if applicable, match it to the beginning of an existing CUSIP and return a range of events starting with that CUSIP.<br><br>For example, if you enter "123," CA Web will return a list of lottery results in numerical order by CUSIP, starting with the matching CUSIP that begins with "123...."   |
| <b>Event Type</b>         | Select a lottery event type from the drop-down list.<br><br>This limits your search results to a single type of lottery event: partial call, partial defeasance, or partial pre-refunding.  |
| <b>Lottery Type</b>       | Select a lottery type from the drop-down list: original or supplemental.  |
| <b>Asset Class</b>        | The DTC classification of instruments into Corporate Debt, Equity, or Muni Debt.<br><br>Select whether the asset class is equity/corporate or municipal.  |
| <b>Lottery Swing Date</b> | This is the date on which called positions are moved into either a segregated account or DTC Contra CUSIP(s). Note that this is the same as the "Lottery Mainline Date."<br><br>Enter a single calendar date or a range of dates. To enter a range: <ol style="list-style-type: none"> <li>Click the calendar tool and select a date.</li> <li>Select the minus (-) or the plus (+) from the drop-down list to indicate whether the date range should extend before (-) or after (+) your selected date.</li> </ol> |

|                              |   |
|------------------------------|---|
|                              | 3. Type a number that indicates the number of days the range should extend. For example, "+5" means that the range will begin at the selected calendar date and extend for the next five business days.   |
| <b>Declared Payable Date</b> | The payable date as announced by the agent/issuer. Enter a single calendar date or a range of dates (see Lottery Swing Date above).   |
| <b>Limit To</b>              | <p>There are two limiting factors in this area: <b>Selected by Lottery</b> and <b>Active/Historical</b>.</p> <ol style="list-style-type: none"> <li>1. Click the <b>Selected by Lottery</b> checkbox to limit your search to items for which you have been selected for the lottery.<br/><br/>If you do not select this option, your search will return all lottery events matching your criteria whether you are affected or unaffected by the lottery.</li> <li>2. Click "Active" to limit your search to open events. Click "Historical" to limit your search to events that are no longer active.<br/><br/>"Active" is selected by default. To improve historical search performance, select a range of dates in the fields above.</li> </ol> |

6. Click **Search** when you are finished selecting your search criteria.  
The results page appears for this search.

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Thu Jan 05 2017 11:52:26 GMT-0500

### Lottery Results Search

[< Return to Previous Page](#)
Print
CA ID

Results

Displaying 1 to 20 of 64 items
Filter Export to Excel Page 1 of 4

| CA ID                     | CUSIP     | Event Security Description                       | Event Type   | Asset Class    | Lottery Type | Declared Payable Date | Declared Publication Date Position | Adjus |
|---------------------------|-----------|--|--------------|----------------|--------------|-----------------------|------------------------------------|-------|
| <a href="#">511297820</a> | 13034PKL0 | CALIF HFA HM RV BDSCA D08/28/08 5.450% FA33 BE   | Partial Call | Municipal Debt | Original     | Feb-01-2017           | 1,260,000                          |       |
| <a href="#">510895198</a> | 186432SG6 | CLEVELAND WTR RV OH D05/15/93 5.500% JJ21 BE     | Partial Call | Municipal Debt | Original     | Jan-01-2017           | 765,000                            |       |
| <a href="#">511218083</a> | 207743NL5 | CONNECTICUT ST HIGH CT D08/06/09 04.750% NM23 BE | Partial Call | Municipal Debt | Original     | Jan-17-2017           | 160,000                            |       |
| <a href="#">511218085</a> | 207743PB5 | CONNECTICUT ST HIGH CT D10-19-10 4.000% MN30 BE  | Partial Call | Municipal Debt | Original     | Jan-17-2017           | 515,000                            |       |
| <a href="#">510416559</a> | 215075EZ1 | COOK CNTY SCH G/O IL D07/01/08 4.500% JD19 BE    | Partial Call | Municipal Debt | Original     | Dec-01-2016           | 85,000                             |       |
| <a href="#">510894874</a> | 276318AN2 | EASTERN RESOURSE RV CT D10/01/93 5.500% JJ20 BE  | Partial Call | Municipal Debt | Original     | Jan-01-2017           | 1,985,000                          |       |
| <a href="#">511406549</a> | 3735392P3 | GEORGIA ST HSG & FI GA D09/08/11 02.150% DJ17 BE | Partial Call | Municipal Debt | Original     | Feb-01-2017           | 10,000                             |       |
| <a href="#">511218113</a> | 4127026Y3 | HARLANDALE ISD GO TX D03/01/07 4.250% FA27 BE    | Partial Call | Municipal Debt | Original     | Feb-15-2017           | 35,000                             |       |
| <a href="#">510414550</a> | 42766PBG4 | HERNANDO CO RV CERT FL D06/15/01 4.875% JD18 BE  | Partial Call | Municipal Debt | Original     | Dec-01-2016           | 20,000                             |       |
| <a href="#">511002603</a> | 45200FET2 | IL FINANCE AUTH RV IL D08/11/05 5.000% JJ18 BE   | Partial Call | Municipal Debt | Original     | Jan-01-2017           | 290,000                            |       |
| <a href="#">511234173</a> | 45201LPB5 | IL HSG DEV AUTH GO IL D11/29/06 4.850% JJ37 BE   | Partial Call | Municipal Debt | Original     | Dec-15-2016           | 60,000                             |       |
| <a href="#">510416585</a> | 45734TAB0 | INLAND EMPRE TOB RV CA D08-16-07 5.000% JD21 BE  | Partial Call | Municipal Debt | Original     | Dec-01-2016           | 3,270,000                          |       |
| <a href="#">510991375</a> | 544581AQ4 | LOS ANGELES RV REF CA D10/01/93 5.350% JJ22 BE   | Partial Call | Municipal Debt | Original     | Jan-01-2017           | 120,000                            |       |

Displaying 1 to 20 of 64 items
Filter Export to Excel Page 1 of 4

#### Search Criteria

CA ID  
CUSIP  
130

Event Type  
Lottery Type

Asset Class

Lottery Swing Date  
Days

Declared Payable Date  
Days

Limit to  
☒ Selected by Lottery ☐ Active ☐ Historical

Search Reset

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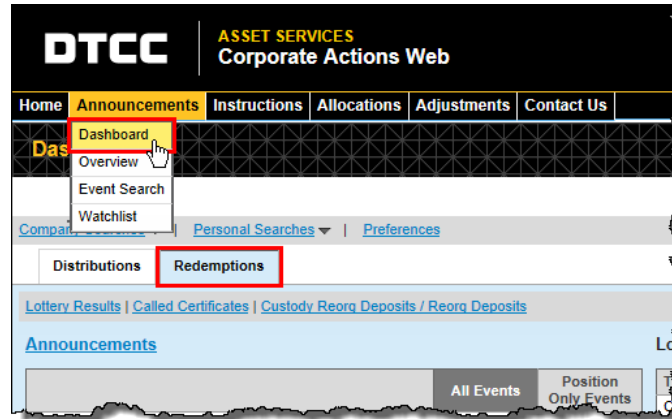
- You can sort these results by clicking on any of the column headings.
  - You can export these results to Excel by clicking the **Export to Excel** link. When you export your results to Excel, you will export all results—not just the ones that appear on the page.
  - You can print these results by clicking on the **Print** icon. When you print your results, you will only print the results that appear on the page.
  - Click **Filter** to refine the results by any applicable criteria.
  - Page through the results by entering a page number or clicking on the arrow buttons by the top right corner of the results grid.
7. Click the hyperlinked **CA ID** to view the [record detail page](#) for that event.
- You can also refine your search using the fields at the bottom of the page or click **Reset** to begin a new search.



## Searching for Called Certificates

You can search for called certificates associated with a particular CUSIP.

To reach this Search page from the menu bar:



1. Hover over **Announcements**.
2. Click **Dashboard**.
3. Click the **Redemptions** tab.
4. Click **Called Certificates**.

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Mon Mar 07 2016 23:04:14 GMT-0500

**Dashboard**

Print | CA ID

Company Searches | Personal Searches | Preferences

Distributions | **Redemptions**

Lottery Results | **Called Certificates** | Custody Reorg Deposits / Reorg Deposits

**Announcements**

|   | All Events | Position Only Events |
|---|------------|----------------------|
| New Events  | 911        | 116                  |
| Key Data Updated  | 727        | 104                  |
| Declared Payable Date Changed                               | 20         | 2                    |
| Canceled/Deleted Events                                     | 88         | 8                    |
| Multiple Events with same Declared Payable Date/Security ID | 259        | 25                   |
| Events with Zero Rate on Declared Payable Date              | 0          | 0                    |
| DTC Rate to Rate Change                                     | 16         | 3                    |
| DTC Zero to Rate Change                                     | 10         | 2                    |
| DTC Rate to Zero Rate Change                                | 12         | 1                    |
| Warnings (Late Announcements)                               |            |                      |
| Created 5-2 days prior to Declared Payable Date             | 140        | 10                   |
| Created 1 day or less prior to Declared Payable Date        | 24         | 0                    |

**Lottery Adjustments Today**

| Type                            | Pre-Allocation | Post-Allocation |
|---------------------------------|----------------|-----------------|
| Cancels                         | 0              | 0               |
| Cancels with Intention to Rerun | 0              | 0               |

**Warnings**

| Type  | As of Mar-07 |
|---|--------------|
| All Events with Pledge Positions - Allocating within 5 Days | 90           |
| Conditional Payments  | 5            |

**Allocations (Today)**

Last Updated: Feb-11-2016 10:28:36 AM

| Type       | Total Due        |       | Unallocated   |       | Allocated        |       |
|------------|------------------|-------|---------------|-------|------------------|-------|
|            | Amount*          | Count | Amount*       | Count | Amount*          | Count |
| Cash (USD) | 4,554,075,316.51 | 815   | 30,785,049.17 | 33    | 4,523,290,267.34 | 782   |

The **Called Certificates Search** page appears.

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### Called Certificates Search

[< Return to Previous Page](#) | Print | CA ID

**Search Criteria** \* = Required Field

CUSIP \* 89156HAA5 | Certificate Number

**Search** | **Reset**

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5. Type the **CUSIP**.  
If applicable, type the **Certificate Number**.
6. Click **Search**.  
The results page appears for this search. It contains any certificates associated with the CUSIP you entered.

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### Called Certificates Search

[< Return to Previous Page](#) | Print | CA ID

89156HAA5 - CB TOTE SHIPHOLDINGS I D10/22/15 03.400% AO40

Displaying 1 to 1 of 1 items | Filter | Export to Excel | Page 1 of 1

| Certificate Number | Declared Payable Date | Called Denomination |
|--------------------|-----------------------|---------------------|
| 000000000001       | Apr-16-2016           | 3,360,000           |

Displaying 1 to 1 of 1 items | Filter | Export to Excel | Page 1 of 1

**Search Criteria** \* = Required Field

CUSIP \* 89156HAA5 | Certificate Number

**Search** | **Reset**

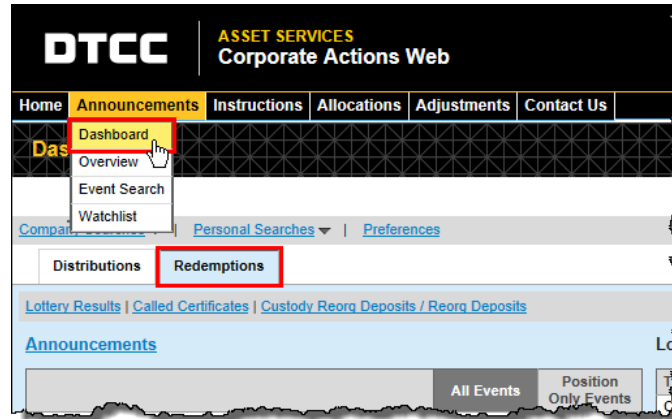
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- If you searched for a particular certificate number, the results will include that certificate plus all others for that CUSIP. The matched certificate is displayed in yellow.
- If applicable, you can sort these results by clicking on any of the column headings.
- You can export these results to Excel by clicking the **Export to Excel** link.
- You can print these results by clicking on the **Print** icon.
- Click **Filter** to refine the results by any applicable criteria.
- If applicable, page through the results by entering a page number or clicking on the arrow buttons by the top right corner of the results grid.
- You can perform another search using the fields at the bottom of this page.

## Searching for Custody Reorg or Reorg Deposits

You can search for allocated or unallocated reorg and custody reorg deposits.

To reach this Search page from the menu bar:



1. Hover over **Announcements**.
2. Click **Dashboard**.
3. Click the **Redemptions** tab.
4. Click **Custody Reorg Deposits/Reorg Deposits**.

The screenshot shows the DTCC Asset Services Corporate Actions Web interface. The top navigation bar includes links for Home, Announcements, Instructions, Allocations, Adjustments, and Contact Us. The Announcements dropdown menu is open, showing options for Dashboard, Overview, Event Search, and Watchlist. The Dashboard option is highlighted. Below the navigation bar, the Redemptions tab is selected, and the Custody Reorg Deposits / Reorg Deposits link is visible in the breadcrumb trail. The page displays various sections including Announcements, Lottery Adjustments Today, Warnings, and Allocations (Today).

|   | All Events | Position Only Events |
|---|------------|----------------------|
| New Events  | 911        | 116                  |
| Key Data Updated  | 727        | 104                  |
| Declared Payable Date Changed                               | 20         | 2                    |
| Canceled/Deleted Events                                     | 88         | 8                    |
| Multiple Events with same Declared Payable Date/Security ID | 259        | 25                   |
| Events with Zero Rate on Declared Payable Date              | 0          | 0                    |
| DTC Rate to Rate Change                                     | 16         | 3                    |
| DTC Zero to Rate Change                                     | 10         | 2                    |
| DTC Rate to Zero Rate Change                                | 12         | 1                    |

| Type                            | Pre-Allocation | Post-Allocation |
|---------------------------------|----------------|-----------------|
| Cancels                         | 0              | 0               |
| Cancels with Intention to Rerun | 0              | 0               |

| Type  | As of Mar-07 |
|---|--------------|
| All Events with Pledge Positions - Allocating within 5 Days | 90           |
| Conditional Payments  | 5            |

| Type       | Total Due        | Unallocated | Allocated        |
|------------|------------------|-------------|------------------|
|            | Amount*          | Count       | Amount*          |
| Cash (USD) | 4,554,075,316.51 | 815         | 30,785,049.17    |
|            |                  | 33          | 4,523,290,267.34 |
|            |                  |             | 782              |

The **Custody Reorg Deposits/Reorg Deposits** search page appears.

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Wed Mar 09 2016 10:05:27 GMT-0500

**Custody Reorg Deposits / Reorg Deposits**

< Return to Previous Page Print CA ID

**Search Criteria** \* = Required Field

Deposit Type \* Allocation Status \*

Reorg Deposits Allocated

**Search** **Reset**

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5. Select your search criteria.

|                          |   |
|--------------------------|---|
| <b>Deposit Type</b>      | Select the type of deposit to look for: either “Custody Reorg Deposits” or “Reorg Deposits.”  |
| <b>Allocation Status</b> | Select “Allocated” for deposits that have already posted to your account. Select “Unallocated” for deposits that have not yet posted. |

6. Click **Search**.

The results page appears for this search.

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Wed Mar 09 2016 13:07:38 GMT-0500

**Reorg Deposits Allocated Detail**

< Return to Previous Page Print CA ID

**Summary - 00001234**

|                     |                    |
|---------------------|--------------------|
| Total Paid Deposits | Paid Dollar Amount |
| 2                   | 199,000            |

Displaying 1 to 2 of 2 items Filter Export to Excel Page 1 of 1

| Action               | CUSIP     | Event Security Description                      | Deposit Date | Quantity | Deposit ID | Reference ID | Amount     | Type              | Allocation Date |
|----------------------|-----------|---|--------------|----------|------------|--------------|------------|-------------------|-----------------|
| <a href="#">View</a> | 676626AC8 | OGLALA SIOUX REF RV SD D12-01-92 7.500% JJ04 RR | Nov-26-2001  | 45,000   | 99999      |              | 45,000.00  | DAM Reorg Deposit | Jan-09-2002     |
| <a href="#">View</a> | 23062PAA9 | CUMBERLAND FARMCLAS11AD12-30-93 10.5% 10-1-03-# | Apr-17-1997  | 154,000  | 4014031134 | 8904         | 154,000.00 | DAM Reorg Deposit | Apr-30-1997     |

Displaying 1 to 2 of 2 items Filter Export to Excel Page 1 of 1

**Search Criteria** \* = Required Field

Deposit Type \* Allocation Status \*

Reorg Deposits Allocated

**Search** **Reset**

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You can sort these results by clicking on any of the column headings.

- You can export these results to Excel by clicking the **Export to Excel** link. When you export your results to Excel, you will export all results—not just the ones that appear on the page.
- You can print these results by clicking on the **Print** icon. When you print your results, you will only print the results that appear on the page.
- Click **Filter** to refine the results by any applicable criteria.
- Page through the results by entering a page number or clicking on the arrow buttons by the top right corner of the results grid.

- You can perform another search using the fields at the bottom of this page.
7. Click **View** to open a certificate detail window for any of the search results.

| Reorg Deposits Allocated Certificate Detail   |   |            |                               |                       |
|---|---|------------|-------------------------------|-----------------------|
| <div>Print</div>  |   |            |                               |                       |
| Summary - 00001234  |   |            |                               |                       |
| CUSIP   | Event Security Description                      |            | Deposit Date                  | Declared Payable Date |
| 676626AC8   | OGLALA SIOUX REF RV SD D12-01-92 7.500% JJ04 RR |            | Nov-26-2001                   | Jan-01-2002           |
| Total Quantity  | Total Called Amount                             | Deposit ID | Last 5 digits of Reference Id | Type                  |
| 1,685,000   | 45,000.00                                       | 99999      |                               | DAM Reorg Deposit     |
| Results   |   |            |                               |                       |
| <div> <div>Displaying 1 to 1 of 1 items</div> <div>Filter Export to Excel</div> <div>Page 1 of 1</div> </div> |   |            |                               |                       |
| Certificate Number  | Sequence Number                                 | Quantity   | Called Amount                 | Allocation Date       |
| 000000000014  | 0   | 1,685,000  | 45,000.00                     | Jan-09-2002           |
| <div> <div>Displaying 1 to 1 of 1 items</div> <div>Filter Export to Excel</div> <div>Page 1 of 1</div> </div> |   |            |                               |                       |

## About the Record Detail page

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Thu Mar 17 2016 09:00:26 GMT-0400

**Record Detail Page - 500669352**

[Return to Previous Page](#) | Print | CA ID

CUSIP: 42726UAA6 | Issue Description: (MANATEE COUNTY,FLORIDA) CAPITAL IMPROVEMENT REVENUE BONDS,SERIES 2007 | Issuer Description: HERITAGE HARBOUR NORTH COMMUNITY DEVELOPMENT DISTR | Asset Class: Municipal Debt | Asset Type: Municipal Bond | Event Group: Redemptions | Event Type: Partial Call | Country of Incorporation: US | Processed at DTC: Yes | DTC Eligible: Yes | Declared Mandatory / Voluntary: Mandatory | DTC Mandatory / Voluntary: Mandatory | ISO Core M/V: MAND | ISO Event Code: DRAW

Workflow Status: Approved | XBRL Indicator: No

System Data

Event Details | Comments | Related Events (1)

Expand All | Collapse All | Critical | Required

Legacy Cross Reference

Event Level

Cancelled Flag • No

Core Dates

Declared Payable Date • May-01-2016 | Declared Publication • Mar-18-2016

The Record Detail page allows you to view all of the relevant information for an individual corporate action event. It contains an overall [event summary](#) and is divided into three tabs (1).

Click any topic to see the relevant information:

- **Event Details.** This contains important information about the event itself. It is where you will find most of the information you need.
- **Comments.** Any comments concerning the event (e.g., why an event was canceled) will appear here.
- **Related Events.** Here, you will see a list of events that are occurring for the same security as well as those that have already occurred, plus any possible future events.

A floating menu on the right (2) allows you quick access to any section of the record detail page. Click to expand this menu from anywhere on the page.

## Event Summary

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Thu Mar 17 2016 09:00:26 GMT-0400

**Record Detail Page - 500669352**

< Return to Previous Page

Print CA ID

CUSIP: 42726UAA6 | Issue Description: (MANATEE COUNTY,FLORIDA) CAPITAL IMPROVEMENT REVENUE BONDS,SERIES 2007 | Issuer Description: HERITAGE HARBOUR NORTH COMMUNITY DEVELOPMENT DISTR | Asset Class: Municipal Debt |

1 **Event Type:** Municipal Bond | **Event Group:** Redemptions | **Event Type:** Partial Call | **Country of Incorporation:** US | **United States** | 3

2 **Processed at DTCC:** Yes | **DTC Eligible:** Yes | **Declared Mandatory / Voluntary:** Mandatory | **DTC Mandatory / Voluntary:** Mandatory | 6 -- Select Action --

ISO Core M/V: MAND | ISO Event Code: DRAW

4 **Workflow Status:** Approved | **XBRL Indicator:** No | 5 **System Data**

Event Details | Comments | Related Events

Expand All Collapse All ●●Critical ●●Required

Legacy Cross Reference

Event Level

Cancelled Flag • No

Core Dates

Declared Payable Date • May-01-2016

Declared Publication Mar-18-2016

At the top of the page is a tan Event Summary area. It is visible regardless of the tab you are viewing. It summarizes the event at a high level and provides you with security detail information and the status of the event, allowing you to refer quickly to this data from wherever you are on the event record page.

The information displayed here varies according to the event type. Some information elements are common to all event types, while others are specific to the kind of event they describe. The common information includes the CUSIP, Issue/Issuer Description, Asset Class, Asset Type, Event Group, and Event Type.

The **Processed at DTCC** indicator (1) lets you know whether or not the event is being processed at DTCC. If it is not, then this page is informational only. The **DTC** and **Declared Mandatory/Voluntary** indicators (2) let you know whether you need to act on this event.

Numeric codes and acronyms that are not self-explanatory, are described on the screen. When you place your mouse over the field, you'll get an explanation of the data.

At the bottom, you can see the status of the event itself (3): Approved, Conditionally Approved, Cancelled, or Deleted.

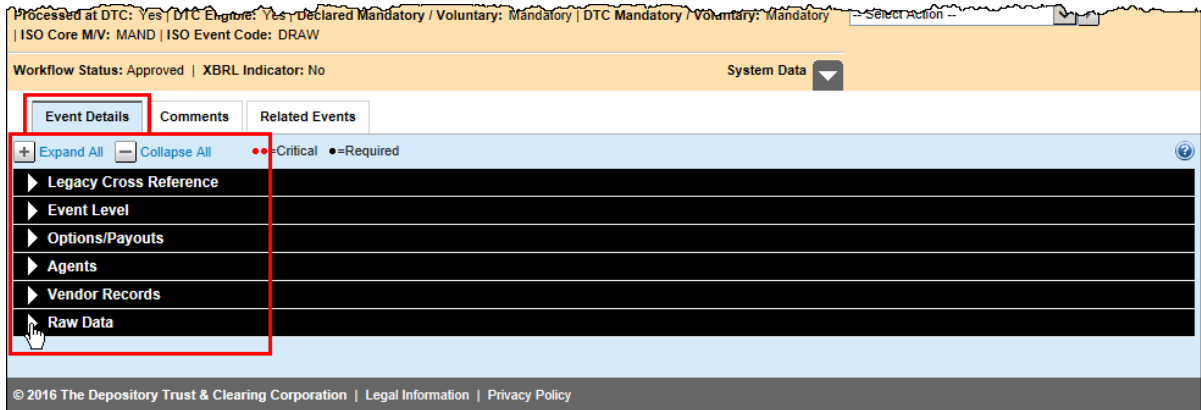
For additional system data, click the gray arrow (4). Here, you can research timestamps related to the event. You can see when the event was created, when it was last updated, and how long it will be active.

The **Select Action** menu (5) allows you to refresh the page, view the audit trail, and request the related ISO 20022 message. You can also search for a CMO factor audit trail or submit a corporate actions related inquiry directly to the WINS system.

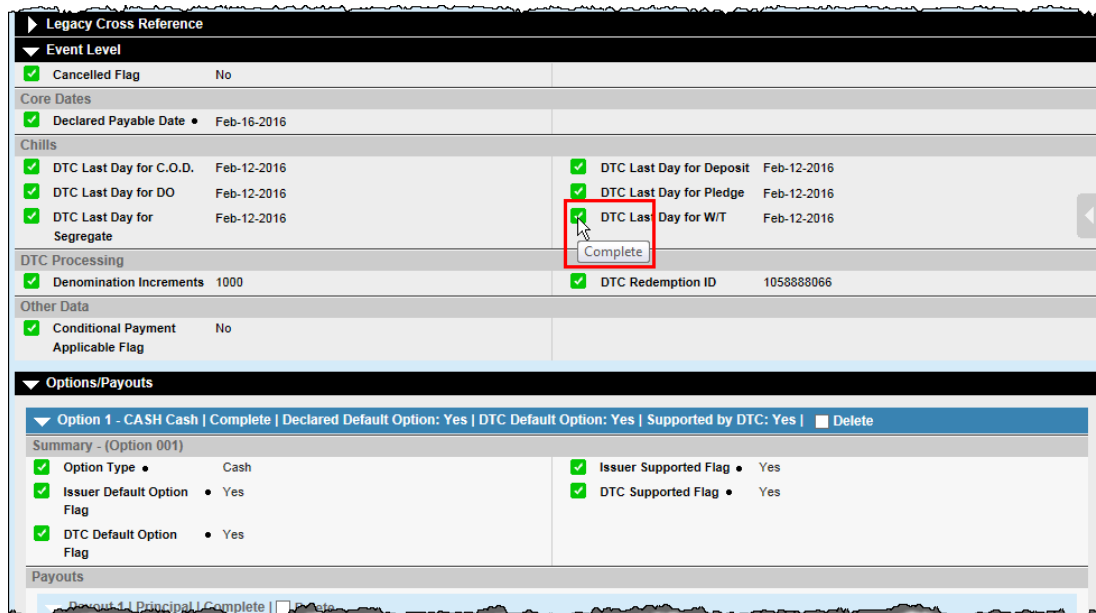
## Event Details Tab

The Event Details tab provides a wealth of information beyond the event summary, allowing you a full, clear picture of the event.

Notes about this page:



- Click any black header line to open that twisty (the white triangle on the left “twists” open and closed) and view that section’s information in full.
- The **Event Level** twisty opens by default. You can click **Expand All** or **Collapse All** (shown) to open or close all twisties.
- These sections vary based on the event type; not all information is relevant to all events.



- Hover over codes, symbols, or acronyms to see a tooltip with a longer explanation of the code.
- A green check next to a field indicates that the information provided is complete. Updates can still be made.
- A blue circle next to a field indicates that the information is expected but not yet available.



Some important sections on this page include:

- [Legacy Cross-Reference](#),
- [Event Level](#),
- [Options/Payouts](#), and
- [Other sections](#).

## Legacy Cross Reference

Processed at DTC: Yes | DTC Eligible: Yes | Declared Mandatory / Voluntary: Mandatory | DTC Mandatory / Voluntary: Mandatory | ISO Core M/V: MAND | ISO Event Code: DRAW | -- Select Action --

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

Event Details | Comments | Related Events

+ Expand All - Collapse All ●=Critical ●=Required

**Legacy Cross Reference**

| FC | Option          | Payout                 | Event CUSIP | Seq No. | DTC Disbursed CUSIP | RDP Reference Number              |
|----|-----------------|------------------------|-------------|---------|---------------------|-----------------------------------|
| 76 | Option 1 - Cash | Payout 1 - Principal   | 42726UAA6   | 000     |                     | R7600042726UAA6000000001605010000 |
| 76 | Option 1 - Cash | Payout 99 - Securities | 42726UAA6   | 000     | 42726UAA6           | R7600042726UAA6000000001605010000 |

**Event Level**

☒ Cancelled Flag • No

Core Dates

☒ Declared Payable Date • May-01-2016 ☒ Declared Publication Date Mar-18-2016

DTC Processing

☒ Base Denomination 100000 ☒ Denomination Increments 5000

☒ DTC Redemption ID 1613558353 ☒ DTC Position Capture Mar-17-2016

This section shows the function code this event is being mapped to from the old system, explaining where the event came from. It is especially useful for ISO clients taking ISO 20022 messages as it associates the old function codes and activity codes and provides the RDP reference number for each.

Clicking any link takes you to its [Option](#) section on this page.

## Event Level

Workflow Status: Approved | XBRL Indicator: No System Data

Event Details Comments Related Events

+ Expand All - Collapse All ●=Critical ●=Required

Legacy Cross Reference

Event Level

Cancelled Flag (1) No

Core Dates (2)

Declared Payable Date (2) May-01-2016

Declared Publication Date Mar-18-2016

DTC Processing (3)

Base Denomination 100000

DTC Redemption ID 1613558353

Denomination Increments 5000

DTC Position Capture Date Mar-17-2016

Other Data

Conditional Payment Applicable Flag (4) No

Options/Payouts

Option 1 - CASH Cash | Complete | Declared Default Option: Yes | DTC Default Option: Yes | Supported by DTC: Yes | Delete

Summary - (Option 001)

Option Type Cash

Issuer Default Option Yes

Issuer Supported Flag Yes

DTC Supported Flag Yes

The **Event Details** tab opens with the **Event Level** twisty open. It provides you with the relevant dates and processing information for the event itself. Some important items here include:

- **Cancelled Flag (1).** If the value is “Yes,” this event was canceled in the market.
- **Core Dates (2).** Any important dates associated with the event are displayed here. This usually includes the Declared Payable Date, or the payable date as announced by the agent or issuer.
- **DTC Processing (3).** This area contains:
  - **DTC Redemption ID.** Unique number systematically assigned to all lottery and non-lottery events announced in DTC’s Redemptions processing functionality.
  - **Denomination Information.** **Base Denomination** is the denomination of the security used to run lotteries, and **Denomination Increments** indicates the supplemental increments in which the lottery is run.
- **Conditional Payment Applicable Flag (4).** This indicates whether the payment made by the Issuer is based on a stated condition.
- **Chills** (not shown). When applicable, chill dates (“DTC Last Day For...” ) are displayed in their own section, separate from the Core Dates.

## Options/Payouts

The screenshot shows the 'Options/Payouts' section of a corporate actions web interface. At the top, there's a header bar with a green checkmark and the text 'DTC Position Update Date Feb-17-2016'. Below this is a section titled 'Options/Payouts' with a sub-header 'Option 1 - SECU Securities | Complete | Declared Default Option: Yes | DTC Default Option: Yes | Supported by DTC: Yes | Delete'. This section is marked with a red circle '1'. Below the sub-header is a table with columns for 'Option Type', 'Securities', 'Issuer Supported Flag', and 'DTC Supported Flag'. The 'Option Type' is 'Securities', 'Issuer Supported Flag' is 'Yes', and 'DTC Supported Flag' is 'Yes'. This table is marked with a red circle '2'. Below this is a section titled 'Payouts' with a sub-header 'Payout 1 | Securities | Complete | Delete'. This section is marked with a red circle '3'. Below the sub-header is a table with columns for 'Payout Type', 'Securities', 'Refunded Maturity Date', 'Debit Flag', 'Old Quantity', 'Declared Security Rate', 'Refunded CUSIP', 'New Quantity', 'DTC Security Rate', and 'Sample Field'. The 'Payout Type' is 'Securities', 'Refunded Maturity Date' is 'Dec-15-2017', 'Debit Flag' is 'No', 'Old Quantity' is '1000.0', 'Declared Security Rate' is '1.0', 'Refunded CUSIP' is '800722FP0', 'New Quantity' is '1000.0', 'DTC Security Rate' is '1.0', and 'Sample Field' is empty. This table is marked with a red circle '4'. Below this is another section titled 'Payout 2 | Securities | Complete | Delete'. Below the sub-header is a table with columns for 'Non-Refunded Maturity Date', 'Payout Type', 'Securities', 'Debit Flag', 'Old Quantity', 'Declared Security Rate', 'Non-Refunded CUSIP', 'New Quantity', 'DTC Security Rate', and 'Sample Field'. The 'Non-Refunded Maturity Date' is 'Dec-15-2020', 'Payout Type' is 'Securities', 'Debit Flag' is 'No', 'Old Quantity' is '1000.0', 'Declared Security Rate' is '1.0', 'Non-Refunded CUSIP' is '800722FT2', 'New Quantity' is '1000.0', 'DTC Security Rate' is '1.0', and 'Sample Field' is empty. At the bottom of the interface, there are two sections: 'Lottery/Certificates' and 'Relevant Text'.

The Options/Payouts twisty (1) is automatically open. It contains a full list of the options available on this event, as well as the payments associated with these options.

Option 1 (2) is always the default option. Other options, when available, are listed below on separate twisties.

The option header specifies:

- Option type (CASH, SECU, etc.)
- Conditional or Complete designation
- Default designations (whether this option is the Declared Default option, DTC default option, etc.)
- Whether the option is supported by DTC, and
- Whether the option has been deleted by DTC.

The **Delete** box is checked if the option has been deleted.

The payouts (3) are listed below their options, one per light blue twisty. Each payout header specifies:

- The type of payment that is being made (principal, interest, securities, etc.)
- Conditional or Complete designation, and
- Whether the payout has been deleted by DTC.
- The Delete box is checked if the option has been deleted.

The **Rates/Prices** section (4) shows you any applicable cash rates and security rates. Click a field name to see source information for the rate.

- A green check next to a field indicates that the information provided is complete. Updates can still be made.
- A blue circle next to a field indicates that the information is expected but not yet available.

Additional sections (such as **Tax Treatment US Sourced Income and Allocations**) are included as applicable.

## Other Sections

| ▼ Agents  |          |                |                              |                    |
|---|----------|----------------|------------------------------|--------------------|
| Agent Type  | Agent ID | Agent Name     | Agent Address                | Agent Phone Number |
| Event Agent (Bearer)  | 01234567 | TEST BANK CORP | 1 SAMPLE STREET<br>(more...) | (800) 555-1212     |
| Event Agent   | 01234567 | TEST BANK CORP | 1 SAMPLE STREET<br>(more...) | (800) 555-1212     |
| ▼ Vendor Records  |          |                |                              |                    |
| <a href="#">DTCREDEM</a>  |          |                |                              |                    |
| ▼ Raw Data  |          |                |                              |                    |
| <a href="#">DTCREDEM</a>  |          |                |                              |                    |
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Based on the event type, you will see other twisty sections on the list. Some common sections include:

- **Agents:** This contains the agent type, agent ID, and contact information for the agent involved in this event.
- **Vendor Records.** Click the link to view the full set of source information from this vendor for this event.
- **Raw Data.** Click the link to view a summary of raw data from the vendor.

From the Vendor Raw Data Summary, click the **Vendor Record ID** to view the full raw data record.

## Comments Tab

Country of Incorporation: US | Processed at DTC: Yes | DTC Eligible: Yes | Declared Mandatory / Voluntary: Mandatory | DTC Mandatory / Voluntary: Mandatory | ISO Core M/V: MAND | ISO Event Code: MCAL

-- Select Action --

Workflow Status: Conflict | XBRL Indicator: No

System Data

Event Details

Comments

Related Events

+ Expand All - Collapse All

▼ External Comments

Displaying 1 to 1 of 1 items

Filter

Page 1 of 1

| Date Added ▼            | Comments  |
|-------------------------|---|
| Feb-24-2016 04:41:45 PM | Clients are advised that due to revised information received from the Agent, this event will be canceled. Inquiries should be directed to DTCC Client Help Center (CHC) Hotline at 1(888) 382-2721. |

Displaying 1 to 1 of 1 items

Filter

Page 1 of 1

On this tab, you can see the external comments made on this event. These comments generally come from the ISO message and include information such as the reason why an event was cancelled, when applicable.

## Related Events Tab

This tab displays any other events that have occurred (or could occur) on:

- The same event security
- The same disbursed security (for partial defeasances and partial pre-refundings), and
- Any related corporate action events (linked within an ISO 20022 message) that do not necessarily involve the same security.

ISO Core M/V: MND | ISO Event Code: DRAW

Workflow Status: Approved | XBRL Indicator: No

System Data

Event Details | Comments | **Related Events**

Expand All | Collapse All

**Event Security**

| <input type="checkbox"/> | CA ID    | WF Status              | Event Type   | Sub Event Type | Match Date  | Declared M/V | DTC M/V   | Offeror Name |
|--------------------------|----------|------------------------|--------------|----------------|-------------|--------------|-----------|--------------|
| <input type="checkbox"/> | 97152868 | Approved               | Interest     |                | Apr-15-2016 | Mandatory    | Mandatory |              |
| <input type="checkbox"/> | 92193034 | Approved               | Partial Call |                | May-01-2015 | Mandatory    | Mandatory |              |
| <input type="checkbox"/> | 57492095 | Conditionally Approved | Interest     |                | Apr-13-2012 | Mandatory    | Mandatory |              |
| <input type="checkbox"/> | 51756902 | Approved               | Interest     |                | Oct-14-2011 | Mandatory    |           |              |
| <input type="checkbox"/> | 47391391 | Approved               | Partial Call |                | May-01-2011 | Mandatory    |           |              |
| <input type="checkbox"/> | 46208021 | Approved               | Interest     |                | Apr-15-2011 | Mandatory    |           |              |
| <input type="checkbox"/> | 40657995 | Approved               | Interest     |                | Oct-15-2010 | Mandatory    |           |              |
| <input type="checkbox"/> | 36350841 | Approved               | Partial Call |                | May-01-2010 | Mandatory    |           |              |
| <input type="checkbox"/> | 35514908 | Approved               | Interest     |                | Apr-15-2010 | Mandatory    |           |              |

Compare

**Disbursed Security**

| <input checked="" type="checkbox"/> | CA ID    | WF Status              | Event Type   | Sub Event Type | Match Date  | Declared M/V | DTC M/V   | Offeror Name |
|-------------------------------------|----------|------------------------|--------------|----------------|-------------|--------------|-----------|--------------|
| <input checked="" type="checkbox"/> | 97152868 | Approved               | Interest     |                | Apr-15-2016 | Mandatory    | Mandatory |              |
| <input checked="" type="checkbox"/> | 92193034 | Approved               | Partial Call |                | May-01-2015 | Mandatory    | Mandatory |              |
| <input checked="" type="checkbox"/> | 57492095 | Conditionally Approved | Interest     |                | Apr-13-2012 | Mandatory    | Mandatory |              |
| <input checked="" type="checkbox"/> | 57492095 | Conditionally Approved | Interest     |                | Apr-13-2012 | Mandatory    | Mandatory |              |
| <input checked="" type="checkbox"/> | 51756902 | Approved               | Interest     |                | Oct-14-2011 | Mandatory    |           |              |
| <input checked="" type="checkbox"/> | 51756902 | Approved               | Interest     |                | Oct-14-2011 | Mandatory    |           |              |
| <input checked="" type="checkbox"/> | 47391391 | Approved               | Partial Call |                | May-01-2011 | Mandatory    |           |              |
| <input checked="" type="checkbox"/> | 47391391 | Approved               | Partial Call |                | May-01-2011 | Mandatory    |           |              |
| <input checked="" type="checkbox"/> | 46208021 | Approved               | Interest     |                | Apr-15-2011 | Mandatory    |           |              |

Compare

**CA Links**

There is no data to display.

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Here, you can see any related event history as well as any possible future events that are expected to occur on the same security or linked corporate action events.

Click the **CA ID (1)** to open the Record Detail page for a related event.

You can also compare these events with the current one by selecting the checkboxes next to each and clicking **Compare (2)**. You can also click the checkbox in the header row to select all events.

| Composite Comparison 97752040                |                                     |                                  |                                  |
|--|-------------------------------------|----------------------------------|----------------------------------|
| <a href="#">&lt; Return to Previous Page</a> |                                     | Print Quick Search               | CA ID                            |
| Primary Composite                            |                                     |                                  |                                  |
| Composite 97752040                           |                                     |                                  | 97396046                         |
| Event ID                                     | 97752040                            |                                  | 97396046                         |
| Added Date:                                  | 2016-03-18                          |                                  | 2016-02-26                       |
| Country Of Listing:                          | US                                  |                                  | US                               |
| Event Type:                                  | PC                                  |                                  | INT                              |
| Event SubType:                               |                                     |                                  |                                  |
| Workflow Status:                             | AP                                  |                                  | AP                               |
| Status                                       | Data Element                        | CA Value                         | 97396046                         |
| <input checked="" type="checkbox"/>          | Cancelled Flag                      | N                                | N                                |
| N/A  | Record Date                         | N/A                              | 05-May-2016                      |
| <input checked="" type="checkbox"/>          | Declared Payable Date               | 20-May-2016                      | 20-May-2016                      |
| <input checked="" type="checkbox"/>          | Declared Publication Date           | 21-Mar-2016                      | N/A                              |
| <input checked="" type="checkbox"/>          | Conditional Payment Applicable Flag | N                                | N/A                              |
| N/A  | Interim Accounting Applicable Flag  | N/A                              | Y                                |
| N/A  | Interim Accounting Start Date       | N/A                              | 06-May-2016                      |
| N/A  | Due Bill Redemption Date            | N/A                              | 19-May-2016                      |
| N/A  | Accrual Days Count                  | N/A                              | 180                              |
| N/A  | Interest Rate                       | N/A                              | 0                                |
| Status                                       | Data Element                        | CA Value                         | 97396046                         |
| N/A  | Rate Calculation Method             | N/A                              | 2                                |
| N/A  | Previous Pay Factor                 | N/A                              | 0                                |
| N/A  | Current Pay Factor                  | N/A                              | 0                                |
| N/A  | Realized Gain/Loss Rate             | N/A                              | 0                                |
| <input checked="" type="checkbox"/>          | RDP Reference Number                | R76000676900QR700000001605200000 | D23000676900QR701605051605200005 |
| N/A  | Cut Off Days                        | N/A                              | 0                                |
| <input checked="" type="checkbox"/>          | Base Denomination                   | 5000                             | N/A                              |
| N/A  | Interim Accounting Only Flag        | N/A                              | N                                |
| <input checked="" type="checkbox"/>          | DTC Redemption ID                   | 1259057075                       | N/A                              |
| N/A  | DTC Late Indicator                  | N/A                              | N                                |
| Status                                       | Data Element                        | CA Value                         | 97396046                         |
| <input checked="" type="checkbox"/>          | DTC Position Capture Date           | 18-Mar-2016                      | 05-May-2016                      |
| N/A  | DTC Position Capture Flag           | N/A                              | Y                                |
| Options/Payouts                              |                                     |                                  |                                  |
| Option 1                                     |                                     |                                  |                                  |
| Status                                       | Data Element                        | CA Value                         | 97396046                         |
| <input checked="" type="checkbox"/>          | Option Type                         | Cash                             | Cash                             |
| <input checked="" type="checkbox"/>          | Interest Suspended Flag             | Y                                | Y                                |

This opens a separate **Composite Comparison** window that provides a side-by-side comparison of the events' key data. Data for the current event is presented in the first column **(3)**. This is especially useful for tracking rate histories.

# Allocations

## About the Allocations Overview Page: “Redemptions” Tab

The Allocations Overview page provides you with the ability to see all of your allocations information in one place, across redemption types and for a range of fifteen business days.

**DTCC** | **ASSET SERVICES**  
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**Dashboard** | Overview

Company Searches | Personal Searches | Preferences

Distributions | **Redemptions**

[Lottery Results](#) | [Called Certificates](#) | [Custody Reorg Deposits / Reorg Deposits](#)

**Announcements**

|   | All Events | Position Only Events |
|---|------------|----------------------|
| New Events  | 530        | 87                   |
| Key Data Updated  | 97         | 10                   |
| Declared Payable Date Changed                               | 13         | 4                    |
| Canceled/Deleted Events                                     | 3          | 0                    |
| Multiple Events with same Declared Payable Date/Security ID | 4          | 4                    |
| Events with Zero Rate on Declared Payable Date              | 0          | 0                    |
| DTC Rate to Rate Change                                     | 7          | 2                    |
| DTC Zero to Rate Change                                     | 9          | 3                    |
| DTC Rate to Zero Rate Change                                | 16         | 3                    |

**Warnings (Late Announcements)**

|  | All Events | Position Only Events |
|--|------------|----------------------|
| Created 5-2 days prior to Declared Payable Date      | 106        | 10                   |
| Created 1 day or less prior to Declared Payable Date | 9          | 6                    |

**Lotteries Processed Today**

| Type       | Selected for Lottery | Not Selected for Lottery |
|------------|----------------------|--------------------------|
| Cash (USD) |                      |                          |
| MMI        |                      |                          |
| Security   |                      |                          |

**Lottery Adjustments Today**

Type

- Cancels
- Cancels with Intention to Rerun

**Warnings**

Type

- All Events with Pledge Positions - All
- Conditional Payments

**Allocations (Today)**

Last Updated: Feb-11-2016 10:28:36

| Type       | Amount*           | Total Due |
|------------|-------------------|-----------|
| Cash (USD) | 4,554,313,384.06  |           |
| MMI        | 35,627,309,034.22 |           |
| Security   | N/A               |           |

\* Amounts only apply to cash allocations

From the menu bar:

1. Hover over **Allocations**.
2. Click **Overview**.
3. Click the **Redemptions** tab.

You can also click Allocations (Today) on the [Dashboard](#).

When you open the Allocations Overview page, your allocations are categorized by redemption type:

- **Cash (USD),**
- **MMI,** and
- **Security.**

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Tue Mar 29 2016 13:43:07 GMT-0400

### Allocations Overview

Print
CA ID

Last Updated Feb-11-2016 10:28:36 AM

Distributions | **Redemptions**

+ Expand All - Collapse All  
Show 7 Day History
Redemptions for Today - Mar-29-2016
Show 7 Day Forecast

**Cash (USD)**

| Event Type        | Total Due               |            | Unallocated          |           | Allocated               |            | Projected Adjustments |          | Actual Adjustments |           |
|-------------------|-------------------------|------------|----------------------|-----------|-------------------------|------------|-----------------------|----------|--------------------|-----------|
|                   | Amount                  | Count      | Amount               | Count     | Amount                  | Count      | Amount                | Count    | Amount             | Count     |
| Default           | 15,575.19               | 2          | 0.00                 | 1         | 15,575.19               | 1          | 12,345.00             | 1        | 138,077.10         | 1         |
| Final Paydown     | 1,488,950,181.91        | 51         | 6,690,609.83         | 5         | 1,482,259,572.08        | 46         | 3,000,000.00          | 1        | 505.40             | 2         |
| Full Call         | 421,688,032.90          | 38         | 2,636,773.28         | 3         | 419,051,259.62          | 35         | 49.30                 | 1        | 71,028.41          | 4         |
| Full Prerefunding | 186,069,782.81          | 104        | 740,000.00           | 1         | 185,329,782.81          | 103        | 40,000.00             | 1        | 91,116.00          | 1         |
| Maturity          | 2,391,585,557.67        | 513        | 19,670,998.46        | 17        | 2,371,914,559.21        | 496        | 1,100,000.00          | 1        | 65,000.01          | 2         |
| Partial Call      | 65,806,761.22           | 110        | 1,071,667.60         | 8         | 64,735,093.62           | 102        | 25,000.00             | 1        | 99,000.00          | 1         |
| Termination       | 197,492.36              | 2          | 8,282.63             | 1         | 189,209.73              | 1          | 0.00                  | 0        | 0.00               | 0         |
| <b>Total</b>      | <b>4,554,313,384.06</b> | <b>820</b> | <b>30,818,331.80</b> | <b>36</b> | <b>4,523,495,052.26</b> | <b>784</b> | <b>4,177,394.30</b>   | <b>6</b> | <b>464,726.92</b>  | <b>11</b> |

**MMI**

| Event Type   | Total Due                |            | Unallocated           |           | Allocated                |            | Projected Adjustments |          | Actual Adjustments |          |
|--------------|--------------------------|------------|-----------------------|-----------|--------------------------|------------|-----------------------|----------|--------------------|----------|
|              | Amount                   | Count      | Amount                | Count     | Amount                   | Count      | Amount                | Count    | Amount             | Count    |
| Full Call    | 175,000.00               | 2          | 165,000.00            | 1         | 10,000.00                | 1          | 50,000.00             | 1        | 20,000.00          | 1        |
| Maturity     | 37,126,747,993.22        | 922        | 400,429,918.80        | 8         | 36,726,318,074.42        | 914        | -45,000.00            | 1        | 218,925.00         | 2        |
| Partial Call | 1,120,041.00             | 2          | 559,755.00            | 1         | 560,286.00               | 1          | 612.34                | 1        | 25,086.11          | 1        |
| <b>Total</b> | <b>37,128,043,034.22</b> | <b>926</b> | <b>401,154,673.80</b> | <b>10</b> | <b>36,726,888,360.42</b> | <b>916</b> | <b>5,612.34</b>       | <b>3</b> | <b>264,011.11</b>  | <b>4</b> |

**Security**

| Event Type           | Total Due |  | Unallocated |  | Allocated  |          |
|----------------------|-----------|--|-------------|--|------------|----------|
|                      | Count     |  | Count       |  | Count      |          |
| Partial Defeasance   |           |  | 2           |  | N/A        | 2        |
| Partial Prerefunding |           |  | 6           |  | N/A        | 6        |
| <b>Total</b>         |           |  | <b>8</b>    |  | <b>N/A</b> | <b>8</b> |

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## 1. Last Updated Date and Time

This blue bar contains the latest time at which allocations were made, allowing you to determine how recent the data is. This information will be updated every time an allocation is performed.

If all allocations are complete for the day, the message reads “CASH ALLOCATION IS COMPLETE AND ALL TOTALS ARE FINAL.”

## 2. Show History/Today/Forecast

Three links above the Allocations data allow you to change the time period for the Allocations page:

- **Show 7 Day History.** Click to see the allocations that have posted to your account in the last seven days. You will only see dates on which allocations have posted within that seven-day range.
- **Redemptions for Today.** Click to see the default view, containing both allocated and non-allocated items as of the date specified in the blue bar below the Quick Search. This is the view shown here.
- **Show 7-Day Forecast.** Click to see the allocations that are anticipated to post to your account in the next seven days. You will only see dates on which allocations are anticipated to be posted within that seven-day range. Note that the Security twisty will not be visible in this view.



### 3. Expand/Collapse All

Click the **Expand All** and **Collapse All** buttons to open and close all twisties on the page ([Cash](#), [MMI](#), and [Security](#) [when applicable]). Each twisty is automatically expanded when the page is opened.

### 4. Cash (USD) and MMI twisties

The Cash and MMI twisties provide the same information.

The first column in either section contains the **Event Type**. Note that you will only see event types when allocation activity for that type of event either has occurred or is expected to occur.

All redemption event types are included in this column except partial defeasances and partial pre-refundings. Those event types are covered in the [Security](#) twisty.

To the right of each section's Event Type column are the allocation activity types:

- **Total Due.** Represents what is expected to be allocated by DTCC on the current business day. It is the sum of the Unallocated and Allocated columns for each event type. The last row in this column represents the total amount and count for all event types.
- **Unallocated.** Items that are expected to allocate on this business day that have not yet allocated, by event type.
- **Allocated.** Items that have allocated on this business day.
- **Projected Adjustments.** Adjustments that are expected to be applied on the current business date. These numbers are not included in the "Total Due" column.
- **Actual Adjustments.** Adjustments that have already been made on the current business day. These numbers are not included in the "Total Due" column.

The last entry in any column represents the total for that allocation status.

The **Total** row in the **Total Due** column provides summary numbers for all cash or MMI allocations on this business day.

Each of these allocation activity types contains two sub-columns: **Amount** and **Count**.

- **Amount** specifies the total dollar amount of allocations (or adjustments) in USD. In the Adjustments columns, credit balances are displayed in black and debit balances are displayed in red.
- **Count** represents the number of allocations (or adjustments) that comprise that amount. To see the actual breakdown of allocations, click any hyperlink in a Count column. This brings you to a search results page that lists all of the individual allocations in this particular count. From there, clicking on a CA ID takes you to that event's [Record Detail](#) page.

### 5. Security twisty

The **Security** twisty applies to partial defeasance and partial pre-refunding events only.

Note that the Security twisty does not appear in the forecast view. Security allocation data is available for today and the past seven days.

The **Event Type** column specifies which event type is represented by a row. To the right of this column are the allocation activity types:

- **Total Due.** A count of the DTCC allocations that were made on the current business day. It is the same as the **Allocated** count.
- **Unallocated.** A count of the DTCC allocations expected to occur on this business day that have not yet allocated, by event type.
- **Allocated.** A count of the DTCC allocations that were made on this business day.

The last entry in any column represents the total for that allocation status.

The **Total** row in the **Total Due** column provides a net count for both types of security allocations on this business day.

To see the actual breakdown of allocations, click any hyperlink in a Count column. This brings you to a search results page that lists all of the individual allocations in this particular count. From there, clicking on a CA ID takes you to that event's [Record Detail](#) page.

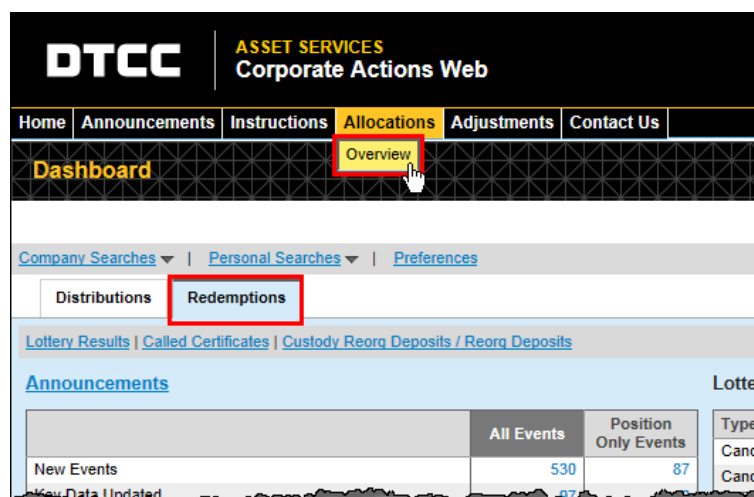
Note that the value of the **Amount** column in this table is always "N/A." Because partial defeasances and partial pre-refundings are allocated into new CUSIPs and not redeemed for cash, "Amount" does not apply.

## Allocations Overview Page: Viewing a 7 Day History

The Allocations Overview page provides you with a snapshot of your redemptions as of today. You can also look at information for the next seven business days, as well as for the past seven business days.

To view your 7 day redemption allocation history from anywhere in CA Web:

1. Hover over **Allocations** on the menu bar.
2. Click **Overview**.
3. Click the **Redemptions** tab.



4. Click **Show 7 Day History**.

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Fri Mar 11 2016 12:08:43 GMT-0500

## Allocations Overview

Print
CA ID

Last Updated Feb-11-2016 10:28:36 AM

Distributions | **Redemptions**

Expand All Collapse All  
Show 7 Day History

Redemptions for Today - Mar-11-2016
Show 7 Day Forecast

**▼ Cash (USD)**

| Event Type        | Total Due               |            | Unallocated          |           | Allocated               |            | Projected Adjustments |          | Actual Adjustments |           |
|-------------------|-------------------------|------------|----------------------|-----------|-------------------------|------------|-----------------------|----------|--------------------|-----------|
|                   | Amount                  | Count      | Amount               | Count     | Amount                  | Count      | Amount                | Count    | Amount             | Count     |
| Default           | 15,575.19               | 2          | 0.00                 | 1         | 15,575.19               | 1          | 12,345.00             | 1        | 138,077.10         | 1         |
| Final Paydown     | 1,488,948,556.93        | 50         | 6,688,984.85         | 4         | 1,482,259,572.08        | 46         | 3,000,000.00          | 1        | 505.40             | 2         |
| Full Call         | 421,688,032.90          | 38         | 2,636,773.28         | 3         | 419,051,259.62          | 35         | 49.30                 | 1        | 71,028.41          | 4         |
| Full Prerefunding | 186,069,782.81          | 104        | 740,000.00           | 1         | 185,329,782.81          | 103        | 40,000.00             | 1        | 91,116.00          | 1         |
| Maturity          | 2,391,585,557.67        | 513        | 19,670,998.46        | 17        | 2,371,914,559.21        | 496        | 1,100,000.00          | 1        | 65,000.01          | 2         |
| Partial Call      | 65,781,761.22           | 109        | 1,046,667.60         | 7         | 64,735,093.62           | 102        | 25,000.00             | 1        | 99,000.00          | 1         |
| Termination       | 197,492.36              | 2          | 8,282.63             | 1         | 189,209.73              | 1          | 500.00                | 1        | -69.58             | 1         |
| <b>Total</b>      | <b>4,554,286,759.08</b> | <b>818</b> | <b>30,791,706.82</b> | <b>34</b> | <b>4,523,495,052.26</b> | <b>784</b> | <b>4,177,894.30</b>   | <b>7</b> | <b>464,657.34</b>  | <b>12</b> |

**▼ MMI**

| Event Type   | Total Due                |            | Unallocated           |          | Allocated                |            | Projected Adjustments |          | Actual Adjustments |          |
|--------------|--------------------------|------------|-----------------------|----------|--------------------------|------------|-----------------------|----------|--------------------|----------|
|              | Amount                   | Count      | Amount                | Count    | Amount                   | Count      | Amount                | Count    | Amount             | Count    |
| Full Call    | 175,000.00               | 2          | 165,000.00            | 1        | 10,000.00                | 1          | 50,000.00             | 1        | 20,000.00          | 1        |
| Maturity     | 37,026,740,604.32        | 920        | 300,422,529.90        | 6        | 36,726,318,074.42        | 914        | -45,000.00            | 1        | 218,925.00         | 2        |
| Partial Call | 1,120,041.00             | 2          | 559,755.00            | 1        | 560,286.00               | 1          | 612.34                | 1        | 25,086.11          | 1        |
| <b>Total</b> | <b>37,028,035,645.32</b> | <b>924</b> | <b>301,147,284.90</b> | <b>8</b> | <b>36,726,888,360.42</b> | <b>916</b> | <b>5,612.34</b>       | <b>3</b> | <b>264,011.11</b>  | <b>4</b> |

**▼ Security**

| Event Type           | Total Due | Unallocated | Allocated  |
|----------------------|-----------|-------------|------------|
|                      | Count     | Count       | Count      |
| Partial Defeasance   | 2         |             | N/A        |
| Partial Prerefunding | 6         |             | N/A        |
| <b>Total</b>         | <b>8</b>  |             | <b>N/A</b> |

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The **Allocations Overview–7 Day History** page appears.

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Allocations Overview - 7 Day History

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CA ID

Only dates where activity has occurred on your account appear.

Distributions

Redemptions

Expand All

Collapse All

Show 7 Day History

Redemptions for Today - Mar-11-2016

Show 7 Day Forecast

Cash (USD)

| Date        | Total Due        |       | Unallocated   |       | Allocated        |       | Projected Adjustments |       | Actual Adjustments |       |
|-------------|------------------|-------|---------------|-------|------------------|-------|-----------------------|-------|--------------------|-------|
|             | Amount           | Count | Amount        | Count | Amount           | Count | Amount                | Count | Amount             | Count |
| Mar-10-2016 | 135,774,404.72   | 31    | 7,956,191.15  | 11    | 127,818,213.57   | 20    | 0.00                  | 0     | 3,783.99           | 2     |
| Mar-09-2016 | 42,295,344.20    | 42    | 18,631,848.67 | 14    | 23,663,495.53    | 28    | 0.00                  | 0     | 584.73             | 1     |
| Mar-08-2016 | 60,582,664.12    | 27    | 18,629,523.35 | 12    | 41,953,140.77    | 15    | 0.00                  | 0     | 0.00               | 0     |
| Mar-07-2016 | 300,826,954.25   | 17    | 7,831,191.15  | 9     | 292,995,763.10   | 8     | 0.00                  | 0     | 3.54               | 1     |
| Mar-04-2016 | 588,233,000.00   | 1     | 0.00          | 0     | 588,233,000.00   | 1     | 0.00                  | 0     | -286.27            | 1     |
| Mar-03-2016 | 8,650,556.04     | 2     | 5,707,974.10  | 1     | 2,942,581.94     | 1     | 0.00                  | 0     | 516,775.48         | 3     |
| Mar-02-2016 | 442,971,806.39   | 29    | 7,956,191.15  | 10    | 435,015,615.24   | 19    | 0.00                  | 0     | 0.00               | 0     |
| Total       | 1,579,334,729.72 | 149   | 66,712,919.57 | 57    | 1,512,621,810.15 | 92    | 0.00                  | 0     | 520,861.47         | 8     |

MMI

| Date        | Total Due          |       | Unallocated |       | Allocated          |       | Projected Adjustments |       | Actual Adjustments |       |
|-------------|--------------------|-------|-------------|-------|--------------------|-------|-----------------------|-------|--------------------|-------|
|             | Amount             | Count | Amount      | Count | Amount             | Count | Amount                | Count | Amount             | Count |
| Mar-10-2016 | 22,027,980,290.13  | 566   | 0.00        | 0     | 22,027,980,290.13  | 566   | 0.00                  | 0     | 0.00               | 0     |
| Mar-09-2016 | 29,293,615,058.21  | 716   | 0.00        | 0     | 29,293,615,058.21  | 716   | 0.00                  | 0     | 0.00               | 0     |
| Mar-08-2016 | 29,282,562,694.81  | 742   | 0.00        | 0     | 29,282,562,694.81  | 742   | 0.00                  | 0     | 34,999,984.40      | 4     |
| Mar-07-2016 | 34,735,058,581.69  | 845   | 0.00        | 0     | 34,735,058,581.69  | 845   | 0.00                  | 0     | 0.00               | 0     |
| Mar-02-2016 | 25,240,074,100.73  | 638   | 0.00        | 0     | 25,240,074,100.73  | 638   | 0.00                  | 0     | 3,335,000.00       | 1     |
| Total       | 140,579,290,725.57 | 3,507 | 0.00        | 0     | 140,579,290,725.57 | 3,507 | 0.00                  | 0     | 38,334,984.40      | 5     |

Security

| Date        | Total Due | Unallocated | Allocated |
|-------------|-----------|-------------|-----------|
|             | Count     | Count       | Count     |
| Mar-10-2016 |           |             |           |
| Total       |           |             |           |

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**Notes:**

- The **Events** column from the Allocation Overview page is replaced with a **Date** column on the History page. Items are listed for the last seven days, starting with the business day before this one.
- The **Total Due** column presents a total of the amounts and numbers in the **Unallocated** and **Allocated** columns for each date. The **Total Due** row at the bottom of this column presents a net total for the entire seven-day period.
- Click **Expand All** to open all of the entitlement type tables and **Collapse All** to close all of them.
- See the [Allocations Overview](#) topic for more information about this page.

- Click the number in any **Count** column to view search results for that allocation type on the listed date.

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**Allocations - History - Cash (USD) - Total Due - Mar-09-2016 - Search Results**

[Return to Previous Page](#)
Print
CA ID

Results for Client 00000997 - State Street Bank and Trust Company

Displaying 1 to 20 of 42 items
Filter Customize Result Columns Export to Excel Page 1 of 3

| CA ID    | CUSIP     | Event Security Description                              | Event Type    | Sub Event Type | Asset Type | Declared Payable Date | DTC Cash Rate Principal | DTC Cash Rat |
|----------|-----------|---|---------------|----------------|------------|-----------------------|-------------------------|--------------|
| 96969009 | 909317AG4 | \$ ABS UNITEDAIR95-A<br>A2D05/15/95 9.560% AO18<br>BE+* | Default       | Final Payment  | 541        | Jul-17-2015           | 0                       |              |
| 96969008 | 909317AF6 | \$ ABS UNITEDAIR95-A<br>A1D05/15/95 9.020% AO12<br>BE+* | Default       | Final Payment  | 541        | Jul-17-2015           | 0                       |              |
| 96968423 | 914455FM7 | SVRDO UNIV REGTS RV MI<br>D05/23/02 0.010% JJ32 BE      | Partial Call  |                | 314        | Feb-01-2016           | 1,000                   |              |
| 96968263 | 64764PAB2 | SVRDO N. ORLEANS RV LA<br>D11-29-07 0.010% JJ33 BE      | Partial Call  |                | 314        | Feb-01-2016           | 1,000                   |              |
| 96945143 | 67886MPR4 | OKLAHOMA HSG FIN AG OK<br>D04/30/13 02.750% 41 BE       | Partial Call  |                | 310        | Feb-01-2016           | 1,000                   |              |
| 96945142 | 67886MPS2 | OKLAHOMA HSG FIN AG OK<br>D04/30/13 03.000% 41 BE       | Partial Call  |                | 310        | Feb-01-2016           | 1,000                   |              |
| 96945140 | 67886MPU7 | OKLAHOMA HSG FIN AG OK<br>D10/30/13 03.350% 35 BE       | Partial Call  |                | 310        | Feb-01-2016           | 1,000                   |              |
| 96938432 | 241912AA2 | DEAN WITTER MORT CAP<br>CLASS 1-A 6.50% 2/2/17 +*       | Final Paydown |                | 540        | Feb-02-2016           | 0.039224                |              |
| 96929545 | 123168AB2 | GABS144A BUSH TR 2011A<br>D03/10/11 5.000% JJ18         | Final Paydown |                | 541        | Jan-25-2016           | 0.449644                |              |
| 96878060 | 97710VDX3 | SVRDO WI HEALTH EDU RV<br>D02-05-02 0.010% 22 BE        | Partial Call  |                | 314        | Feb-02-2016           | 1,000                   |              |
| 96841409 | 18886PMR3 | SVRDO 144A CLIPPERS DE<br>D03-30-06 0.010% JJ36 BE      | Full Call     |                | 314        | Feb-01-2016           | 1,000                   |              |
| 96781300 | 786111JE5 | SVRDO SACRAMENTO RV CA<br>D04-07-16 0.010% JJ36 BE      | Partial Call  |                | 314        | Feb-01-2016           | 1,000                   |              |
| 96781134 | 93978REA7 | SVRDO WA ST HSG RV WA<br>D12/17/04 0.010% 1140 BE       | Partial Call  |                | 314        | Feb-01-2016           | 1,000                   |              |

Displaying 1 to 20 of 42 items
Filter Customize Result Columns Export to Excel Page 1 of 3

**Filter Search Criteria**  
CUSIP  
  
Search Reset

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From there, clicking on a CA ID takes you to that event's [Record Detail](#) page.

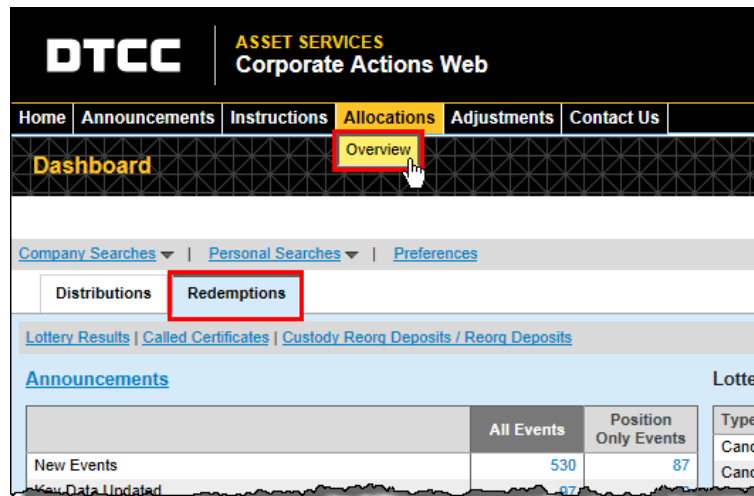
- Return to today's listing by clicking the **Redemptions for Today** link above the table on the 7-Day History page.

## Allocations Overview Page: Viewing a 7 Day Forecast

The Allocations Overview page provides you with a snapshot of your redemptions as of today. You can also look at information for the next seven business days, as well as for the past seven business days.

To view your 7 day redemption allocation forecast from anywhere in CA Web:

- Hover over **Allocations** on the menu bar.
- Click **Overview**.
- Click the **Redemptions** tab.



4. Click **Show 7 Day Forecast**.

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**Allocations Overview**

Print CA ID

Last Updated Feb-11-2016 10:28:36 AM

Distributions | **Redemptions**

Expand All Collapse All Show 7 Day History

Redemptions for Today - Mar-11-2016 **Show 7 Day Forecast**

**▼ Cash (USD)**

| Event Type        | Total Due               |            | Unallocated          |           | Allocated               |            | Projected Adjustments |          | Actual Adjustments |           |
|-------------------|-------------------------|------------|----------------------|-----------|-------------------------|------------|-----------------------|----------|--------------------|-----------|
|                   | Amount                  | Count      | Amount               | Count     | Amount                  | Count      | Amount                | Count    | Amount             | Count     |
| Default           | 15,575.19               | 2          | 0.00                 | 1         | 15,575.19               | 1          | 12,345.00             | 1        | 138,077.10         | 1         |
| Final Paydown     | 1,488,948,556.93        | 50         | 6,688,984.85         | 4         | 1,482,259,572.08        | 46         | 3,000,000.00          | 1        | 505.40             | 2         |
| Full Call         | 421,688,032.90          | 38         | 2,636,773.28         | 3         | 419,051,259.62          | 35         | 49.30                 | 1        | 71,028.41          | 4         |
| Full Prerefunding | 186,069,782.81          | 104        | 740,000.00           | 1         | 185,329,782.81          | 103        | 40,000.00             | 1        | 91,116.00          | 1         |
| Maturity          | 2,391,585,557.67        | 513        | 19,670,998.46        | 17        | 2,371,914,559.21        | 496        | 1,100,000.00          | 1        | 65,000.01          | 2         |
| Partial Call      | 65,781,761.22           | 109        | 1,046,667.60         | 7         | 64,735,093.62           | 102        | 25,000.00             | 1        | 99,000.00          | 1         |
| Termination       | 197,492.36              | 2          | 8,282.63             | 1         | 189,209.73              | 1          | 500.00                | 1        | -69.58             | 1         |
| <b>Total</b>      | <b>4,554,286,759.08</b> | <b>818</b> | <b>30,791,706.82</b> | <b>34</b> | <b>4,523,495,052.26</b> | <b>784</b> | <b>4,177,894.30</b>   | <b>7</b> | <b>464,657.34</b>  | <b>12</b> |

**▼ MMI**

| Event Type   | Total Due                |            | Unallocated           |          | Allocated                |            | Projected Adjustments |          | Actual Adjustments |          |
|--------------|--------------------------|------------|-----------------------|----------|--------------------------|------------|-----------------------|----------|--------------------|----------|
|              | Amount                   | Count      | Amount                | Count    | Amount                   | Count      | Amount                | Count    | Amount             | Count    |
| Full Call    | 175,000.00               | 2          | 165,000.00            | 1        | 10,000.00                | 1          | 50,000.00             | 1        | 20,000.00          | 1        |
| Maturity     | 37,026,740,604.32        | 920        | 300,422,529.90        | 6        | 36,726,318,074.42        | 914        | -45,000.00            | 1        | 218,925.00         | 2        |
| Partial Call | 1,120,041.00             | 2          | 559,755.00            | 1        | 560,286.00               | 1          | 612.34                | 1        | 25,086.11          | 1        |
| <b>Total</b> | <b>37,028,035,645.32</b> | <b>924</b> | <b>301,147,284.90</b> | <b>8</b> | <b>36,726,888,360.42</b> | <b>916</b> | <b>5,612.34</b>       | <b>3</b> | <b>264,011.11</b>  | <b>4</b> |

**▼ Security**

| Event Type           | Total Due |  | Unallocated |  | Allocated  |          |
|----------------------|-----------|--|-------------|--|------------|----------|
|                      | Count     |  | Count       |  | Count      |          |
| Partial Defeasance   |           |  | 2           |  | N/A        | 2        |
| Partial Prerefunding |           |  | 6           |  | N/A        | 6        |
| <b>Total</b>         |           |  | <b>8</b>    |  | <b>N/A</b> | <b>8</b> |

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The **Allocations Overview–7 Day Forecast** page appears.

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### Allocations Overview - 7 Day Forecast

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CA ID

Only dates where activity is anticipated to occur on your account appear.

Distributions | **Redemptions**

Expand All | Collapse All

Show 7 Day History
Redemptions for Today - Mar-11-2016
Show 7 Day Forecast

**Cash (USD)**

| Date                | Total Due               |            | Unallocated             |            | Allocated   |          | Projected Adjustments |          | Actual Adjustments |          |
|---------------------|-------------------------|------------|-------------------------|------------|-------------|----------|-----------------------|----------|--------------------|----------|
|                     | Amount                  | Count      | Amount                  | Count      | Amount      | Count    | Amount                | Count    | Amount             | Count    |
| Today - Mar-11-2016 | 438,281,185.40          | 14         | 438,281,185.40          | 14         | 0.00        | 0        | 0.00                  | 0        | 0.00               | 0        |
| Mar-14-2016         | 46,801,019.94           | 16         | 46,801,019.94           | 16         | 0.00        | 0        | 0.00                  | 0        | 0.00               | 0        |
| Mar-15-2016         | 2,595,127,292.08        | 174        | 2,595,127,292.08        | 174        | 0.00        | 0        | 0.00                  | 0        | 0.00               | 0        |
| Mar-16-2016         | 266,484,368.05          | 11         | 266,484,368.05          | 11         | 0.00        | 0        | 0.00                  | 0        | 0.00               | 0        |
| Mar-17-2016         | 161,315,510.05          | 7          | 161,315,510.05          | 7          | 0.00        | 0        | 0.00                  | 0        | 0.00               | 0        |
| Mar-18-2016         | 163,079,057.90          | 10         | 163,079,057.90          | 10         | 0.00        | 0        | 0.00                  | 0        | 0.00               | 0        |
| Mar-20-2016         | 100,000.00              | 1          | 100,000.00              | 1          | 0.00        | 0        | 0.00                  | 0        | 0.00               | 0        |
| Mar-21-2016         | 122,958,575.00          | 10         | 122,958,575.00          | 10         | 0.00        | 0        | 0.00                  | 0        | 0.00               | 0        |
| Mar-22-2016         | 595,966,326.03          | 9          | 595,966,326.03          | 9          | 0.00        | 0        | 0.00                  | 0        | 0.00               | 0        |
| <b>Total</b>        | <b>4,390,113,334.45</b> | <b>252</b> | <b>4,390,113,334.45</b> | <b>252</b> | <b>0.00</b> | <b>0</b> | <b>0.00</b>           | <b>0</b> | <b>0.00</b>        | <b>0</b> |

**MMI**  
There is no data to display.

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**Notes:**

- The Security twisty does not appear on the **Forecast** page.
- The **Events** column from the Allocation Overview page is replaced with a **Date** column on the Forecast page. Expected items are listed for the coming seven days, starting with the next business day after this one.
- The **Total Due** column presents a total of the expected amounts and numbers in the **Unallocated** and **Allocated** columns for each date.
- Click **Expand All** to open all of the entitlement type tables and **Collapse All** to close all of them.
- See the [Allocations Overview](#) topic for more information about this page.

- Click the number in any **Count** column to view search results for that allocation type on the listed date. From there, clicking on a CA ID takes you to that event's [Record Detail](#) page.

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**Allocations - Forecast - Cash (USD) - Total Due - Mar-14-2016 - Search Results**

[< Return to Previous Page](#)
Print
CA ID

Results for Client 00000997 - State Street Bank and Trust Company

Displaying 1 to 16 of 16 items
Filter Customize Result Columns Export to Excel Page 1 of 1

| CA ID    | CUSIP     | Event Security Description                     | Event Type | Sub Event Type | Asset Type | Declared Payable Date | DTC Cash Rate Principal | DTC Cash Rate |
|----------|-----------|--|------------|----------------|------------|-----------------------|-------------------------|---------------|
| 97107152 | 46940YBD2 | SVRDO JACKSONVILLE RV D03/15/06 0.010% JJ38 BE | Full Call  |                | 314        | Mar-09-2016           | 1,000                   |               |
| 96945135 | 98410YAW3 |  | Maturity   |                |            | Mar-14-2016           | 1,000                   |               |
| 96945132 | 87164DCP3 | CD SYNOVUS BK COLUMBUS D03/14/13 00.500% MS16  | Maturity   |                | 507        | Mar-14-2016           | 1,000                   |               |
| 96945119 | 606857T75 |  | Maturity   |                |            | Mar-14-2016           | 1,000                   |               |
| 96945111 | 464209CA1 | CD ISABELLA BK MT PLE D02/12/15 00.400% 16     | Maturity   |                | 507        | Mar-14-2016           | 1,000                   |               |
| 96945109 | 45340KDD8 |  | Maturity   |                |            | Mar-14-2016           | 1,000                   |               |
| 96945105 | 38147JBK7 | CD GOLDMAN SACHS BK US D03/13/13 00.750% MS16  | Maturity   |                | 507        | Mar-14-2016           | 1,000                   |               |
| 96945104 | 38143AMD4 | CD GOLDMAN SACHS BK US D03/14/12 01.200% MS16  | Maturity   |                | 507        | Mar-14-2016           | 1,000                   |               |
| 96945102 | 33767AGH8 | CD FIRSTBANK P R SANTU D12/12/14 00.700% 16    | Maturity   |                | 507        | Mar-14-2016           | 1,000                   |               |
| 96945094 | 321086FV7 | CD FIRST NATL BK WAUPA D03/14/14 00.450% 16    | Maturity   |                | 507        | Mar-14-2016           | 1,000                   |               |
| 96945093 | 32023CAT6 | CD FIRST FED SVGS & LN D03/13/13 00.500% MS16  | Maturity   |                | 507        | Mar-14-2016           | 1,000                   |               |
| 96945089 | 2546704W9 | CD DISCOVER BK GREENWO D03/14/12 01.100% MS16  | Maturity   |                | 507        | Mar-14-2016           | 1,000                   |               |
| 96945082 | 05961SEL4 |  | Maturity   |                |            | Mar-14-2016           | 1,000                   |               |
| 96945079 | 02006LDG5 | CD ALLY BK MIDVALE UTA D03/12/14 00.500% MS16  | Maturity   |                | 507        | Mar-14-2016           | 1,000                   |               |
| 96945076 | 902674TV2 | 144A UBS AG LONDON BRH D02/13/15 0.010% 16     | Maturity   |                | 704        | Mar-14-2016           | 1,000                   |               |

Displaying 1 to 16 of 16 items
Filter Customize Result Columns Export to Excel Page 1 of 1

**Filter Search Criteria**  
CUSIP  
  
Search Reset

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- Return to today's listing by clicking the **Redemptions for Today** link above the table.

## Viewing Allocations

You can view allocations by clicking one of the links in the Allocations compartment on the [Redemptions Dashboard](#) to get to an Allocations search results page. Alternately, you can use the menu bar.

To view an individual event via the [Allocations Overview](#) page:

- Hover over **Allocations** on the menu bar.
- Click **Overview**.
- Click the **Redemptions** tab.



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Distributions | **Redemptions**

Lottery Results | Called Certificates | Custody Reorg Deposits / Reorg Deposits

**Announcements**

|   | All Events | Position Only Events |
|---|------------|----------------------|
| New Events  | 530        | 87                   |
| Key Data Updated  | 97         | 10                   |
| Declared Payable Date Changed                               | 13         | 4                    |
| Canceled/Deleted Events                                     | 3          | 0                    |
| Multiple Events with same Declared Payable Date/Security ID | 4          | 4                    |
| Events with Zero Rate on Declared Payable Date              | 0          | 0                    |
| DTC Rate to Rate Change                                     | 7          | 2                    |
| DTC Zero to Rate Change                                     | 9          | 3                    |
| DTC Rate to Zero Rate Change                                | 16         | 3                    |
| Warnings (Late Announcements)                               | All Events | Position Only Events |
| Created 5-2 days prior to Declared Payable Date             | 106        | 10                   |
| Created 1 day or less prior to Declared Payable Date        | 9          | 6                    |

**Lottery Adjustments Today**

Type

Cancels

Cancels with Intention to Rerun

**Warnings**

Type

All Events with Pledge Positions - All

Conditional Payments

**Allocations (Today)**

Last Updated: Feb-11-2016 10:28:36

| Type       | Amount*           | Total Due | Co |
|------------|-------------------|-----------|----|
| Cash (USD) | 4,554,313,384.06  |           |    |
| MMI        | 35,627,309,034.22 |           |    |
| Security   | N/A               |           |    |

\* Amounts only apply to cash allocations

**Lotteries Processed Today**

Type | Selected for Lottery | Not Selected for Lottery

- Click the record count in any **Count** column.

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### Allocations Overview

Print
CA ID

Last Updated Feb-11-2016 10:28:36 AM

Distributions | **Redemptions**

Expand All Collapse All  
Show 7 Day History

Redemptions for Today - Mar-29-2016

Show 7 Day Forecast

#### ▼ Cash (USD)

| Event Type        | Total Due               |            | Unallocated          |           | Allocated               |            | Projected Adjustments |          | Actual Adjustments |           |
|-------------------|-------------------------|------------|----------------------|-----------|-------------------------|------------|-----------------------|----------|--------------------|-----------|
|                   | Amount                  | Count      | Amount               | Count     | Amount                  | Count      | Amount                | Count    | Amount             | Count     |
| Default           | 15,575.19               | 2          | 0.00                 | 1         | 15,575.19               | 1          | 12,345.00             | 1        | 138,077.10         | 1         |
| Final Paydown     | 1,488,950,181.91        | 51         | 6,690,609.83         | 5         | 1,482,259,572.08        | 46         | 3,000,000.00          | 1        | 505.40             | 2         |
| Full Call         | 421,688,032.90          | 38         | 2,636,773.28         | 3         | 419,051,259.62          | 35         | 49.30                 | 1        | 71,028.41          | 4         |
| Full Prerefunding | 186,069,782.81          | 104        | 740,000.00           | 1         | 185,329,782.81          | 103        | 40,000.00             | 1        | 91,116.00          | 1         |
| Maturity          | 2,391,585,557.67        | 513        | 19,670,998.46        | 17        | 2,371,914,559.21        | 496        | 1,100,000.00          | 1        | 65,000.01          | 2         |
| Partial Call      | 65,806,761.22           | 110        | 1,071,667.60         | 8         | 64,735,093.62           | 102        | 25,000.00             | 1        | 99,000.00          | 1         |
| Termination       | 197,492.36              | 2          | 8,282.63             | 1         | 189,209.73              | 1          | 0.00                  | 0        | 0.00               | 0         |
| <b>Total</b>      | <b>4,554,313,384.06</b> | <b>820</b> | <b>30,818,331.80</b> | <b>36</b> | <b>4,523,495,052.26</b> | <b>784</b> | <b>4,177,394.30</b>   | <b>6</b> | <b>464,726.92</b>  | <b>11</b> |

#### ▼ MMI

| Event Type   | Total Due                |            | Unallocated           |           | Allocated                |            | Projected Adjustments |          | Actual Adjustments |          |
|--------------|--------------------------|------------|-----------------------|-----------|--------------------------|------------|-----------------------|----------|--------------------|----------|
|              | Amount                   | Count      | Amount                | Count     | Amount                   | Count      | Amount                | Count    | Amount             | Count    |
| Full Call    | 175,000.00               | 2          | 165,000.00            | 1         | 10,000.00                | 1          | 50,000.00             | 1        | 20,000.00          | 1        |
| Maturity     | 37,126,747,993.22        | 922        | 400,429,918.80        | 8         | 36,726,318,074.42        | 914        | -45,000.00            | 1        | 218,925.00         | 2        |
| Partial Call | 1,120,041.00             | 2          | 559,755.00            | 1         | 560,286.00               | 1          | 612.34                | 1        | 25,086.11          | 1        |
| <b>Total</b> | <b>37,128,043,034.22</b> | <b>926</b> | <b>401,154,673.80</b> | <b>10</b> | <b>36,726,888,360.42</b> | <b>916</b> | <b>5,612.34</b>       | <b>3</b> | <b>264,011.11</b>  | <b>4</b> |

#### ▼ Security

| Event Type           | Total Due |          | Unallocated |  | Allocated |          |
|----------------------|-----------|----------|-------------|--|-----------|----------|
|                      | Count     |          | Count       |  | Count     |          |
| Partial Defeasance   |           | 2        |             |  |           | 2        |
| Partial Prerefunding |           | 6        |             |  |           | 6        |
| <b>Total</b>         |           | <b>8</b> |             |  |           | <b>8</b> |

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The Allocations search results page appears for all events of that type and status.

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**Allocations - Cash (USD) - Total Due - Partial Call - Mar-29-2016 - Search Results**

[Return to Previous Page](#)  CA ID

Results for Client 00001234 - Test Company

Displaying 1 to 20 of 110 items  [Customize Result Columns](#)  [Export to Excel](#) Page 1 of 6

| CA ID                     | CUSIP     | Event Security Description                      | Event Type   | Sub Event Type | Asset Type | Declared Payable Date | DTC Cash Rate Principal | DTC Cash Rat |
|---------------------------|-----------|---|--------------|----------------|------------|-----------------------|-------------------------|--------------|
| <a href="#">500666770</a> | 46940YBD2 | SVRDO JACKSONVILLE RV D03/15/06 0.010% 38 BE    | Partial Call |                | 314        | Mar-15-2016           | 1,000                   |              |
| <a href="#">97118118</a>  | 64986ME27 | NY ST HSNG FIN RV NY D11/01/05 4.900% FA25 BE   | Partial Call |                | 310        | Feb-15-2016           | 1,000                   |              |
| <a href="#">97106239</a>  | 64983QZ28 | NY DORM AUTH RV NY D10/12/06 5.100% FA26 BE     | Partial Call |                | 310        | Feb-15-2016           | 1,000                   |              |
| <a href="#">97097734</a>  | 592041NY9 | SVRDO METRO GOVT RV TN D06/03/05 0.010% JJ35 BE | Partial Call |                | 314        | Feb-15-2016           | 1,000                   |              |
| <a href="#">97097686</a>  | 649787VW5 | ARN NEW YORK ST G/O D02-21-02 0.010% JJ32 BE    | Partial Call |                | 312        | Feb-15-2016           | 1,000                   |              |
| <a href="#">97097602</a>  | 649787V7  | ARN NEW YORK ST G/O D02-21-02 0.010% JJ22 BE    | Partial Call |                | 312        | Feb-15-2016           | 1,000                   |              |
| <a href="#">97093055</a>  | 917434BC5 | SVRDO UT HSG RV UT D04/14/04 0.010% 17 BE       | Partial Call |                | 314        | Jan-06-2016           | 1,000                   |              |
| <a href="#">97090312</a>  | 59333RCB8 | MIAMI-DADE SD GO FL D02-15-97 5.000% FA17 BE    | Partial Call |                | 310        | Feb-15-2016           | 1,000                   |              |
| <a href="#">97090186</a>  | 395386BH7 | ARN GREENPOINT CR 00-5 D09/27/00 0.010% JJ31    | Partial Call |                | 571        | Feb-16-2016           | 1,000                   |              |
| <a href="#">97090183</a>  | 395383BM3 | GARN GREENPOINT CREDIT D10/02/01 0.010% JJ32    | Partial Call |                | 571        | Feb-13-2016           | 1,000                   |              |
| <a href="#">97086532</a>  | 01080NAA8 | SVRDO ALAMEDA RV CA D05/13/05 0.010% JJ35 BE    | Partial Call |                | 314        | Feb-15-2016           | 1,000                   |              |
| <a href="#">96989220</a>  | 31350ABP2 | SVRDO FEDERAL HOME VA D07/10/15 0.010% 49 BE    | Partial Call |                | 314        | Feb-16-2016           | 1,000                   |              |
| <a href="#">96989216</a>  | 31394HC25 | CMO FREDDIE MAC 2669 D08/01/03 5.500% JJ33      | Partial Call |                | 540        | Feb-16-2016           | 1,000                   |              |

Displaying 1 to 20 of 110 items  [Customize Result Columns](#)  [Export to Excel](#) Page 1 of 6

**Filter Search Criteria**

CUSIP

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- This page displays up to 3000 results.
  - You can sort these results by clicking on any of the column headings.
  - You can export these results to Excel by clicking the **Export to Excel** link. When you export your results to Excel, you will export all results—not just the ones that appear on the page.
  - You can print these results by clicking on the **Print** icon. When you print your results, you will only print the results that appear on the page.
  - Click **Filter** to refine the results by any applicable criteria.
5. Click any **CA ID** number to view that event.

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**Record Detail Page - 500668770**

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CA ID

CUSIP: 46940YBD2 | Issue Description: VARIABLE RATE MULTIFAMILY HOUSING REVNUUE BONDS (CHRISTINE COVE APARTMENTS) SERIES 2006 | Issuer Description: JACKSONVILLE HSG FIN AUTH., FLORIDA | Asset Class: Municipal Debt | Asset Type: Municipal Variable Rate Demand Obligation (VRDO) | Event Group: Redemptions | Event Type: Partial Call | Country of Incorporation: US | Processed at DTC: Yes | DTC Eligible: Yes | Declared Mandatory / Voluntary: Mandatory | DTC Mandatory / Voluntary: Mandatory | ISO Core M/V: MAND | ISO Event Code: DRAW

-- Select Action --

Workflow Status: Approved | XBRL Indicator: No
System Data

Event Details | Comments | Related Events | **Entitlements**

**Lottery Results - 00001234 Test Company**

| Lottery Type | Activity Date | Original Position | Adjusted Position | Called Position | Uncalled Position | Obligated Balance | Activity | Declared Payable Date |
|--------------|---------------|-------------------|-------------------|-----------------|-------------------|-------------------|----------|-----------------------|
| Original     | Mar-15-2016   | 2,510,000         | 2,510,000         | 25,000          | 2,485,000         | 0                 | 76       | Mar-15-2016           |

Expand All
Collapse All

**Option 1 - Cash**

| Position | Principal Rate | Interest Rate | Total Cash Due | Allocated Amount |
|----------|----------------|---------------|----------------|------------------|
| 25,000   | 1,000          | 0             | 25,000         | 0                |

**Position (1)**

Displaying 1 to 1 of 1 items
Filter
Page 1 of 1

| Activity Date | Activity          | Position | DTC Activity |
|---------------|-------------------|----------|--------------|
| Mar-15-2016   | Entitled Position | 25,000   | N/A          |

Displaying 1 to 1 of 1 items
Filter
Page 1 of 1

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The Record Detail page appears in that browser window, displaying the **Entitlements** tab.

Click on any other tab to view additional information about this event. For example, if you click on the [Event Details](#) tab, you will see that the options and payouts directly correlate to the entitlements shown here.

## About the Entitlements Tab for Lottery Events

Selecting a lottery event from the [Allocations Overview](#) page brings you directly to its Record Detail page with the **Entitlements** tab displayed.

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**Record Detail Page - 500668770**

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CA ID

CUSIP: 46940YBD2 | Issue Description: VARIABLE RATE MULTIFAMILY HOUSING REVNUUE BONDS (CHRISTINE COVE APARTMENTS) SERIES 2006 | Issuer Description: JACKSONVILLE HSG FIN AUTH., FLORIDA | Asset Class: Municipal Debt | Asset Type: Municipal Variable Rate Demand Obligation (VRDO) | Event Group: Redemptions | Event Type: Partial Call | Country of Incorporation: US | Processed at DTC: Yes | DTC Eligible: Yes | Declared Mandatory / Voluntary: Mandatory | DTC Mandatory / Voluntary: Mandatory | ISO Core M/V: MAND | ISO Event Code: DRAW

-- Select Action --

Workflow Status: Approved | XBRL Indicator: No
System Data

Event Details | Comments | Related Events | **Entitlements**

**Lottery Results - 00001234 Test Company**

| Lottery Type | Activity Date | Original Position | Adjusted Position | Called Position | Uncalled Position | Obligated Balance | Activity | Declared Payable Date |
|--------------|---------------|-------------------|-------------------|-----------------|-------------------|-------------------|----------|-----------------------|
| Original     | Mar-15-2016   | 2,510,000         | 2,510,000         | 25,000          | 2,485,000         | 0                 | 76       | Mar-15-2016           |

Expand All
Collapse All

**Option 1 - Cash**

| Position | Principal Rate | Interest Rate | Total Cash Due | Allocated Amount |
|----------|----------------|---------------|----------------|------------------|
| 25,000   | 1,000          | 0             | 25,000         | 0                |

**Position (1)**

Displaying 1 to 1 of 1 items
Filter
Page 1 of 1

| Activity Date | Activity          | Position | DTC Activity |
|---------------|-------------------|----------|--------------|
| Mar-15-2016   | Entitled Position | 25,000   | N/A          |

Displaying 1 to 1 of 1 items
Filter
Page 1 of 1

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In the [Summary](#) area above, you can view details about this specific event.

The tab area below displays:

- A [Lottery Results](#) section.
- An [Option](#) twisty.

The twisty is expanded by default. You can view the option's summary and position information. In the case of partial calls, [payment activity](#) is displayed here as well.

Click the **Expand All (+)** and **Collapse All (-)** icons to either expand or collapse all twisties on the page.

**Notes:**

1. The tab will not appear until the position capture date, and only if you have position in a given event.
2. The tab also appears for:
  - Cancels, and
  - Cancels with Intent to Rerun.

## Entitlements Tab Messages

| This situation  | Displays this message   |
|---|---|
| An adjustment related to this lottery event has been applied.   | "Adjustment activity has been applied to your account."   |
| The DTC Cash Rate displayed on the <a href="#">Option</a> twisty differs from the DTC Cash Rate displayed on the <a href="#">Event Details</a> tab.<br>and<br>There is an adjustment pending. | "There is an adjustment pending."<br><br><b>Note:</b><br>The message is displayed for three business days or until there is an allocation of any adjustment activity. |
| Pre-allocation of rate adjustments (post primary CUSIP allocation).   | "An adjustment is pending due to a rate change. Refer to event details for the updated rate."   |
| Post-allocation of adjustments  | "Adjustment activity has been applied to your account."   |
| Mousing over the informational icon next to the <b>Allocated Amount</b> field in the <a href="#">Option</a> area  | Allocated amount includes your primary allocation only. Refer to Payment Activity for the Total Net Allocation."  |

## Lottery Results Area

This area of the Entitlements tab contains a table with the following information.

The original lottery, supplemental lotteries, and lottery reversals are listed on separate rows in this table.

| Field Name           | Definition  | For These Events  |
|----------------------|---|---|
| <b>Lottery Type</b>  | 1. <b>ORIG</b> for original lottery.<br>2. <b>SUPP</b> for supplemental lottery (for Partial Calls only).<br><br>Note that lottery reversals have a lottery type of "ORIG." | Partial Defeasance<br>Partial Pre-Refunding<br>Partial Call |
| <b>Activity Date</b> | The date on which the lottery (original, supplemental, or reversal) took place  | Partial Defeasance<br>Partial Pre-Refunding<br>Partial Call |

| Field Name                   | Definition  | For These Events  |
|------------------------------|---|---|
| <b>Original Position*</b>    | Original position is generally equal to your eligible position. It will remain constant for the life of the event. On a supplemental call, this is the unaffected balance from the original lottery that now becomes the basis for the supplemental lottery.<br><br>Click this number to view an <a href="#">activity breakdown</a> . | Partial Defeasance<br>Partial Pre-Refunding<br>Partial Call |
| <b>Adjusted Position</b>     | In an original lottery, the original position and the adjusted position are the same. In a supplemental lottery, this is the position after any previous lottery adjustments have been made.  | Partial Defeasance<br>Partial Pre-Refunding<br>Partial Call |
| <b>Called Position</b>       | The affected position, or the portion of the eligible position that is called by the lottery. For partial pre-refundings, this is the refunded position; for partial defeasements, this is the defeased position.   | Partial Defeasance<br>Partial Pre-Refunding<br>Partial Call |
| <b>Uncalled Position</b>     | The unaffected position, or the portion of the eligible position that is not called by the lottery. For partial pre-refundings, this is the non-refunded position; for partial defeasements, this is the non-defeased position.   | Partial Defeasance<br>Partial Pre-Refunding<br>Partial Call |
| <b>Obligated Balance</b>     | An obligated balance occurs when the affected balance is greater than the settled position.<br><br>For example, this can happen when a call notice is received late and the prior record date position is greater than what is currently settled.   | Partial Defeasance<br>Partial Pre-Refunding<br>Partial Call |
| <b>Activity</b>              | The type of lottery being run:<br>1. Original<br>2. Supplemental (for Partial Calls only)<br>3. Reversal<br><br>Note that as both reversals and original lotteries have a lottery type of "Original," this is the field that indicates the difference between the two.  | Partial Defeasance<br>Partial Pre-Refunding<br>Partial Call |
| <b>New Maturity Date</b>     | The new maturity date (earlier than the original maturity date) on which affected securities are refunded.  | Partial Pre-Refunding                                       |
| <b>Declared Payable Date</b> | The payable date for the redemption as announced by the agent or issuer.  | Partial Call  |

## Viewing the Original Position

Click the number in the **Original Position** column of the [Lottery Results](#) area to view an Activity Breakdown window.

This displays your position in these accounts:

- Regular Unpledged (10)
- Pledged (14)
- Investment ID (18)
- Segregation (22)

## Option Area

The Option twisty is opened by default. It displays:

- **Option** summary fields,
- A [Position](#) twisty (expanded by default), and
- A [Payment](#) twisty (expanded by default).

In the case of partial calls, a [Payment Activity](#) twisty is displayed as well.

The information displayed in the Option area varies by lottery event type.

| Field Name               | Definition  | For These Events  |
|--------------------------|---|---|
| <b>Position</b>          | The eligible position for this option.  | Partial Defeasance<br>Partial Pre-Refunding<br>Partial Call |
| <b>DTC Security Rate</b> | For partial defeasances or partial pre-refundings, this is the rate at which the redemption will take place (as determined by the lottery). | Partial Defeasance<br>Partial Pre-Refunding                 |
| <b>Principal Rate</b>    | The cash rate that reflects the amount of principal being paid.   | Partial Call  |
| <b>Defeased Amount</b>   | The affected amount, or the portion of the eligible position that is called by the lottery for defeasement.                                 | Partial Defeasance  |
| <b>Refunded Amount</b>   | The affected amount, or the portion of the eligible position that is called by the lottery to be refunded.                                  | Partial Pre-Refunding                                       |
| <b>Interest Rate</b>     | The cash rate that reflects the payment of interest.  | Partial Call  |



| Field Name                 | Definition  | For These Events      |
|----------------------------|---|-----------------------|
| <b>Non-Defeased Amount</b> | The unaffected amount, or the portion of the eligible position that is not called by the lottery for defeasement. | Partial Defeasance    |
| <b>Non-Refunded Amount</b> | The unaffected amount, or the portion of the eligible position that is not called by the lottery to be refunded.  | Partial Pre-Refunding |
| <b>Total Cash Due</b>      | The amount that you can expect to see in cash as a result of this event   | Partial Call          |
| <b>Allocated Amount</b>    | The amount of the primary allocation. It is only shown if the allocation has already occurred.                    | Partial Call          |

## Position Area

The Position twisty is opened by default. It displays a table with the following columns:

- **Activity Date.**
- **Activity.** The type of position activity being described. Here on the Entitlements tab, this describes your entitlement position as determined by the lottery.
- **Position.** The amount on which the entitlement is based.

The number in parentheses next to the Position label indicates the number of position items contained in the table. For example, "Position (1)" indicates that you have one position in this particular lottery.

## Payment Area

The Payment twisty is displayed only if payments have occurred.

The number in parentheses next to the Payments label indicates the number of payments contained in the table. For example, "Payment (2)" indicates that you have two payments in this particular lottery.

You can have multiple payments for a number of reasons:

- For [partial calls](#), you can have payments on both the principal and the interest. Additionally, supplemental lotteries may be called for the same Event ID, which will result in additional payments.
- For [partial defeasances](#) and [partial pre-refundings](#), position is disbursed into two separate CUSIPS: one for the affected position and one for the unaffected position. Each disbursement to a unique CUSIP is recorded as a separate payment.

## Payment Area for Partial Calls

| Field Name               | Definition  |
|--------------------------|---|
| Payout Number            | Number of the individual payout.<br>For example, payout 1 is principal and payout 2 is interest. This is in line with the payouts specified in the Event Details tab. |
| Payout Type              | The type of payout being made: <ul style="list-style-type: none"> <li>• Cash</li> <li>• Dividends</li> <li>• Principal</li> <li>• Interest</li> </ul>                 |
| Amount Allocated         | Amount paid out for each separate payment.  |
| DTC Allocation Date/Time | The date and time at which the allocation was made by DTC.  |
| DTC Cash Rate            | The rate of DTC's cash payout.  |

## Payments for Partial Defeasances

| Field Name                  | Definition   |
|-----------------------------|--|
| Payout Number               | Number of the individual payout. For example, payout 1 is the defeased amount and payout 2 is the non-defeased portion. This is in line with the payouts specified in the Event Details tab. |
| Payout Type                 | For partial defeasances, the payout type is always "Securities."   |
| Disbursed Amount            | The amount that has been paid out in this particular security: either an amount that was disbursed into the defeased CUSIP or an amount that was moved to the non-defeased CUSIP.            |
| Affected Position Date/Time | The date and time at which the position was affected by the partial defeasance.  |
| DTC Security Rate           | The rate that was used by DTC to determine the amount allocated.   |
| CUSIP                       | The new security ID for the defeased or non-defeased portion of the position.  |
| Type                        | Specifies whether the CUSIP represents the defeased or the non-defeased portion of the position.   |

## Payments for Partial Pre-Refundings

| Field Name    | Definition  |
|---------------|---|
| Payout Number | Number of the individual payout.<br>For example, payout 1 is the refunded amount and payout 2 is the non-refunded portion. This is in line with the payouts specified in the Event Details tab. |

| Field Name                         | Definition   |
|------------------------------------|--|
| <b>Payout Type</b>                 | For partial pre-refundings, the payout type is always “Securities.”  |
| <b>Disbursed Amount</b>            | The amount that has been paid out in this particular security: either an amount that was refunded into the new CUSIP with an earlier maturity date (refunded) or an amount that moves to a CUSIP with the original maturity date (non-refunded). |
| <b>Affected Position Date/Time</b> | The date and time at which the position was affected by the pre-refunding.   |
| <b>DTC Security Rate</b>           | The rate that was used by DTC to determine the amount allocated.   |
| <b>CUSIP</b>                       | The security ID for the refunded (new maturity date) or non-refunded (original maturity date) portion of the position.   |
| <b>Type</b>                        | Specifies whether the CUSIP represents the refunded or the non-refunded portion of the position.   |

## Payment Activity

The Payment Activity twisty is displayed under Payment *only* for [Partial Call](#) events. It displays:

- The **Activity Date** of the payment. Hovering over this label displays the message:  
*“This activity represents an adjustment to your account. Please see the Adjustments Tab on the event for more details.”*
- The **Allocation** amount that was paid.
- The type of **Activity** that the payment represents.

Underneath the table, you can see your **Total Net Allocation**. This is the sum of all payment activity that is displayed in the table above. Hovering over this label displays the message:

*“The total net cash allocation amount includes both the primary allocation and any applicable adjustments to your account.”*

## About the Entitlements Tab for Non-Lottery Events

Selecting a non-lottery event from the [Allocations Overview](#) page brings you directly to its Record Detail page with the **Entitlements** tab displayed.

The screenshot displays the DTCC Corporate Actions Web interface. The top navigation bar includes links for Home, Announcements, Instructions, **Allocations** (highlighted with a red box), Adjustments, and Contact Us. The **Overview** link under Allocations is also highlighted. The main content area shows the 'Record Detail Page' for event 970932. The 'Entitlements' tab is selected, displaying a table with columns: Position, Declared Payable Date, Principal Rate, Interest Rate, Total Cash Due, and Allocated Amount. Below this, there are sections for 'Position (1)', 'Payments (2)', and 'Payment Activity'. The 'Position (1)' section shows a table with columns: Activity Date, Activity, Position, and DTC Activity. The 'Payments (2)' section shows a table with columns: Payout Number, Payout Type, DTC Allocation Date/Time, and Amount. The 'Payment Activity' section shows a table with columns: Activity Date, Allocation, and Activity. The total net allocation is \$255,797.5.

| Position | Declared Payable Date | Principal Rate | Interest Rate | Total Cash Due | Allocated Amount |
|----------|-----------------------|----------------|---------------|----------------|------------------|
| 250,000  | Feb-16-2016           | 1,019.69       | 3.5           | 255,797.5      | 255,797.5        |

| Activity Date | Activity          | Position | DTC Activity |
|---------------|-------------------|----------|--------------|
| Mar-11-2016   | Entitled Position | 250,000  | N/A          |

| Payout Number | Payout Type | DTC Allocation Date/Time | Amount    |
|---------------|-------------|--------------------------|-----------|
| 1             | Principal   | Feb-16-2016 11:25:07 AM  | 254,922.5 |
| 2             | Interest    | Feb-16-2016 11:25:07 AM  | 875       |

| Activity Date | Allocation | Activity            |
|---------------|------------|---------------------|
| Feb-16-2016   | 254,922.5  | Corporate Full Call |
| Feb-16-2016   | 875        | Corporate Full Call |

Total Net Allocation: \$255,797.5

In the [Summary](#) area above, you can view details about this specific event.

The tab area below displays an [Option](#) twisty. The twisty is expanded by default. You can view the option's summary and [position](#) information. [Payment](#) activity is displayed here as well.

Click the **Expand All (+)** and **Collapse All (-)** icons to either expand or collapse all twisties on the page.

### Notes:

1. The tab will not appear until the position capture date, and only if you have position in a given event.
2. The tab also appears for event cancellations.

## Entitlements Tab Messages

| This situation  | Displays this message  |
|---|--|
| An adjustment related to this non-lottery event has been applied  | "Adjustment activity has been applied to your account."  |
| The DTC Cash Rate displayed on the <a href="#">Option</a> twisty differs from the DTC Cash Rate displayed on the <a href="#">Event Details</a> tab<br>and<br>There is an adjustment pending | <p>"There is an adjustment pending."</p> <p><b>Note:</b></p> <p>The message is displayed for three business days or until there is an allocation of any adjustment activity.</p> |
| Pre-allocation of rate adjustments (post primary CUSIP allocation)  | "An adjustment is pending due to a rate change. Refer to event details for the updated rate."  |
| Post-allocation of adjustments  | "Adjustment activity has been applied to your account."  |
| Mousing over the informational icon next to the <b>Allocated Amount</b> field in the <a href="#">Option</a> area  | "Allocated amount includes your primary allocation only. Refer to Payment Activity for the Total Net Allocation."  |
| Mousing over the informational icon next to the <b>Total Net Allocation</b> amount below all <b>Payment Activity</b>  | "This total net cash allocation amount includes both the primary allocation and any applicable adjustments to your account."   |

## Option Area

The Option twisty is opened by default. It displays:

- **Option** summary fields,
- A [Position](#) twisty (expanded by default),
- A [Payment](#) twisty (expanded by default), containing
- A [Payment Activity](#) twisty.

The information displayed in the Option summary area includes these fields:

| Field Name                   | Definition   |
|------------------------------|--|
| <b>Position</b>              | The eligible position for this option.   |
| <b>Declared Payable Date</b> | The payment date as announced by the issuer or offeror.  |
| <b>Principal Rate</b>        | The cash rate that reflects the amount of principal being paid.                                |
| <b>Interest Rate</b>         | The cash rate that reflects the payment of interest.   |
| <b>Total Cash Due</b>        | The amount that you can expect to see in cash as a result of this event.                       |
| <b>Allocated Amount</b>      | The amount of the primary allocation. It is only shown if the allocation has already occurred. |

## Position Area

The Position twisty is opened by default. It displays a table with the following columns:

- **Activity Date.** The date on which the position activity occurred.
- **Activity.** The type of position activity being described. Here on the Entitlements tab, this describes your entitlement position.
- **Position.** The amount on which the entitlement is based.
- **DTC Activity.** This field does not apply to Redemption events.

The number in parentheses next to the Position label indicates the number of position items contained in the table. For example, “Position (1)” indicates that you have one position for this particular event.

## Payment Area

The Payment twisty is displayed *only* if payments have occurred.

The number in parentheses next to the Payments label indicates the number of payout types contained in the table. For example, “Payment (2)” indicates that two payout types are available for this particular event.

| Field Name                      | Definition  |
|---------------------------------|---|
| <b>Payout Number</b>            | Number of the individual payout.<br><br>For example, payout 1 is principal and payout 2 is interest. This is in line with the payouts specified in the Event Details tab. |
| <b>Payout Type</b>              | The type of payout being made: <ul style="list-style-type: none"> <li>• Cash</li> <li>• Dividends</li> <li>• Principal</li> <li>• Interest</li> </ul>                     |
| <b>Amount Allocated</b>         | Amount paid out for each separate payment.  |
| <b>DTC Allocation Date/Time</b> | The date and time at which the allocation was made by DTC.  |
| <b>DTC Cash Rate</b>            | The rate of DTC's cash payout.  |

## Payment Activity

The Payment Activity twisty displays:

- The **Activity Date** of the payment.
- The **Allocation** amount that was paid.
- The type of **Activity** that the payment represents.

Underneath the table, you can see your **Total Net Allocation**. This is the sum of all payment activity that is displayed in the table above.

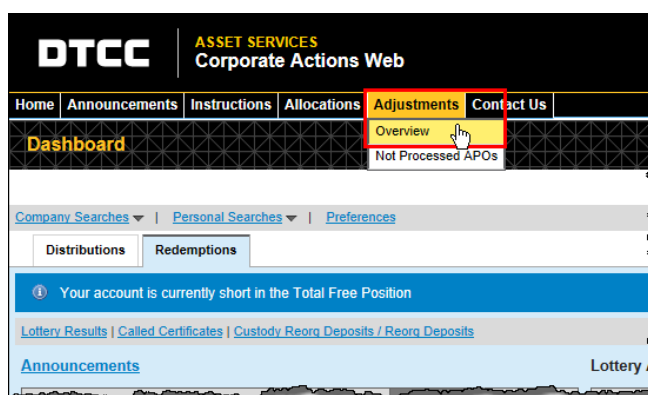
## Adjustments

### About the Adjustments Overview Page: “Redemptions” Tab

Adjustments include all entitlement and allocation activity that is outside the traditional pay date allocations. The **Adjustments Overview** page provides you with the ability to see all of your adjustments information in one place, across redemption types and for a range of fifteen business days.

From the menu bar:

1. Hover over **Adjustments**.
2. Click **Overview**.
3. Click the **Redemptions** tab.



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### Adjustments Overview

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Last Updated Feb-11-2016 10:28:36 AM

Adjustment History Search

Distributions | Redemptions

Expand All Collapse All

All Adjustments Unallocated Adjustments Allocated Adjustments

Show 7 Day History Adjustments for Today - Mar-29-2016 Show 7 Day Forecast

#### Cash (USD)

| Event Type        | Cash Total    |       | Rate       |       | Misc/GL      |       | Reorg Deposit |       | Custody Deposit |       |
|-------------------|---------------|-------|------------|-------|--------------|-------|---------------|-------|-----------------|-------|
|                   | Net Amount    | Count | Net Amount | Count | Net Amount   | Count | Net Amount    | Count | Net Amount      | Count |
| Final Paydown     | 10,801,988.88 | 16    | 0.00       | 0     | 1,478,138.58 | 7     | 0.00          | 0     | 9,323,850.30    | 9     |
| Full Call         | 596,286.98    | 37    | 343,772.71 | 27    | 0.00         | 0     | 0.00          | 0     | 252,514.27      | 10    |
| Full Prerefunding | 7,800,921.21  | 14    | 35,250.00  | 3     | 7,765,671.21 | 11    | 0.00          | 0     | 0.00            | 0     |
| Maturity          | 26,067,651.25 | 15    | -8,723.75  | 4     | 500,000.00   | 1     | 128,500.00    | 7     | 25,447,875.00   | 3     |
| Partial Call      | 509,801.05    | 31    | 580,483.45 | 27    | -123,064.40  | 3     | 0.00          | 0     | 52,382.00       | 1     |
| Total             | 45,776,649.37 | 113   | 950,782.41 | 61    | 9,620,745.39 | 22    | 128,500.00    | 7     | 35,076,621.57   | 23    |

#### MMI

| Event Type        | MMI Total  |       | MMI Rate   |       | MMI Misc/GL |       |
|-------------------|------------|-------|------------|-------|-------------|-------|
|                   | Net Amount | Count | Net Amount | Count | Net Amount  | Count |
| Full Prerefunding | 80,201.50  | 2     | 201.50     | 1     | 80,000.00   | 1     |
| Termination       | -12,622.14 | 14    | -12,622.14 | 8     | 0.00        | 6     |
| Total             | 67,579.36  | 16    | -12,420.64 | 9     | 80,000.00   | 7     |

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### 1. Last Updated Date and Time

This blue bar contains the latest time at which adjustments were made, allowing you to determine how recent the data is. This information will be updated every time an allocation is performed.

### 2. Adjustment History Search

Use the Adjustment History Search to research aged and allocated adjustments for distribution or redemption events. Click the link to open the twisty. Read more about this topic [here](#).

### 3. Adjustments Selection Buttons

The totals for your redemption adjustments are broken out by cash and MMI for the current business day.

Three radio buttons above the adjustment amounts allow you to view:

- **All Adjustments.** The default view. It represents the sum of the unallocated and allocated adjustments.
- **Unallocated Adjustments.** Adjustments that are anticipated to be posted to your account on this business day.
- **Allocated Adjustments.** Adjustments that have actually posted to your account on this business day.

These buttons allow you to segregate out what you can expect to be adjusted, what is actually adjusted, and what has not yet been adjusted.



#### 4. Show History/Today/Forecast

Three links above the Adjustments data allow you to change the time period for the Adjustments page:

- **Show 7 Day History**. Click to see the adjustments that have posted to your account in the last 7 days. You will only see dates on which adjustments posted to your account.
- **Adjustments for Today**. Click to see the default view, containing both allocated and non-allocated adjustments as of the date specified in the blue bar below the Quick Search.
- **Show 7-Day Forecast**. Click to see the adjustments that are anticipated to post to your account in the next 7 days. You will only see dates on which adjustments are anticipated to be posted to your account.

#### 5. Expand/Collapse All

Click the **Expand All** and **Collapse All** buttons to open and close all twisties on the page (**Cash** and **MMI**). Each twisty is automatically open if it contains any activity.

#### 6. Cash (USD) twisty

The first column contains the **Event Type**. Note that you will only see event types when a cash adjustment for that type of event either has been processed or may be processed.

To the right of the event type column are the adjustment types:

- **Cash Total**. The total of all cash adjustments for an event type.
- **Rate**. Cash adjustments due to rate changes.
- **Miscellaneous/GL**. Cash adjustments that have been manually created by DTC staff due to post-allocation cash adjustments.
- **Reorg Deposit**. Cash adjustments that are made due to reorg deposits.
- **Custody Deposit**. Cash adjustments that are made due to deposits using DTC's Custody services.

The last entry in any column represents the total for that adjustment type.

The adjustment counts and net amounts in the **Cash** column are the cumulative total of items in the remaining columns: your rate adjustments, miscellaneous general ledger adjustments, reorg deposits, and custody deposits. Credit balances are displayed in black; debit balances are displayed in red.

This is helpful in conjunction with the **radio buttons** above. Depending on the view you choose, you can see your total cash adjustments due, your total cash adjustments allocated, or your total cash adjustments that are unallocated today.

Each adjustment type column has two sub-columns:

- **Net Amount (USD)**. The amount represented by a type of adjustment within an individual event type.
  - In the **Cash Total** column, this is the net amount of all adjustments within an individual event type. It is the total of the other Net Amounts in that row. The last row in this sub-column represents the sum of all net adjustment activity

- In every other column, this is the net amount for that particular adjustment type within an individual event type. The last row in each of these columns represents the sum of the activity for that adjustment type across all events.
- **Count.** The number of adjustments that comprise the net amount for that adjustment type within an individual event type.
  - In the **Cash Total** column, this is the count for all adjustments within an individual event type. It is the total of the other counts in that row. The last row in this sub-column represents the total number of adjustments made.
  - In every other column, the count represents the number of adjustments for that particular adjustment type within an individual event type. The last row in this sub-column represents the sum of adjustments of that type made across all events.

The **Total** row of the **Cash Total** column displays the total amount and counts for all adjustments within the specified [status](#) and [time period](#).

If you need to see the actual breakdown of debits and credits, click any adjustment count hyperlink. This will bring you to a search results page that lists all of the individual adjustments in this particular count.

## 7. MMI twisty

The MMI twisty, for money market instrument adjustments, works in the same way as the Cash twisty.

The first column contains the **Event Type**. Note that you will only see event types when an MMI adjustment for that type of event either has been processed or may be processed.

To the right of the event type column are the adjustment types:

- **MMI Total.** The total of all MMI adjustments for an event type.
- **Rate.** MMI adjustments due to rate changes.
- **Miscellaneous/GL.** MMI adjustments that have been manually created by DTC staff due to post allocation cash adjustments.

The adjustment counts and net amounts in the **MMI Total** column are the cumulative total of items in the remaining columns: your rate adjustments and miscellaneous general ledger adjustments. Credit balances are displayed in black; debit balances are displayed in red.

This is helpful in conjunction with the [radio buttons](#) above. Depending on the view you choose, you can see your total MMI adjustments due, your total MMI adjustments that are unallocated today, or your total MMI adjustments that have been allocated.

Each adjustment type column has two sub-columns:

- **Net Amount (USD).** The amount represented by a type of adjustment within an individual event type.
  - In the **MMI Total** column, this is the net amount of all adjustments within an individual event type. It is the total of the other Net Amounts in that row. The last row in this sub-column represents the sum of all net adjustment activity

- In every other column, this is the net amount for that particular adjustment type within an individual event type. The last row in each of these columns represents the sum of the activity for that adjustment type across all events.
- **Count.** The number of adjustments that comprise the net amount for that adjustment type within an individual event type.
  - In the **MMI Total** column, this is the count for all adjustments within an individual event type. It is the total of the other counts in that row. The last row in this sub-column represents the total number of adjustments made.
  - In every other column, the count represents the number of adjustments for that particular adjustment type within an individual event type. The last row in this sub-column represents the sum of adjustments of that type made across all events.

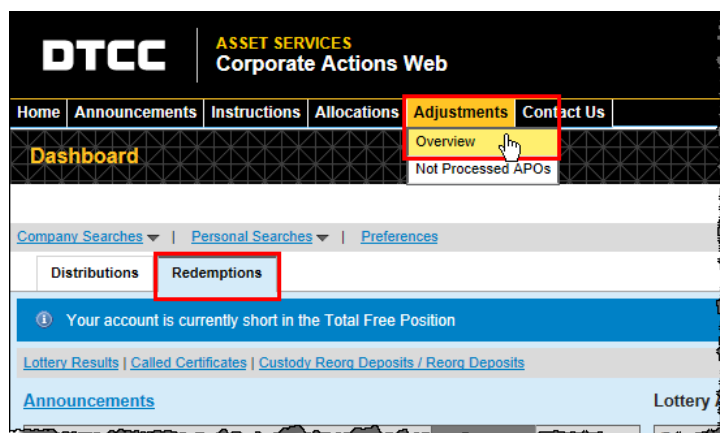
The **Total** row of the **MMI Total** column displays the total amount and counts for all adjustments within the specified [status](#) and [time period](#).

If you need to see the actual breakdown of debits and credits, click any adjustment count hyperlink. This will bring you to a search results page that lists all of the individual adjustments in this particular count.

## Adjustments Overview Page: Viewing a 7 Day History

To view your seven-day redemption adjustment history from anywhere in CA Web:

1. Hover over **Adjustments** on the menu bar.
2. Click **Overview**.
3. Click the **Redemptions** tab.



4. Click **Show 7 Day History**.  
The Adjustments Overview–7 Day History page appears.

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### Adjustment Overview - 7 Day History

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Activity is only shown for days where Adjustments have been posted to your account.

Distributions **Redemptions**

[Expand All](#) [Collapse All](#)

[Show 7 Day History](#) [Adjustments for Today - Mar-29-2016](#) [Show 7 Day Forecast](#)

#### ▼ Cash (USD)

| DTC Post Date | Cash Total            |            | Rate             |           | Misc/GL               |           | Reorg Deposit    |          | Custody Deposit  |          |
|---------------|-----------------------|------------|------------------|-----------|-----------------------|-----------|------------------|----------|------------------|----------|
|               | Net Amount            | Count      | Net Amount       | Count     | Net Amount            | Count     | Net Amount       | Count    | Net Amount       | Count    |
| Mar-28-2016   | 304,862,650.82        | 91         | -139,224.94      | 23        | 304,956,875.76        | 65        | 25,000.00        | 2        | 20,000.00        | 1        |
| Mar-24-2016   | 7,500.00              | 1          | 0.00             | 0         | 0.00                  | 0         | 7,500.00         | 1        | 0.00             | 0        |
| Mar-23-2016   | 1,156,978.46          | 6          | 26,841.88        | 1         | 1,120,134.02          | 3         | 0.00             | 0        | 10,002.56        | 2        |
| Mar-22-2016   | 1,008,548.25          | 19         | 158,399.97       | 15        | 850,148.28            | 4         | 0.00             | 0        | 0.00             | 0        |
| <b>Total</b>  | <b>307,035,677.53</b> | <b>117</b> | <b>46,016.91</b> | <b>39</b> | <b>306,927,158.06</b> | <b>72</b> | <b>32,500.00</b> | <b>3</b> | <b>30,002.56</b> | <b>3</b> |

#### ▼ MMI

| DTC Post Date | MMI Total            |           | MMI Rate          |          | MMI Misc/GL          |          |
|---------------|----------------------|-----------|-------------------|----------|----------------------|----------|
|               | Net Amount           | Count     | Net Amount        | Count    | Net Amount           | Count    |
| Mar-28-2016   | 161,589.95           | 3         | 0.00              | 0        | 161,589.95           | 3        |
| Mar-24-2016   | 20,134,805.19        | 4         | 0.00              | 0        | 20,134,805.19        | 4        |
| Mar-23-2016   | 1,769.45             | 1         | 1,769.45          | 1        | 0.00                 | 0        |
| Mar-22-2016   | 845,225.05           | 5         | 478,984.16        | 4        | 366,240.89           | 1        |
| <b>Total</b>  | <b>21,143,389.64</b> | <b>13</b> | <b>480,753.61</b> | <b>5</b> | <b>20,662,636.03</b> | <b>8</b> |

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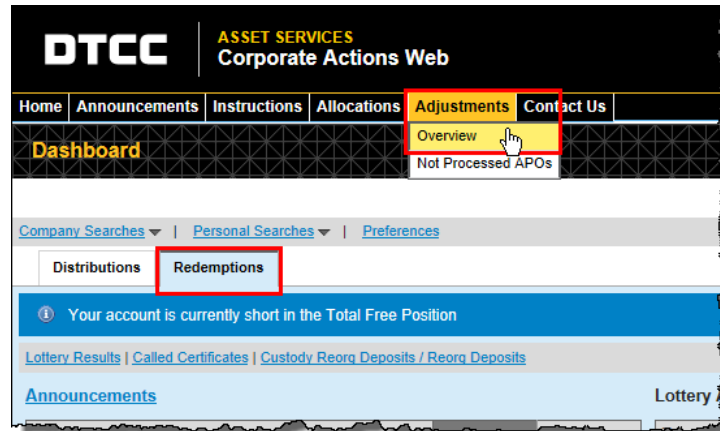
**Notes:**

- The **Events** column from the Adjustment Overview page is replaced with a **DTC Post Date** column on the History page. Items are listed for the last seven days, starting with the business day before this one.
  - The **Cash Total** and **MMI Total** columns each present a summation of all activity across adjustment types for an individual date in the range.
  - The final **Total** row in each entitlement type table totals all activity for the past seven days within each individual event type.
  - The final **Total** row within the **Cash Total** and **MMI Total** columns represents the grand total of all adjustments within the date range.
  - Click **Expand All** to open all of the entitlement type tables and **Collapse All** to close all of them.
  - See the [Adjustments Overview](#) topic for more information about this page.
- Click the number in any **Count** column to view search results for that adjustment type on the listed date.
  - Return to today's listing by clicking the **Adjustments for Today** link above the table.

## Adjustment Overview Page: Viewing a 7 Day Forecast

To view your seven-day redemption adjustment forecast from anywhere in CA Web:

1. Hover over **Adjustments** on the menu bar.
2. Click **Overview**.
3. Click the **Redemptions** tab.



4. Click **Show 7 Day Forecast**.  
The Adjustments Overview–7 Day Forecast page appears.

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Adjustment Overview - 7 Day Forecast

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Distributions

Redemptions

[+ Expand All](#)
[- Collapse All](#)

?

Show 7 Day History

Adjustments for Today - Mar-29-2016

[Show 7 Day Forecast](#)

Cash (USD)

| DTC Post Date | Cash Total     |       | Rate       |       | Misc/GL        |       | Reorg Deposit |       | Custody Deposit |       |
|---------------|----------------|-------|------------|-------|----------------|-------|---------------|-------|-----------------|-------|
|               | Net Amount     | Count | Net Amount | Count | Net Amount     | Count | Net Amount    | Count | Net Amount      | Count |
| Mar-30-2016   | 127,752.82     | 33    | 15,870.43  | 26    | 110,380.29     | 5     | 1,500.00      | 1     | 2.10            | 1     |
| Mar-31-2016   | 23,874,965.39  | 11    | 4,627.91   | 7     | 23,870,337.48  | 4     | 0.00          | 0     | 0.00            | 0     |
| Apr-01-2016   | 1,887,426.96   | 57    | 280,090.98 | 45    | 1,607,333.10   | 11    | 0.00          | 0     | 2.88            | 1     |
| Apr-04-2016   | 233,902,416.68 | 87    | 302,043.30 | 51    | 233,600,373.38 | 36    | 0.00          | 0     | 0.00            | 0     |
| Apr-05-2016   | 22,324,225.67  | 31    | -12,261.98 | 26    | 22,336,487.65  | 5     | 0.00          | 0     | 0.00            | 0     |
| Apr-06-2016   | 338,298.55     | 18    | -8,533.91  | 7     | 346,832.46     | 11    | 0.00          | 0     | 0.00            | 0     |
| Total         | 282,455,086.07 | 237   | 581,836.73 | 162   | 281,871,744.36 | 72    | 1,500.00      | 1     | 4.98            | 2     |

MMI

| DTC Post Date | MMI Total      |       | MMI Rate   |       | MMI Misc/GL    |       |
|---------------|----------------|-------|------------|-------|----------------|-------|
|               | Net Amount     | Count | Net Amount | Count | Net Amount     | Count |
| Mar-31-2016   | 5,968,714.48   | 3     | 1,130.11   | 2     | 5,967,584.37   | 1     |
| Apr-01-2016   | 499.14         | 4     | 499.14     | 4     | 0.00           | 0     |
| Apr-04-2016   | -22,615,542.69 | 19    | 3,785.45   | 16    | -22,619,328.14 | 3     |
| Total         | -16,646,329.07 | 26    | 5,414.70   | 22    | -16,651,743.77 | 4     |

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**Notes:**

- The **Events** column from the Adjustment Overview page is replaced with a DTC Post Date column on the Forecast page. Expected items are listed for the coming seven business days, starting with the business day after this one.
- The **Cash Total** and **MMI Total** columns each present a summation of all expected activity across adjustment types for an individual date in the range.
- The final **Total** row in each entitlement type table totals all expected activity for the coming seven business days within each individual event type.
- The final **Total** row within the **Cash Total** and **MMI Total** columns represents the grand total of all expected adjustments within the date range.
- Click **Expand All** to open all of the entitlement type tables and **Collapse All** to close all of them.
- See the [Adjustment Overview](#) topic for more information about this page.

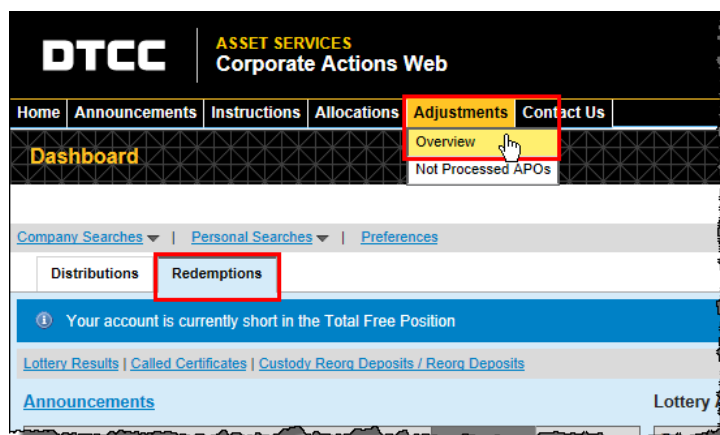
5. Click the number in any **Count** column to view search results for that adjustment type on the listed date.
6. Return to today's listing by clicking the **Adjustments for Today** link above the table.

## Viewing Adjustments

You can view adjustments by clicking one of the links in the Adjustments compartment on the Redemptions [Dashboard](#) to get to an Adjustments search results page. Alternately, you can use the menu bar.

To view an individual event via the Adjustments [Overview](#) page:

1. Hover over **Adjustments** on the menu bar.
2. Click **Overview**.



This opens the Adjustments Overview page.

3. Click the **Redemptions** tab.
4. If applicable, select the adjustment allocation status and/or time period:

- All Adjustments, Allocated Adjustments or Unallocated Adjustments.
  - Today, 7-Day History, or 7-Day Forecast.
5. Click the record count in any **Count** column.

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### Adjustments Overview

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Adjustment History Search

Distributions | **Redemptions**

+ Expand All | - Collapse All

☐ All Adjustments | ☐ Unallocated Adjustments | ☒ Allocated Adjustments

Show 7 Day History | Adjustments for Today - Mar-29-2016 Allocated Adjustments | Show 7 Day Forecast

#### ▼ Cash (USD)

| Event Type        | Cash Total           |           | Rate              |           | Misc/GL             |           | Reorg Deposit    |          | Custody Deposit      |           |
|-------------------|----------------------|-----------|-------------------|-----------|---------------------|-----------|------------------|----------|----------------------|-----------|
|                   | Net Amount           | Count     | Net Amount        | Count     | Net Amount          | Count     | Net Amount       | Count    | Net Amount           | Count     |
| Final Paydown     | 1,883,426.51         | 5         | 0.00              | 0         | 937,881.87          | 4         | 0.00             | 0        | 945,544.64           | 1         |
| Full Call         | 422,283.94           | 20        | 169,769.67        | 10        | 0.00                | 0         | 0.00             | 0        | 252,514.27           | 10        |
| Full Prerefunding | 2,832,086.44         | 4         | 0.00              | 0         | 2,832,086.44        | 4         | 0.00             | 0        | 0.00                 | 0         |
| Maturity          | 25,880,952.50        | 9         | -5,922.50         | 3         | 500,000.00          | 1         | 21,500.00        | 3        | 25,365,375.00        | 2         |
| Partial Call      | 152,321.28           | 16        | 223,971.48        | 13        | -124,032.20         | 2         | 0.00             | 0        | 52,382.00            | 1         |
| <b>Total</b>      | <b>31,171,070.67</b> | <b>54</b> | <b>387,818.65</b> | <b>26</b> | <b>4,145,936.11</b> | <b>11</b> | <b>21,500.00</b> | <b>3</b> | <b>26,615,815.91</b> | <b>14</b> |

#### ▼ MMI

| Event Type        | MMI Total        |          | MMI Rate          |          | MMI Misc/GL      |          |
|-------------------|------------------|----------|-------------------|----------|------------------|----------|
|                   | Net Amount       | Count    | Net Amount        | Count    | Net Amount       | Count    |
| Full Prerefunding | 80,000.00        | 1        | 0.00              | 0        | 80,000.00        | 1        |
| Termination       | -12,622.14       | 8        | -12,622.14        | 8        | 0.00             | 0        |
| <b>Total</b>      | <b>67,377.86</b> | <b>9</b> | <b>-12,622.14</b> | <b>8</b> | <b>80,000.00</b> | <b>1</b> |

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The Adjustments search results page appears for all events of that type and status.

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Tue Mar 29 2016 11:01:16 GMT-0400

**Redemptions - Adjustments - All - Cash (USD) - Cash Total - Final Paydown - Mar-29-2016 - Search Results**

[Return to Previous Page](#)
Print
CA ID

Displaying 1 to 16 of 16 items
Filter
Customize Result Columns
Export to Excel
Page 1 of 1

| CA ID    | CUSIP     | Event Security Description               | Event Type    | Sub Event Type | Record Date | Declared Payable Date | DTC Post Date | Type            | Amount  |
|----------|-----------|--|---------------|----------------|-------------|-----------------------|---------------|-----------------|---------|
| 95677109 | 12622DAA2 | COMM 2010-C1 MORTGAGE TRUST              | Final Paydown |                | Nov-13-2015 | Nov-13-2015           | Mar-29-2016   | Misc GL         | 346.5   |
| 95677109 | 12622DAA2 | COMM 2010-C1 MORTGAGE TRUST              | Final Paydown |                | Nov-13-2015 | Nov-13-2015           | Mar-29-2016   | Misc GL         | 231.2   |
| 95677218 | 304727AJ9 | FAIRFIELD STREET SOLAR 2004-1,           | Final Paydown |                | Nov-13-2015 | Nov-30-2015           | Mar-29-2016   | Custody Deposit | 945.5   |
| 95677218 | 304727AJ9 | FAIRFIELD STREET SOLAR 2004-1,           | Final Paydown |                | Nov-13-2015 | Nov-30-2015           | Mar-29-2016   | Custody Deposit | 1,112.4 |
| 95677218 | 304727AJ9 | FAIRFIELD STREET SOLAR 2004-1,           | Final Paydown |                | Nov-13-2015 | Nov-30-2015           | Mar-29-2016   | Custody Deposit | 945.5   |
| 95677218 | 304727AJ9 | FAIRFIELD STREET SOLAR 2004-1,           | Final Paydown |                | Nov-13-2015 | Nov-30-2015           | Mar-29-2016   | Custody Deposit | 1,112.4 |
| 95677218 | 304727AJ9 | FAIRFIELD STREET SOLAR 2004-1,           | Final Paydown |                | Nov-13-2015 | Nov-30-2015           | Mar-29-2016   | Custody Deposit | 945.5   |
| 95677218 | 304727AJ9 | FAIRFIELD STREET SOLAR 2004-1,           | Final Paydown |                | Nov-13-2015 | Nov-30-2015           | Mar-29-2016   | Custody Deposit | 1,112.4 |
| 95677220 | 304727AL4 | FAIRFIELD STREET SOLAR 2004-1,           | Final Paydown |                | Nov-13-2015 | Nov-30-2015           | Mar-29-2016   | Custody Deposit | 1,050.0 |
| 95677220 | 304727AL4 | FAIRFIELD STREET SOLAR 2004-1,           | Final Paydown |                | Nov-13-2015 | Nov-30-2015           | Mar-29-2016   | Custody Deposit | 1,050.0 |
| 95677220 | 304727AL4 | FAIRFIELD STREET SOLAR 2004-1,           | Final Paydown |                | Nov-13-2015 | Nov-30-2015           | Mar-29-2016   | Custody Deposit | 1,050.0 |
| 95677421 | 78446XAA3 | SG STRUCTURED PRODUCTS, INC. (SERIES 98) | Final Paydown |                | Nov-13-2015 | Nov-16-2015           | Mar-29-2016   | Misc GL         | 180.0   |
| 95677421 | 78446XAA3 | SG STRUCTURED                            | Final Paydown |                | Nov-13-2015 | Nov-16-2015           | Mar-29-2016   | Misc GL         | 180.0   |

Displaying 1 to 16 of 16 items
Filter
Customize Result Columns
Export to Excel
Page 1 of 1

**Filter Search Criteria**  
CUSIP  
  
Search Reset

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- This page displays up to 3000 results.
- You can sort these results by clicking on any of the column headings.
- You can export these results to Excel by clicking on the **Export to Excel** link. When you export your results to Excel, you will export all results—not just the ones that appear on the page.
- You can print these results by clicking on the **Print** icon. When you print your results, you will only print the results that appear on the page.
- Click **Filter** to refine the results by any applicable criteria.

6. Click any **CA ID** number to view that event.



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Fri Apr 08 2016 09:35:05 GMT-0400

**Record Detail Page - 95677109**

[Return to Previous Page](#)
Print
CA ID

CUSIP: 12622DAA2 | Issue Description: COMMERCIAL MORTGAGE PASS-THROUGH CERTIFICATES | Issuer Description: COMM 2010-C1 MORTGAGE TRUST | Asset Class: Corporate Debt | Asset Type: Collateralized Mtge Obligation or Global CMO |  
Event Group: Redemptions | Event Type: Final Paydown | Country of Incorporation: US | Processed at DTC: Yes | DTC Eligible: Yes  
Declared Mandatory / Voluntary: Mandatory | DTC Mandatory / Voluntary: Mandatory | ISO Core M/V: MAND | ISO Event Code: -- Select Action --  
MCAL

Workflow Status: Approved | XBRL Indicator: No
System Data

Event Details | Comments | Related Events | Entitlements | **Adjustments**

**Event Summary**

| CUSIP     | Event Type    | Declared Payable Date |
|-----------|---------------|-----------------------|
| 12622DAA2 | Final Paydown | Nov-13-2015           |

Expand All Collapse All

**Misc GL (6)**

Displaying 1 to 6 of 6 items
Filter Export to Excel Page 1 of 1

| Option | Option Type | Post Date   | Adjustment Amount | Allocation Date/Time    | Comments             |
|--------|-------------|-------------|-------------------|-------------------------|----------------------|
| 1      | Cash        | Apr-04-2016 | 346,505.16        | Mar-12-2016 07:28:39 PM | <a href="#">View</a> |
| 1      | Cash        | Apr-04-2016 | 231,205.57        | Mar-12-2016 07:28:39 PM | <a href="#">View</a> |
| 1      | Cash        | Mar-30-2016 | 346,505.16        | Feb-24-2016 08:21:56 PM | <a href="#">View</a> |
| 1      | Cash        | Mar-30-2016 | 231,205.57        | Feb-24-2016 08:21:56 PM | <a href="#">View</a> |
| 1      | Cash        | Nov-17-2015 | 346,505.16        | Mar-12-2016 07:28:39 PM | <a href="#">View</a> |
| 1      | Cash        | Nov-17-2015 | 231,205.57        | Mar-12-2016 07:28:39 PM | <a href="#">View</a> |

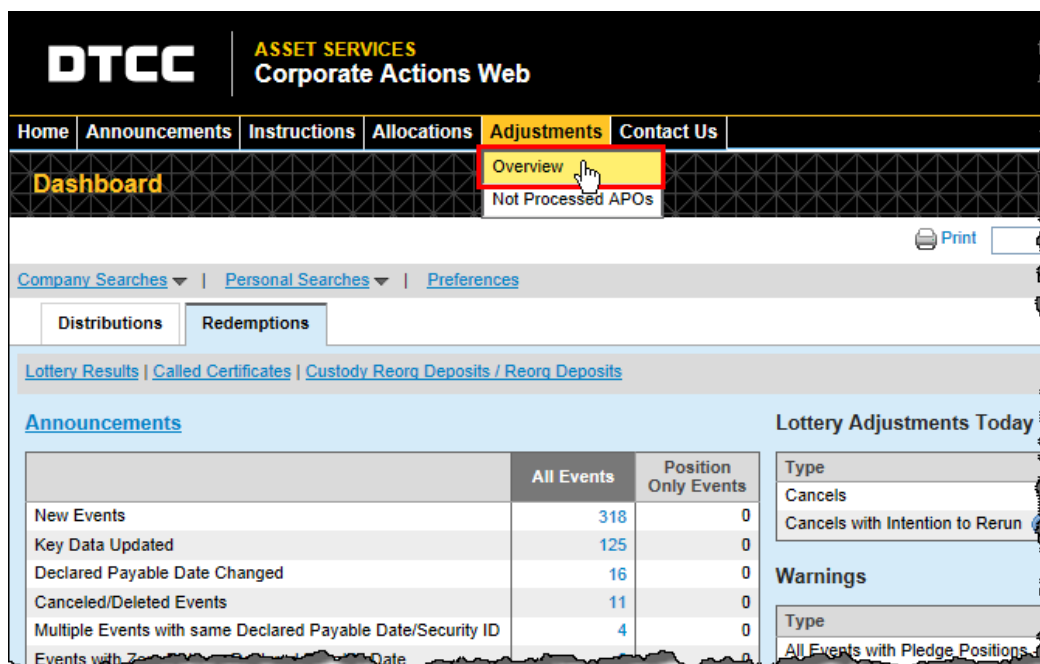
Displaying 1 to 6 of 6 items
Filter Export to Excel Page 1 of 1

The Record Detail page appears in that browser window, displaying the **Adjustments** tab. Adjustments relating to this CA ID are displayed on this page.

## Adjustment History Search

Use the Adjustment History Search to research aged and allocated adjustments.

1. Click **Adjustments > Overview** on the top menu bar.



This opens the Adjustments Overview page.

- Click **Adjustment History Search**.

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Thu Apr 14 2016 11:03:51 GMT-0400

Adjustments Overview

Print CA ID

Last Updated Feb-11-2016 10:28:36 AM

Adjustment History Search

Distributions
Redemptions

Expand All
Collapse All

☒ All Adjustments
☐ Unallocated Adjustments
☐ Allocated Adjustments

Show 7 Day History Adjustments for Today - Apr-14-2016 Show 7 Day Forecast

Cash (USD)

| Event Type        | Cash Total    |       | Rate       |       | Misc/GL      |       | Reorg Deposit |       | Custody Deposit |       |
|-------------------|---------------|-------|------------|-------|--------------|-------|---------------|-------|-----------------|-------|
|                   | Net Amount    | Count | Net Amount | Count | Net Amount   | Count | Net Amount    | Count | Net Amount      | Count |
| Final Paydown     | 10,801,988.88 | 16    | 0.00       | 0     | 1,478,138.58 | 7     | 0.00          | 0     | 9,323,850.30    | 9     |
| Full Call         | 596,286.98    | 37    | 343,772.71 | 27    | 0.00         | 0     | 0.00          | 0     | 252,514.27      | 10    |
| Full Prerefunding | 7,800,921.21  | 14    | 35,250.00  | 3     | 7,765,671.21 | 11    | 0.00          | 0     | 0.00            | 0     |
| Maturity          | 26,067,651.25 | 15    | -8,723.75  | 4     | 500,000.00   | 1     | 128,500.00    | 7     | 25,447,875.00   | 3     |
| Partial Call      | 509,801.05    | 31    | 580,483.45 | 27    | -123,064.40  | 3     | 0.00          | 0     | 52,382.00       | 1     |
| Total             | 45,776,649.37 | 113   | 950,782.41 | 61    | 9,620,745.39 | 22    | 128,500.00    | 7     | 35,076,621.57   | 23    |

MMI

| Event Type        | MMI Total  |       | MMI Rate   |       | MMI Misc/GL |       |
|-------------------|------------|-------|------------|-------|-------------|-------|
|                   | Net Amount | Count | Net Amount | Count | Net Amount  | Count |
| Full Prerefunding | 80,201.50  | 2     | 201.50     | 1     | 80,000.00   | 1     |
| Termination       | -12,622.14 | 14    | -12,622.14 | 8     | 0.00        | 6     |
| Total             | 67,579.36  | 16    | -12,420.64 | 9     | 80,000.00   | 7     |

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This displays the Adjustment History Search selection criteria.

3. Enter your search criteria and click **Search**.

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### Adjustments Overview

Print CA ID

Last Updated Feb-11-2016 10:28:36 AM

Adjustment History Search

Event Group \*  
☐ Distributions ☒ Redemptions

Adjustment Type \*  
 Cash Adjustments - All

CUSIP and/or \* DTC Post Date 01/01/2016 + 90 Days (up to 90)

**Search** Reset

Dis Click to Search demptions

Expand All Collapse All

All Adjustments Unallocated Adjustments Allocated Adjustments

Show 7 Day History Adjustments for Today - Apr-14-2016 Show 7 Day Forecast

#### Cash (USD)

| Event Type        | Cash Total    |       | Rate       |       | Misc/GL      |       | Reorg Deposit |       | Custody Deposit |       |
|-------------------|---------------|-------|------------|-------|--------------|-------|---------------|-------|-----------------|-------|
|                   | Net Amount    | Count | Net Amount | Count | Net Amount   | Count | Net Amount    | Count | Net Amount      | Count |
| Final Paydown     | 10,801,988.88 | 16    | 0.00       | 0     | 1,478,138.58 | 7     | 0.00          | 0     | 9,323,850.30    | 9     |
| Full Call         | 596,286.98    | 37    | 343,772.71 | 27    | 0.00         | 0     | 0.00          | 0     | 252,514.27      | 10    |
| Full Prerefunding | 7,800,921.21  | 14    | 35,250.00  | 3     | 7,765,671.21 | 11    | 0.00          | 0     | 0.00            | 0     |
| Maturity          | 26,067,651.25 | 15    | -8,723.75  | 4     | 500,000.00   | 1     | 128,500.00    | 7     | 25,447,875.00   | 3     |
| Partial Call      | 509,801.05    | 31    | 580,483.45 | 27    | -123,064.40  | 3     | 0.00          | 0     | 52,382.00       | 1     |
| Total             | 45,776,649.37 | 113   | 950,782.41 | 61    | 9,620,745.39 | 22    | 128,500.00    | 7     | 35,076,621.57   | 23    |

#### MMI

| Event Type        | MMI Total  |       | MMI Rate   |       | MMI Misc/GL |       |
|-------------------|------------|-------|------------|-------|-------------|-------|
|                   | Net Amount | Count | Net Amount | Count | Net Amount  | Count |
| Full Prerefunding | 80,201.50  | 2     | 201.50     | 1     | 80,000.00   | 1     |
| Termination       | -12,622.14 | 14    | -12,622.14 | 8     | 0.00        | 6     |
| Total             | 67,579.36  | 16    | -12,420.64 | 9     | 80,000.00   | 7     |

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- Click the **Redemptions** radio button.
- Adjustment Type** is required. Select one from the drop-down list.
- You must select either the **CUSIP** or the **DTC Post Date**.  
You can use both criteria, but you must use at least one.
- For the **DTC Post Date**, you can select a calendar date plus or minus a range of days (up to 90).
- You can set all fields back to blank by clicking **Reset**.

The search results page lists all adjustments that match your search criteria. Your criteria are listed at the top of the page.

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Thu Apr 14 2016 11:02:44 GMT-0400

**Redemptions - Adjustments - Cash Adjustments - All - Jan-01-2016 Plus 90 Days - Allocated - Search Results**

[Return to Previous Page](#)
Print
CA ID

Displaying 1 to 12 of 12 items
Filter Customize Result Columns Export to Excel Page 1 of 1

| CA ID                    | CUSIP     | Event Security Description                | Event Type    | Sub Event Type | Record Date | Declared Payable Date | DTC Post Date | Type            | Amount    |
|--------------------------|-----------|---|---------------|----------------|-------------|-----------------------|---------------|-----------------|-----------|
| <a href="#">96612502</a> | 199648AA4 | COLUMBUSNOVA CLO LTD. 2006-1/             | Final Paydown |                | Jan-06-2016 | Jan-19-2016           | Jan-19-2016   | Misc GL         | 899,674   |
| <a href="#">96746731</a> | U01176AD5 | ALCATEL-LUCENT USA INC                    | Full Call     |                | Jan-27-2016 | Feb-10-2016           | Mar-23-2016   | Rate Change     | 7         |
| <a href="#">96747069</a> | 05947UVD7 | BANC OF AMERICA COMMERCIAL MORTGAGE, INC. | Final Paydown |                | Jan-11-2016 | Jan-11-2016           | Jan-13-2016   | Misc GL         | 9,879,200 |
| <a href="#">96754953</a> | 36228CW22 | GS MORTGAGE SECURITIES CORPORATION II     | Final Paydown |                | Jan-12-2016 | Jan-12-2016           | Jan-13-2016   | Misc GL         | 467,888   |
| <a href="#">96754953</a> | 36228CW22 | GS MORTGAGE SECURITIES CORPORATION II     | Final Paydown |                | Jan-12-2016 | Jan-12-2016           | Jan-13-2016   | Misc GL         | 467,888   |
| <a href="#">96758938</a> | 78447UAE0 | SMART ABS SER 2013-2US TR                 | Final Paydown |                | Jan-13-2016 | Jan-14-2016           | Jan-14-2016   | Misc GL         | 4,087,066 |
| <a href="#">96758938</a> | 78447UAE0 | SMART ABS SER 2013-2US TR                 | Final Paydown |                | Jan-13-2016 | Jan-14-2016           | Jan-14-2016   | Misc GL         | 4,087,066 |
| <a href="#">96781642</a> | 46625YP64 | JPMORGAN CHASE COMMERCIAL MORTGAGE SECUR  | Final Paydown |                | Jan-15-2016 | Jan-15-2016           | Jan-20-2016   | Misc GL         | 820,269   |
| <a href="#">96781642</a> | 46625YP64 | JPMORGAN CHASE COMMERCIAL MORTGAGE SECUR  | Final Paydown |                | Jan-15-2016 | Jan-15-2016           | Jan-20-2016   | Misc GL         | 820,269   |
| <a href="#">96828451</a> | 29372EBG2 | ENTERPRISE FLEET FING LLC                 | Final Paydown |                | Jan-19-2016 | Jan-20-2016           | Jan-22-2016   | Rate Change     | -1,153    |
| <a href="#">96878728</a> | 04542BPX4 | SAND TRUST 2001-1                         | Final Paydown |                | Jan-22-2016 | Jan-25-2016           | Jan-25-2016   | Misc GL         | 18,828    |
| <a href="#">96934695</a> | FHF83UQ20 | MASSACHUSETTS ST DEV FIN AGY REV          | Full Call     |                | Jan-26-2016 | Dec-31-2015           | Mar-24-2016   | Custody Deposit | 2         |

Displaying 1 to 12 of 12 items
Filter Customize Result Columns Export to Excel Page 1 of 1

**Filter Search Criteria**

CUSIP

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- Click any **CA ID** link to view that adjustment record.  
You can also scroll through the pages (if applicable) to find the adjustment record you need.
- You can further limit your results by typing a CUSIP in the **Filter Search Results** area and clicking **Search**.  
This limits your Adjustments search results to only those items with your selected CUSIP that meet the original search parameters.

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Thu Apr 14 2016 10:58:03 GMT-0400

**Redemptions - Adjustments - Cash Adjustments - All - 01377RAA1 - Allocated - Search Results**

[Return to Previous Page](#)

Print

CA ID

Displaying 1 to 9 of 9 items

Filter

Customize Result Columns

Export to Excel

Page 1 of 1

| CA ID                    | CUSIP     | Event Security Description | Event Type | Sub Event Type | Record Date | Declared Payable Date | DTC Post Date | Type        | Amount       |
|--------------------------|-----------|----------------------------|------------|----------------|-------------|-----------------------|---------------|-------------|--------------|
| <a href="#">96746732</a> | 01377RAA1 | ALCATEL-LUCENT USA INC     | Full Call  |                | Jan-27-2016 | Feb-10-2016           | Apr-09-2016   | Rate Change | 28,695.80    |
| <a href="#">96746732</a> | 01377RAA1 | ALCATEL-LUCENT USA INC     | Full Call  |                | Jan-27-2016 | Feb-10-2016           | Apr-09-2016   | Rate Change | 792.50       |
| <a href="#">96746732</a> | 01377RAA1 | ALCATEL-LUCENT USA INC     | Full Call  |                | Jan-27-2016 | Feb-10-2016           | Apr-09-2016   | Rate Change | 2,191.88     |
| <a href="#">96746732</a> | 01377RAA1 | ALCATEL-LUCENT USA INC     | Full Call  |                | Jan-27-2016 | Feb-10-2016           | Apr-11-2016   | Rate Change | 26,841.88    |
| <a href="#">96746732</a> | 01377RAA1 | ALCATEL-LUCENT USA INC     | Full Call  |                | Jan-27-2016 | Feb-10-2016           | Apr-09-2016   | Rate Change | 71.49        |
| <a href="#">96746732</a> | 01377RAA1 | ALCATEL-LUCENT USA INC     | Full Call  |                | Jan-27-2016 | Feb-10-2016           | Apr-09-2016   | Rate Change | 24.65        |
| <a href="#">96746732</a> | 01377RAA1 | ALCATEL-LUCENT USA INC     | Full Call  |                | Jan-27-2016 | Feb-10-2016           | Apr-09-2016   | Rate Change | 2,563.60     |
| <a href="#">96746732</a> | 01377RAA1 | ALCATEL-LUCENT USA INC     | Full Call  |                | Jan-27-2016 | Feb-10-2016           | Apr-16-2016   | Misc GL     | 2,168,845.40 |
| <a href="#">96746732</a> | 01377RAA1 | ALCATEL-LUCENT USA INC     | Full Call  |                | Jan-27-2016 | Feb-10-2016           | Apr-16-2016   | Misc GL     | 493.00       |

Displaying 1 to 9 of 9 items

Filter

Customize Result Columns

Export to Excel

Page 1 of 1

**Filter Search Criteria**

CUSIP

01377RAA1

Search

Reset

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# REORGANIZATIONS

## Dashboard

### About the Reorganizations Dashboard

The Dashboard provides you with one convenient launch page that allows you to view all items in CA Web that potentially need your attention. Reorganization items are available on the **Reorganizations** tab.

From the menu bar:

1. Click **Announcements**.
2. Click **Dashboard**.

The screenshot displays the DTCC Corporate Actions Web interface. At the top, the header includes the DTCC logo, 'Asset Services', 'Corporate Actions Web', and a timestamp 'Wed Jun 20 2018 13:33:37 GMT-0400'. Navigation links for 'Contact Us' and 'DTCC.com' are also present. Below the header, a menu bar contains 'Home', 'Announcements', 'Instructions', 'Allocations', and 'Adjustments'. The 'Announcements' dropdown menu is open, showing options: 'Dashboard' (highlighted with a red box and a mouse cursor), 'Overview', 'Event Search', 'Watchlist', and 'Factor Search'. The main content area features a search bar with a 'CA ID' dropdown and a 'Load' button. Below this, there are filters for 'Event Group' (Distributions, Redemptions, Reorganizations), 'CA Identifier', 'CUSIP', 'Event Security Description Starts with', 'Event/Sub Type', and 'Limit to' (Position). A 'Search' button and a 'Reset' button are located at the bottom of the filter section. A 'Save This Search' button with a plus icon is at the bottom right. The footer contains the DTCC logo and links for 'Contact Us', 'Support', 'Privacy', and 'Terms of Use', along with the copyright notice 'DTCC © 2017 All Rights Reserved'.

3. Click the **Reorganizations** tab.

**DTCC** Asset Services **Corporate Actions Web** Wed Jun 20 2018 13:36:38 GMT-0400 Contact Us DTCC.com Test User Logout

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### Dashboard

CA ID

Company Searches | Personal Searches | Preferences

Distributions Redemptions **Reorganizations** Custody Reorg Deposits / Reorg Deposits

#### Announcements

| Type                    | Expiring within 5 Days |                      | All Events |                      |
|-------------------------|------------------------|----------------------|------------|----------------------|
|                         | All Events             | Position Only Events | All Events | Position Only Events |
| New Events              | 0                      | 0                    | 2          | 1                    |
| Amended Events          | 0                      | 0                    | 5          | 3                    |
| Key Data Updated        | 0                      | 0                    | 2          | 2                    |
| Extended Expirations    | 0                      | 0                    | 0          | 0                    |
| Canceled/Deleted Events | 0                      | 0                    | 0          | 0                    |

#### Warnings - Mandatory and Mandatory with Option Events

| Type  | Events |
|---|--------|
| All Events with Pledge Positions - Allocating within 5 Days | 2      |
| All Events with Pledge Positions - Post Allocation          | 133    |

#### Allocations (Today)

Last Updated: Jun-20-2018 01:32:13 PM

| Type       | Total Due        |       | Unallocated      |       | Allocated    |       |
|------------|------------------|-------|------------------|-------|--------------|-------|
|            | Amount*          | Count | Amount*          | Count | Amount*      | Count |
| Cash (USD) | 4,798,225,313.63 | 90    | 4,790,085,978.58 | 81    | 8,139,335.05 | 9     |
| MMI        | 2,236,824.00     | 8     | 2,236,824.00     | 8     | 0.00         | 0     |
| Security   | N/A              | 72    | N/A              | 64    | N/A          | 8     |
| Cash (CAD) | 0.00             | 0     | 0.00             | 0     | 0.00         | 0     |

\* Amounts only apply to cash allocations and not security allocations.

#### Adjustments (Today)

Last Updated: Jun-20-2018 01:32:13 PM

| Cash (USD)      | Adjustments  |       |
|-----------------|--------------|-------|
|                 | Net Amount   | Count |
| Cash Total      | 6,525,150.66 | 46    |
| Misc/GL         | 0.00         | 0     |
| Reorg Deposit   | 0.00         | 0     |
| Custody Deposit | 6,525,150.66 | 46    |

| MMI         | Adjustments |       |
|-------------|-------------|-------|
|             | Net Amount  | Count |
| MMI Misc/GL | 0.00        | 0     |

| Security        | Adjustments |       |
|-----------------|-------------|-------|
|                 | Net Amount  | Count |
| Stock Total     |             | 13    |
| Reorg Deposit   |             | 0     |
| Custody Deposit |             | 13    |
| Misc/GL         |             | 0     |

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The top part of the dashboard allows you to:

- Use a [company search](#) or a [personal search](#) to find announcements.
- [Set your preferences](#).
- Search for [Custody Reorg Deposits/Reorg Deposits](#).

On the main part of the Dashboard you can see four different areas, called "compartments":

- [Announcements](#),
- [Warnings – Mandatory and Mandatory with Option Events](#),
- [Allocations \(Today\)](#), and
- [Adjustments \(Today\)](#).



These compartments contain clickable links to take you to different search results pages.

You can refresh your dashboard information by pressing the **F5** key.

## 1. Announcements

The Announcements compartment contains two lists of totals (All Events and Position Only Events) for all events as well as events expiring within the coming five business days.

| Announcements           |                        |                      |            |                      |
|-------------------------|------------------------|----------------------|------------|----------------------|
| Type                    | Event Updates          |                      |            |                      |
|                         | Expiring within 5 Days |                      | All Events |                      |
|                         | All Events             | Position Only Events | All Events | Position Only Events |
| New Events              | 0                      | 0                    | 2          | 1                    |
| Amended Events          | 0                      | 0                    | 5          | 3                    |
| Key Data Updated        | 0                      | 0                    | 2          | 2                    |
| Extended Expirations    | 0                      | 0                    | 0          | 0                    |
| Canceled/Deleted Events | 0                      | 0                    | 0          | 0                    |

New event announcements are shown here, as well as announcements on which a particular piece of event information has changed.

- Click the **Announcements** heading to reach the [Announcements Overview](#) page.
- Click a hyperlinked number in any **Events** column to see a Search Results page that lists all events comprising this total. You can reach a particular event's [Record Detail](#) page from here.

## 2. Warnings – Mandatory and Mandatory with Option Events

This compartment contains a list, broken out by type, of any items that may require your attention. Clicking on a hyperlinked blue number brings you to a Search Results page for that warning type.

| Warnings - Mandatory and Mandatory with Option Events       |        |
|---|--------|
| Type  | Events |
| All Events with Pledge Positions - Allocating within 5 Days | 2      |
| All Events with Pledge Positions - Post Allocation          | 133    |

The warning types include:

1. **All Events with Pledge Positions - Allocating Within 5 Days.** This includes active events (that have not been canceled or deleted) in which you have position and the allocation is within five days of today.
2. **All Events with Pledge Positions – Post Allocation.** This includes active events in which you have position that have already allocated.

### 3. Allocations (Today)

The **Allocations (Today)** compartment summarizes the allocation of cash and securities from reorganization events. It displays an amount and count of events. These allocation counts are divided by entitlement type:

| <b>Allocations (Today)</b>            |                  |       |                  |       |              |       |
|---------------------------------------|------------------|-------|------------------|-------|--------------|-------|
| Last Updated: Jun-20-2018 01:32:13 PM |                  |       |                  |       |              |       |
| Type                                  | Total Due        |       | Unallocated      |       | Allocated    |       |
|                                       | Amount*          | Count | Amount*          | Count | Amount*      | Count |
| Cash (USD)                            | 4,798,225,313.63 | 90    | 4,790,085,978.58 | 81    | 8,139,335.05 | 9     |
| MMI                                   | 2,236,824.00     | 8     | 2,236,824.00     | 8     | 0.00         | 0     |
| Security                              | N/A              | 72    | N/A              | 64    | N/A          | 8     |
| Cash (CAD)                            | 0.00             | 0     | 0.00             | 0     | 0.00         | 0     |

\* Amounts only apply to cash allocations and not security allocations.

- The **Total Due** counts allow you to see what is expected to be paid out for each entitlement type on this business day.
- The **Unallocated** counts allow you to see what is awaiting allocation on this business day for each entitlement type. It represents what has been scheduled to be paid out today but has not yet been allocated.
- The **Allocated** counts allow you to see what has actually been paid out on this business day for each entitlement type.
- For **Cash**, **MMI**, and **CAD**, both a dollar amount and a count are displayed.
- For **Security**, only a count is displayed. This count matches the **Total Due** count.

Click the **Allocations (Today)** heading to reach the [Allocations Overview](#) page.

Click any hyperlinked number in the **Count** columns to go to a page that lists all events comprising that total. You can reach a particular event's [Record Detail](#) page from here.

### 4. Adjustments (Today)

“Adjustments” includes all entitlement and allocation activity that is outside the primary allocation. The Adjustments compartment displays a bird's-eye view of your adjustment totals. This includes all post allocation adjustments, miscellaneous/general ledger adjustments, reorg deposits, and custody deposits. You can view today's totals split out by adjustment type as well as the number of records that comprise that total.

| Adjustments (Today)                   |              |                    |
|---------------------------------------|--------------|--------------------|
| Last Updated: Jun-20-2018 01:32:13 PM |              |                    |
| Cash (USD)                            | Adjustments  |                    |
|                                       | Net Amount   | Count              |
| Cash Total                            | 6,525,150.66 | <a href="#">46</a> |
| Misc/GL                               | 0.00         | 0                  |
| Reorg Deposit                         | 0.00         | 0                  |
| Custody Deposit                       | 6,525,150.66 | <a href="#">46</a> |
| MMI                                   | Adjustments  |                    |
|                                       | Net Amount   | Count              |
| MMI Misc/GL                           | 0.00         | 0                  |
| Security                              | Adjustments  |                    |
|                                       |              | Count              |
| Stock Total                           |              | <a href="#">13</a> |
| Reorg Deposit                         |              | 0                  |
| Custody Deposit                       |              | <a href="#">13</a> |
| Misc/GL                               |              | 0                  |

The Adjustments compartment is split into three categories.

- **Cash Adjustments.** This includes a net amount and an adjustment count for **Cash** and **Misc/GL** adjustments, **Reorg Deposits**, and **Custody Deposits**.
  - The net amount for each adjustment type represents the sum total of all cash credits and debits that occur with adjustment processing for that type.
  - The **Cash** row represents a total net amount and a total count of the other four cash adjustment types.
  - The record count is a hyperlink that informs you how many adjustments have been made in this category.
- **MMI Adjustments.** This includes **MMI Misc/GL** adjustments.
  - The net amount represents the total of all MMI credits and debits.
  - The record count is a hyperlink that informs you how many adjustments have been made in this category.
- **Security Adjustments.** This includes **Stock total**, **Reorg Deposit**, **Custody Deposit**, and **Misc/GL** adjustments.

- Each count represents the number of individual adjustments in that category.

Click the **Adjustments (Today)** heading to reach the [Adjustments Overview](#) page.

Click any hyperlinked number in either **Count** column to go to a page that lists all events comprising that total. You can reach a particular event's [Record Detail](#) page from here.

# Dashboard Search Results Pages

Each link in a Dashboard compartment represents the number of items in a particular category.

The screenshot shows the DTCC Corporate Actions Web Dashboard. The top navigation bar includes links for Home, Announcements, Instructions, Allocations, and Adjustments. The main content area is divided into several sections:

- Announcements:** A table showing event updates with columns for Type, All Events, Position Only Events, and All Events. Red boxes highlight counts for New Events (2), Amended Events (5), Key Data Updated (2), and Canceled/Deleted Events (0).
- Allocations (Today):** A table showing allocation details with columns for Type, Total Due, Unallocated, and Allocated. Red boxes highlight counts for Cash (USD) (90), MMI (8), Security (72), and Cash (CAD) (0).
- Adjustments (Today):** A table showing adjustment details with columns for Cash (USD), Adjustments, Net Amount, and Count. Red boxes highlight counts for Cash Total (46), Misc/GL (0), Reorg Deposit (0), Custody Deposit (45), and Stock Total (13).
- Warnings - Mandatory and Mandatory with Option Events:** A table showing warning details with columns for Type, Events, and Count. Red boxes highlight counts for All Events with Pledge Positions - Allocating within 5 Days (2) and All Events with Pledge Positions - Post Allocation (133).

The bottom of the dashboard features the DTCC logo and links for Contact Us, Support, Privacy, and Terms of Use.

Clicking on any link in any Dashboard compartment brings you to a Search Results page for that particular group of Reorganization events.

The specific fields on each Search Results page vary according to the link you click. The most relevant event details are shown for each compartment link.

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Home Announcements Instructions Allocations Adjustments

### Reorganizations - New Events - All Events Search Results

[Return to Previous Page](#)  CA ID

| CA ID                     | CUSIP     | Ticker | Event Security Description | Event Type | Sub Event Type | Contra Cusip | Asset Type | DTC M/V | Country of Incorporation | Event S |
|---------------------------|-----------|--------|----------------------------|------------|----------------|--------------|------------|---------|--------------------------|---------|
| <a href="#">518244701</a> | 293389102 | EBF    | ENNIS BUSINESS FORMS INC   | Meeting    | Annual         |              | 010        | M       | US                       | AF      |
| <a href="#">518244910</a> | 50190H107 | INGYY  | LB-SHELL PLC               | Merger     | Securities     |              | 110        | M       | GB                       | Cr      |
| <a href="#">518244913</a> | 78643B104 | SFTTY  | SAFE T GROUP LTD           | Merger     | Securities     |              | 110        | M       | IL                       | Cr      |

Displaying 1 to 3 of 3 items Page 1 of 1

**Custom Search** Advanced Search

**Saved Search Criteria** No Saved Searches Available

Event Group  
☐ Distributions ☐ Redemptions ☒ Reorganizations

CA Identifier

CUSIP  Event Security Description Starts with

Event/Sub Type  Not Applicable

Limit to  
☐ Position

**Save This Search**

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- Click any link in the **CA ID** column to view details for that event.
- This page displays up to 3000 results. Use the **Page X of Y** field and arrows to move through the results.
- You can sort these results by clicking on any of the column headings.
- Click the **Customize Results Columns** button to select the columns to use in the display. All columns are displayed by default.
- Click **Filter** to refine the results by any applicable criteria.
- You can export these results to Excel by clicking the **Export to Excel** button. When you export your results to Excel, you will export all results – not just the ones that appear on the page.
- You can print these results by clicking on the **Print** icon. When you print your results, you will only print the results that appear on the page.
- Perform a new [custom or advanced search](#) using the fields at the bottom of the page.

## Searching for Custody Reorg or Reorg Deposits

You can search for allocated or unallocated reorg and custody reorg deposits.

To reach this Search page from the menu bar:

1. Click **Announcements**.

The screenshot shows the DTCC Corporate Actions Web interface. The top navigation bar includes links for Home, Announcements, Instructions, Allocations, and Adjustments. The 'Announcements' menu is expanded, showing options: Dashboard, Overview, Event Search, Watchlist, and Factor Search. The main content area is titled 'Event Search' and includes a search bar with a 'CA ID' dropdown and a search icon. Below the search bar, there are filters for Event Group (Distributions, Redemptions, Reorganizations), CA Identifier, CUSIP, Event Security Description Starts with, and Event/Sub Type. A 'Limit to' section includes a 'Position' checkbox. At the bottom of the search area, there are 'Search' and 'Reset' buttons, and a 'Save This Search' button with a plus icon.

2. Click **Dashboard**.

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Home Announcements Instructions Allocations Adjustments

### Dashboard

Company Searches | Personal Searches | Preferences

Distributions | Redemptions | **Reorganizations** | Custody Reorg Deposits / Reorg Deposits

#### Announcements

| Type                    | Expiring within 5 Days |                      | All Events |                      |
|-------------------------|------------------------|----------------------|------------|----------------------|
|                         | All Events             | Position Only Events | All Events | Position Only Events |
| New Events              | 0                      | 0                    | 2          | 1                    |
| Amended Events          | 0                      | 0                    | 5          | 3                    |
| Key Data Updated        | 0                      | 0                    | 2          | 2                    |
| Extended Expirations    | 0                      | 0                    | 0          | 0                    |
| Canceled/Deleted Events | 0                      | 0                    | 0          | 0                    |

#### Warnings - Mandatory and Mandatory with Option Events

| Type  | Events |
|---|--------|
| All Events with Pledge Positions - Allocating within 5 Days | 2      |
| All Events with Pledge Positions - Post Allocation          | 133    |

#### Allocations (Today)

Last Updated: Jun-20-2018 01:32:13 PM

| Type       | Total Due        |       | Unallocated      |       | Allocated    |       |
|------------|------------------|-------|------------------|-------|--------------|-------|
|            | Amount*          | Count | Amount*          | Count | Amount*      | Count |
| Cash (USD) | 4,798,225,313.63 | 90    | 4,790,085,978.58 | 81    | 8,139,335.05 | 9     |
| MMI        | 2,236,824.00     | 8     | 2,236,824.00     | 8     | 0.00         | 0     |
| Security   | N/A              | 72    | N/A              | 64    | N/A          | 8     |
| Cash (CAD) | 0.00             | 0     | 0.00             | 0     | 0.00         | 0     |

\* Amounts only apply to cash allocations and not security allocations.

#### Adjustments (Today)

Last Updated: Jun-20-2018 01:32:13 PM

| Cash (USD)      |              | Adjustments | Count |
|-----------------|--------------|-------------|-------|
|                 | Net Amount   |             |       |
| Cash Total      | 6,525,150.66 |             | 46    |
| Misc/GL         | 0.00         |             | 0     |
| Reorg Deposit   | 0.00         |             | 0     |
| Custody Deposit | 6,525,150.66 |             | 46    |

| MMI         |            | Adjustments | Count |
|-------------|------------|-------------|-------|
|             | Net Amount |             |       |
| MMI Misc/GL | 0.00       |             | 0     |

| Security        |            | Adjustments | Count |
|-----------------|------------|-------------|-------|
|                 | Net Amount |             |       |
| Stock Total     |            |             | 13    |
| Reorg Deposit   |            |             | 0     |
| Custody Deposit |            |             | 13    |
| Misc/GL         |            |             | 0     |

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3. Click the **Reorganizations** tab.



4. Click **Custody Reorg Deposits/Reorg Deposits**.

The **Custody Reorg Deposits/Reorg Deposits** search page appears.

## 5. Select your search criteria.

|                          |   |
|--------------------------|---|
| <b>Service Type</b>      | Select the type of deposit to look for: either “Custody Reorg Deposits” or “Reorg Deposits.”  |
| <b>Allocation Status</b> | Select “Allocated” for deposits that have already posted to your account. Select “Unallocated” for deposits that have not yet posted.   |
| <b>Deposit Type</b>      | <p>These options depend upon the deposit type selected:</p> <ul style="list-style-type: none"> <li>• <b>Custody.</b> Select to specify a regular Custody Reorg deposit.</li> <li>• <b>Over 3 Year.</b> Select to specify Reorg deposits made 3 years or more after the primary allocation.</li> <li>• <b>Regular.</b> Select to specify a regular Reorg deposit.</li> <li>• <b>Restricted.</b> Select to specify Custody Reorg deposits that may have transfer restrictions.</li> </ul> |
| <b>Deposit Status</b>    | <ul style="list-style-type: none"> <li>• <b>All.</b> Select this option if you are looking for both in transfers and out transfers.</li> <li>• <b>In Transfer.</b> Select to narrow your search to items for which the disbursed entitlements have not been received.</li> <li>• <b>Out Transfer.</b> Select to narrow your search to items for which the disbursed entitlements have been received</li> </ul>  |
| <b>Date</b>              | <p>Use the calendar tool to select a start date for your search.</p> <ul style="list-style-type: none"> <li>• To start your search at this date, select the “+” sign from the drop-down menu. Type the number of days your search should go forward from the start date.</li> <li>• To end your search at this date, select the “-” sign from the drop-down menu. Type the number of days your search should go back from this date.</li> </ul>   |


6. Click **Search**.

The results page appears for this search.

**DTCC** Asset Services **Corporate Actions Web** Wed Jun 27 2018 10:53:34 GMT-0400 Contact Us DTCC.com

Home Announcements Instructions Allocations Adjustments





**Custody Reorg Deposits Allocated Detail**

[Return to Previous Page](#)   CA ID

**Summary - 00001234 Test Corporation LLC**


| Total Paid Deposits |              | Paid Dollar Amount |
|---------------------|--------------|--------------------|
| 189                 | 1,743,010.88 |                    |

| Action               | CUSIP     | Security Description             | Deposit Date | Quantity | Deposit ID | Reference ID     | Allocation Date | Transfer     | Status              |
|----------------------|-----------|----------------------------------|--------------|----------|------------|------------------|-----------------|--------------|---------------------|
| <a href="#">View</a> | 99999AAG7 | Y2K TEST                         | May-09-2018  | 15,872   | 9905100001 | 999UAT15         | May-10-2018     |              | Partially Allocated |
| <a href="#">View</a> | 739276103 | POWER INTEGRATIONS, INC RR       | Feb-07-2018  | 8        | 1015501539 | 112-155288-000   | May-03-2018     |              | Allocated           |
| <a href="#">View</a> | 739276103 | POWER INTEGRATIONS, INC RR       | Feb-07-2018  | 5,014    | 1235601857 | 112155288        | May-03-2018     |              | Allocated           |
| <a href="#">View</a> | 459200101 | INTERNATIONAL BUSINESS MACHINES  | Jan-17-2018  | 2        | 9901241631 | 101-156415-000   | Jun-04-2018     |              | Partially Allocated |
| <a href="#">View</a> | 09247L107 | BLACKROCK NYNISMUN2008 RR        | May-12-2017  | 1,000    | 1713265008 | 478047147        | Jun-04-2018     | Out Transfer | Allocated           |
| <a href="#">View</a> | 20564D107 | COMSAT CORP <                    | Mar-05-2015  | 8        | 1506365339 | 0000000000000000 | Jun-12-2018     | Rejected     | Partially Allocated |
| <a href="#">View</a> | 585055106 | MEDTRONIC INC COM                | Mar-05-2015  | 165      | 1505166071 | 0000000000000000 | Jun-12-2018     | Rejected     | Partially Allocated |
| <a href="#">View</a> | 739909109 | PREMIER BANCSHARES INC GEORGIA @ | Mar-05-2015  | 500      | 1506266412 | 0000000000000000 | Jun-12-2018     | Rejected     | Partially Allocated |
| <a href="#">View</a> | 740900105 | PREMIER BANCORP INC -            | Mar-05-2015  | 183      | 1506465034 | 0000000000000000 | Jun-12-2018     | Rejected     | Partially Allocated |
| <a href="#">View</a> | 928645100 | VOLCANO CORPORATION              | Mar-05-2015  | 1,650    | 1504301450 | 0000000000000000 | Jun-12-2018     | Out Transfer | Allocated           |
| <a href="#">View</a> | 928645100 | VOLCANO CORPORATION              | Mar-05-2015  | 1,650    | 1504301460 | 0000000000000000 | Jun-12-2018     | Out Transfer | Allocated           |
| <a href="#">View</a> | G90073100 | TRANSOCEAN ORDINARY SHARES       | Mar-04-2015  | 24       | 1336465022 | 0000000000000000 | Jun-12-2018     | Rejected     | Partially Allocated |
| <a href="#">View</a> | 079860102 | BELLSOUTH CORP <                 | Mar-04-2015  | 72       | 1506365029 | 0000000000000000 | Jun-12-2018     | Rejected     | Partially Allocated |
| <a href="#">View</a> | 242370104 | DEANS FOODS CO +                 | Mar-04-2015  | 432      | 1506365028 | 0000000000000000 | Jun-12-2018     | Rejected     | Partially Allocated |
| <a href="#">View</a> | 373298108 | GEORGIA-PACIFIC CORP (COM) <     | Mar-04-2015  | 109      | 1506365031 | 0000000000000000 | Jun-12-2018     | Rejected     | Cancelled           |
| <a href="#">View</a> | 373298702 | GEORGIA-PACIFIC TIMBER GROUP <   | Mar-04-2015  | 109      | 1506365030 | 0000000000000000 | Jun-12-2018     | Rejected     | Partially Allocated |
| <a href="#">View</a> | 549463107 | LUCENT TECHNOLOGIES RR           | Mar-04-2015  | 419      | 1506365032 | 0000000000000000 | Jun-12-2018     | Rejected     | Partially Allocated |
| <a href="#">View</a> | 549463107 | LUCENT TECHNOLOGIES RR           | Mar-04-2015  | 6,547    | 1506365033 | 0000000000000000 | Jun-12-2018     | Rejected     | Partially Allocated |
| <a href="#">View</a> | 585055106 | MEDTRONIC INC COM                | Mar-04-2015  | 165      | 1506266392 | 0000000000000000 | Jun-12-2018     | Rejected     | Partially Allocated |
| <a href="#">View</a> | 591992136 | METRO CITY BANK                  | Mar-04-2015  | 5,200    | 0734066749 | 0000000000000000 | Jun-12-2018     | Out Transfer | Partially Allocated |

Displaying 1 to 20 of 192 items   Page 1 of 10  

**Search Criteria** \* = Required Field

Service Type \*  Allocation Status \*  Deposit Type \*  Deposit Status \*

Allocation Date \*   -  Days

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- You can sort these results by clicking on any of the column headings.

- You can export these results to Excel by clicking the **Export to Excel** link. When you export your results to Excel, you will export all results – not just the ones that appear on the page.
  - You can print these results by clicking on the **Print** icon. When you print your results, you will only print the results that appear on the page.
  - Click **Filter** to refine the results by any applicable criteria.
  - Page through the results by entering a page number or clicking on the arrow buttons by the bottom right corner of the results grid.
  - You can perform another search using the fields at the bottom of this page.
7. Click **View** to open a certificate detail window for any of the search results.

| CUSIP     | Event Security Description | Deposit Date |
|-----------|----------------------------|--------------|
| 99999AAG7 | Y2K TEST                   | May-09-2018  |

| Total Quantity | Deposit ID | Reference ID | Type            |
|----------------|------------|--------------|-----------------|
| 15,872         | 9905100001 | 999UAT15     | Custody Deposit |

Certificate Details

+

Tracking

+

Comments

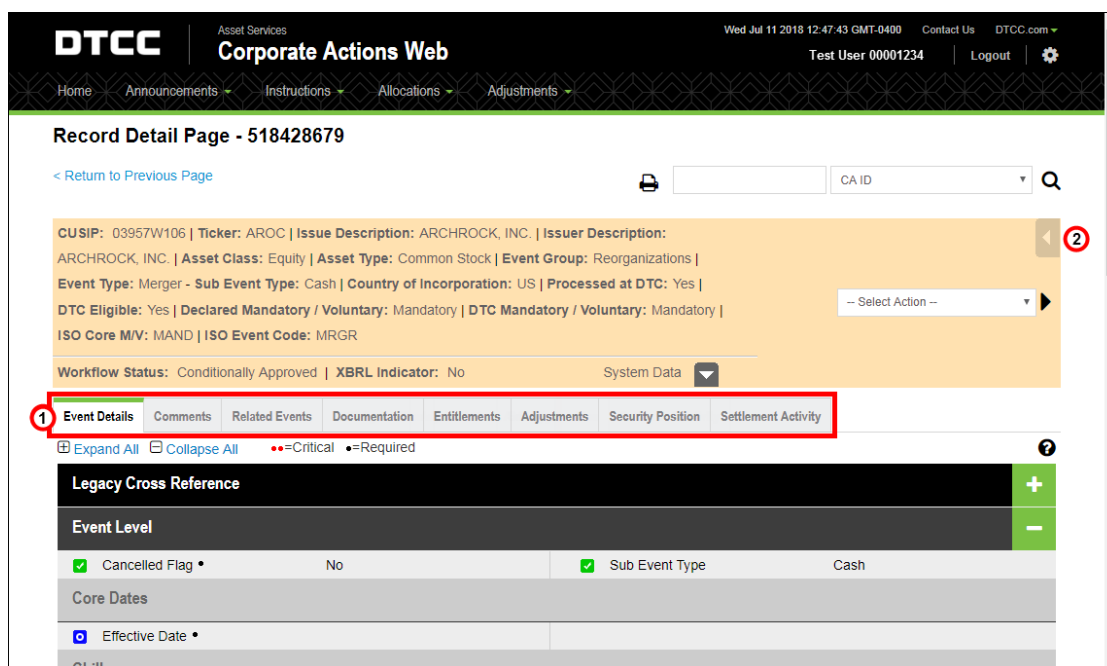
+

Entitlements

+

8. Click any of the black bars to view more information regarding certificate details, tracking, comments, or entitlements.

## About the Record Detail page



The Record Detail page allows you to view all of the relevant information for an individual corporate action event. It contains an overall [event summary](#) and is divided into separate tabs (1).

Click any tab to see the relevant information:

- **Event Details.** Contains important information about the event itself. It is where you will find most of the information you need.
- **Comments.** Any comments concerning the event (e.g., why an event was canceled) appear here.
- **Related Events.** Contains a list of events that are occurring for the same security as well as those that have already occurred, plus any possible future events.
- **Documentation.** If there is any documentation associated with this event, it will be available on this tab. Note that this tab will not appear if there is no documentation available for this event.
- **Entitlements.** If there is any Entitlements information available for this event, it will be available on this tab. Note that this tab will not appear if there is no Entitlements information.
- **Adjustments.** If there is any Adjustments information available for this event, it will be available on this tab. Note that this tab will not appear if there is no Adjustments information.
- **Security Position.** Details the amounts and types of position you have by CUSIP.
- **Settlement Activity.** Allows you to search for settlement activity by CUSIP.

A floating menu on the right (2) allows you quick access to any section of the record detail page. Click to expand this menu from anywhere on the page.

## Event Summary

**DTCC Corporate Actions Web**

Asset Services | Wed Jul 11 2018 12:47:43 GMT-0400 | Contact Us | DTCC.com

Home | Announcements | Instructions | Allocations | Adjustments

Test User 00001234 | Logout | Settings

### Record Detail Page - 518428679

[Return to Previous Page](#)

CA ID: [Search]

**1** CUSIP: 03957W106 | **4** Ticker: AROC | **2** Issue Description: ARCHROCK, INC. | **2** Issuer Description: ARCHROCK, INC. | **4** Asset Class: Equity | **4** Asset Type: Common Stock | **4** Event Group: Reorganizations | **4** Event Type: Merger - Sub Event Type: Cash | **4** Country of Incorporation: US | **2** Processed at DTCC: Yes | **3** DTC Eligible: Yes | **3** Declared Mandatory / Voluntary: Mandatory | **3** DTC Mandatory / Voluntary: Mandatory | **7** -- Select Action --

**5** Workflow Status: Conditionally Approved | **6** XBRL Indicator: No | **6** System Data

**Event Details** | Comments | Related Events | Documentation | Entitlements | Adjustments | Security Position | Settlement Activity

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

| Legacy Cross Reference |    | Event Level      |      |
|------------------------|----|------------------|------|
| ✓ Canceled Flag        | No | ✓ Sub Event Type | Cash |
| Core Dates             |    |                  |      |
| Effective Date         |    |                  |      |

At the top of the page is a tan Event Summary area. It is visible regardless of the tab you are viewing. It summarizes the event at a high level and provides you with security detail information and the status of the event, allowing you to refer quickly to this data from wherever you are on the event record page.

The information displayed here varies according to the event type. Some information elements are common to all event types, while others are specific to the kind of event they describe. The common information includes the CUSIP (1), Issue/Issuer Description, Asset Class, Asset Type, Event Group, and Event Type.

The **Processed at DTCC** indicator (2) lets you know whether or not the event is being processed at DTCC. If it is not, then this page is informational only. The **DTC** and **Declared Mandatory/Voluntary** indicators (3) let you know whether you need to act on this event.

Numeric codes and acronyms that are not self-explanatory, such as the **Country of Incorporation** (4), are described on the screen. When you place your cursor on the field, you'll get an explanation of the data.

At the bottom, you can see the status of the event itself (5): Approved, Conditionally Approved, Cancelled, or Deleted.

For additional system data, click the gray arrow (6). Here, you can research timestamps related to the event. You can see when the event was created, when it was last updated, and how long it will be active.

The **Select Action** menu (7) allows you to refresh the page, view the audit trail, and request the related ISO 20022 message. You can also submit a corporate actions related inquiry directly to the WINS system.

## Event Details Tab

The Event Details tab provides a wealth of information beyond the event summary, allowing you a full, clear picture of the event.

Notes about this page:

**DTCC** Asset Services **Corporate Actions Web** Wed Jul 11 2018 12:49:32 GMT-0400 Contact Us DTCC.com

Test User 00001234 Logout

Home Announcements Instructions Allocations Adjustments

### Record Detail Page - 518428679

[< Return to Previous Page](#)

CUSIP: 03957W106 | Ticker: AROC | Issue Description: ARCHROCK, INC. | Issuer Description: ARCHROCK, INC. | Asset Class: Equity | Asset Type: Common Stock | Event Group: Reorganizations | Event Type: Merger - Sub Event Type: Cash | Country of Incorporation: US | Processed at DTC: Yes | DTC Eligible: Yes | Declared Mandatory / Voluntary: Mandatory | DTC Mandatory / Voluntary: Mandatory | ISO Core M/V: MAND | ISO Event Code: MRGR

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

Event Details Comments Related Events Documentation Entitlements Adjustments Security Position Settlement Activity

Expand All Collapse All ••=Critical •=Required

|                        |   |
|------------------------|---|
| Legacy Cross Reference | + |
| Event Level            | + |
| Options/Payouts        | + |
| Agents                 | + |
| Vendor Records         | + |
| Raw Data               | + |

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- Click any black bar (that turns green when you hover over it). This opens the section and displays its information in full.
- The **Event Level** bar opens by default. You can click **Expand All** or **Collapse All** (shown) to open or close all black bars.
- These bars vary based on the event type; not all information is relevant to all events.

**DTCC** Asset Services **Corporate Actions Web** Wed Jul 11 2018 12:57:37 GMT-0400 Contact Us DTCC.com

Test User 00001234 Logout

Home Announcements Instructions Allocations Adjustments

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

**Event Details** Comments Related Events Documentation Entitlements Adjustments Security Position Settlement Activity

Expand All Collapse All ••=Critical •=Required

**Legacy Cross Reference** +

**Event Level** -

✓ Cancelled Flag • No 2 3 ✓ Sub Event Type Cash

Core Dates

4 Effective Date •

Chills

✓ DTC Last Day for Reorg Deposit Jul-10-2019

**DTC Processing**

✓ DTC Activity Code 72 1 ✓ DTC First Day for Reorg Deposits Jul-10-2018

✓ DTC Reorg Deposit Eligible Flag Yes

**Other Data**

✓ Dissenter's Rights Applicable Flag Yes ✓ Offeror Name UAT TESTER

**Options/Payouts** +

**Agents** +

**Vendor Records** +

**Raw Data** +

- Click the name of any field (1) to see a data element source comparison.
- Hover over codes, symbols (2), or acronyms to see a tooltip with a longer explanation of the code.
- A green check next to a field (3) indicates that the information provided is complete. Updates can still be made.
- A blue circle next to a field (4) indicates that the information is expected but not yet available.

Some important sections on this page are detailed below.

## Legacy Cross Reference

**DTCC** Asset Services **Corporate Actions Web** Wed Jul 11 2018 12:56:02 GMT-0400 Contact Us DTCC.com

Home Announcements Instructions Allocations Adjustments

Event Type: Merger - Sub Event Type: Cash | Country of Incorporation: US | Processed at DTC: Yes |  
DTC Eligible: Yes | Declared Mandatory / Voluntary: Mandatory | DTC Mandatory / Voluntary: Mandatory |  
ISO Core M/V: MAND | ISO Event Code: MRGR

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

Event Details Comments Related Events Documentation Entitlements Adjustments Security Position Settlement Activity

Expand All Collapse All ●=Critical ◆=Required

**Legacy Cross Reference**

| FC | Option          | Payout                 | Event CUSIP | Seq No. | DTC Disbursed CUSIP | RDP Reference Number            |
|----|-----------------|------------------------|-------------|---------|---------------------|---------------------------------|
| 72 | Option 1 - Cash | Payout 1 - Principal   | 03957W106   | 001     |                     | C7200003957W1060000000000000000 |
| 72 | Option 1 - Cash | Payout 99 - Securities | 03957W106   | 001     | 03957W106           | C7200003957W1060000000000000000 |

Event Level +

Options/Payouts +

Agents +

Vendor Records +

Raw Data +

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This section shows the function code this event is being mapped to from the old system, explaining where the event came from. It is especially useful for ISO clients taking ISO 20022 messages as it associates the old function codes and activity codes and provides the RDP reference number for each.

Clicking any link takes you to its [Option](#) section on this page.



## Event Level

**DTCC Corporate Actions Web**

Asset Services Wed Jul 11 2018 12:55:06 GMT-0400 Contact Us DTCC.com

Test User 00001234 Logout

Home Announcements Instructions Allocations Adjustments

**Event Details** Comments Related Events Documentation Entitlements Adjustments Security Position Settlement Activity

Expand All Collapse All ●●=Critical ●=Required

**Legacy Cross Reference** +

**Event Level** -

✓ Cancelled Flag • **1** No ✓ Sub Event Type Cash

**Core Dates** **2**

Effective Date •

**Chills** **3**

✓ DTC Last Day for Reorg Deposit Jul-10-2019

**DTC Processing** **4**

✓ DTC Activity Code 72 ✓ DTC First Day for Reorg Deposits Jul-10-2018

✓ DTC Reorg Deposit Eligible Flag Yes

**Other Data**

✓ Dissenter's Rights Applicable Flag Yes ✓ Offeror Name UAT TESTER

**Options/Payouts** -

Option 1 - CASH Cash | Complete | Declared Default Option: Yes | DTC Default Option: Yes | Supported by DTC: Yes | Delete -

Summary - (Option 001)

✓ Option Type • Cash ✓ Issuer Supported Flag • Yes

✓ Leave Default Option Flag • Yes ✓ DTC Supported Flag • Yes

The **Event Details** tab opens with the **Event Level** bar open. It provides you with the relevant dates and processing information for the event itself. Some important items here include:

- **Cancelled Flag (1).** If the value is “Yes,” this event was canceled in the market.
- **Core Dates (2).** Any important dates associated with the event are displayed here. This usually includes the **Declared Payable Date**, or the payable date as announced by the agent or issuer.
- **Chills (3).** When applicable, chill dates (“DTC Last Day For...”) are displayed in their own section, separate from the Core Dates.
- **DTC Processing (4).** This area contains:
  - **DTC Activity Code.** The short code that refers to the legacy DTCC event type (also known as the “function code”).
  - **Reorg Deposit Information.** Examples of this include the **DTC Reorg Custody** or **DTC Reorg Deposit Eligible Flag**, which indicates whether the event is eligible for these DTC services. Associated information is displayed here as well, such as the day on which the event security is eligible for DTC's reorg deposit service.

## Options/Payouts

The Options/Payouts bar (1) is automatically open. It contains a full list of the options available on this event, as well as the payments associated with these options.

Option 1 (2) is always the default option. Other options, when available, are listed below on separate dark blue bars.

The option header specifies:

- Option type (CASH, SECU, etc.)
- Conditional or Complete designation
- Default designations (whether this option is the Declared Default option, DTC default option, etc.)
- Whether the option is supported by DTC, and
- Whether the option has been deleted by DTC.

The **Delete** box is checked if the option has been deleted.

The payouts (3) are listed below their options, one per light blue bar.

Each payout header specifies:

- The type of payment that is being made (principal, interest, securities, etc.),
- Conditional or Complete designation, and
- Whether the payout has been deleted by DTC.

The **Delete** box is checked if the option has been deleted.

The **Rates/Prices** section (4) shows you any applicable cash rates and security rates. Click a field name to see source information for the rate.

- A green check next to a field indicates that the information provided is complete. Updates can still be made.
- A blue circle next to a field indicates that the information is expected but not yet available.

Additional sections (such as **Disposition of Fractions**) are included as applicable.

## Other Sections

The screenshot displays the DTCC Corporate Actions Web interface. The header includes the DTCC logo, 'Asset Services', and 'Corporate Actions Web'. The user is logged in as 'Test User 00001234' on 'Wed Jul 11 2018 13:00:14 GMT-0400'. The main content area shows event details for a Mandatory Reorganization (MRGR). The 'Agents' section is highlighted, showing a table with one agent: Event Agent (00000008), REORG MANDATORY, located at 55 WATER STREET. Other sections like 'Legacy Cross Reference', 'Event Level', 'Options/Payouts', 'Vendor Records', and 'Raw Data' are also visible.

| Agent Type  | Agent ID | Agent Name      | Agent Address                | Agent Phone Number |
|-------------|----------|-----------------|------------------------------|--------------------|
| Event Agent | 00000008 | REORG MANDATORY | 55 WATER STREET<br>(more...) |                    |

Based on the event type, you will see other sections on the list. Some common sections include:

- **Agents:** This contains the agent type, agent ID, and contact information for the agent involved in this event.
- **Vendor Records.** Click the link to view the full set of source information from this vendor for this event.
- **Raw Data.** Click the link to view a summary of raw data from the vendor.  
From the Vendor Raw Data Summary, click the **Vendor Record ID** to view the full raw data record.

[Back to Top](#)

## Comments Tab

**Record Detail Page - 518267717**

CUSIP: 067203EC9 | **Issue Description:** BARBERTON SD IMP GO OH D08/07/08 4.500% JD18 RR |  
**Issuer Description:** BARBERTON CITY SCHOOL DISTRICT, OHIO (SUMMIT COUNT | **Asset Class:**  
Municipal Debt | **Asset Type:** Municipal Insured Custodial Receipt | **Event Group:** Reorganizations |  
**Event Type:** Conversion | **Country of Incorporation:** US | **Processed at DTC:** Yes | **DTC Eligible:** Yes | -- Select Action --  
**Declared Mandatory / Voluntary:** Mandatory | **DTC Mandatory / Voluntary:** Mandatory | **ISO Core M/V:**  
MAND | **ISO Event Code:** CONV

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

Event Details **Comments** Related Events Documentation Entitlements Adjustments Security Position Settlement Activity

Expand All Collapse All

**External Comments**

| Date Added              | Comments   |
|-------------------------|--|
| Jul-11-2018 01:18:38 PM | This is a Test comment. Please ignore. Comments added in the Reorg System will be available in CA WEB in real time in the Comments tab on the Event Detail page. |
| Jul-11-2018 01:19:25 PM | More comments appended in the Reorg system after the first comments were added   |

Displaying 1 to 2 of 2 items

« < Page 1 of 1 > »

On this tab, you can see the external comments made on this event. These comments generally come from the ISO message and include information such as the reason why an event was canceled, when applicable.

## Related Events Tab

**DTCC Corporate Actions Web**  
 Tue Jul 17 2018 15:37:38 GMT-0400 | Contact Us | DTCC.com  
 Test User 00001234 | Logout | Settings

**Record Detail Page - 516332885**  
[Return to Previous Page](#)

CUSIP: 62942X405 | Ticker: NYLD | Issue Description: NRG YIELD INC < | Issuer Description: NRG YIELD INC |  
 Asset Class: Equity | Asset Type: Common Stock | Event Group: Reorganizations | Event Type: Merger -  
 Sub Event Type: Cash | Country of Incorporation: US | Processed at DTC: Yes | DTC Eligible: Yes |  
 Declared Mandatory / Voluntary: Mandatory | DTC Mandatory / Voluntary: Mandatory | ISO Core M/V: MAND |  
 ISO Event Code: MRGR

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

Event Details | Comments | **Related Events** | Documentation | Entitlements | Adjustments | Security Position | Settlement Activity

Expand All | Collapse All

**Event Security**

|                                     | CA ID     | WF Status              | Event Type    | Sub Event Type | Match Date  | Declared M/V | DTC M/V   | Offeror Name |
|-------------------------------------|-----------|------------------------|---------------|----------------|-------------|--------------|-----------|--------------|
| <input checked="" type="checkbox"/> | 517523454 | Approved               | Cash Dividend |                | Jun-01-2018 | Mandatory    | Mandatory |              |
| <input checked="" type="checkbox"/> | 516657250 | Approved               | Cash Dividend |                | Feb-28-2018 | Mandatory    | Mandatory |              |
| <input checked="" type="checkbox"/> | 516355818 | Approved               | Merger        | Cash           | Jan-26-2018 | Mandatory    | Mandatory |              |
| <input checked="" type="checkbox"/> | 516339401 | Incomplete             | Merger        | Cash           | Jan-24-2018 | Mandatory    | Mandatory |              |
| <input checked="" type="checkbox"/> | 516339401 | Conditionally Approved | Merger        | Cash           | Jan-24-2018 | Mandatory    | Mandatory |              |

**Disbursed Security**

|                                     | CA ID     | WF Status  | Event Type    | Sub Event Type | Match Date  | Declared M/V | DTC M/V   | Offeror Name |
|-------------------------------------|-----------|------------|---------------|----------------|-------------|--------------|-----------|--------------|
| <input checked="" type="checkbox"/> | 517523454 | Approved   | Cash Dividend |                | Jun-01-2018 | Mandatory    | Mandatory |              |
| <input checked="" type="checkbox"/> | 516657250 | Approved   | Cash Dividend |                | Feb-28-2018 | Mandatory    | Mandatory |              |
| <input checked="" type="checkbox"/> | 516355818 | Approved   | Merger        | Cash           | Jan-26-2018 | Mandatory    | Mandatory |              |
| <input checked="" type="checkbox"/> | 516339401 | Incomplete | Merger        | Cash           | Jan-24-2018 | Mandatory    | Mandatory |              |

**CA Links**

There is no data to display.

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This tab displays any other events that have occurred (or could occur) on:

- The same event security,
- The same disbursed security, and
- Any related corporate action events (linked within an ISO 20022 message) that do not necessarily involve the same security.

Here, you can see any related event history as well as any possible future events that are expected to occur on the same security or linked corporate action events.

Click the **CA ID (1)** to open the Record Detail page for a related event.

This opens a separate **Composite Comparison** window that provides a side-by-side comparison of the events' key data. Data for the current event is presented in the first column **(3)**. This is especially useful for tracking rate histories.

# Allocations

## About the Allocations Overview Page: “Reorganization” Tab

The Allocations Overview page provides you with the ability to see all of your allocations information in one place.

The Reorganizations tab allows you to see the amounts and counts of pending and actual allocations across reorganization events for a range of fifteen business days.

From the menu bar:

1. Hover over **Allocations**.

The screenshot shows the DTCC Corporate Actions Web interface. The top navigation bar includes links for Home, Announcements, Instructions, Allocations, and Adjustments. The 'Allocations' menu is expanded, showing 'Overview' as the selected option. The main content area is divided into several sections:

- Announcements:** A table showing counts for All Events and Position Only Events across categories like New Events, Amended Events, Key Data Updated, Extended Expirations, and Canceled/Deleted Events.
- Warnings:** A table showing counts for All Events with Pledge Positions - Allocating within 5 Days and Conditional Payments.
- Allocations (Today):** A table showing counts for Total Due and Unallocated across various types (DV, MD, SK, FN).
- Instructions:** A table showing counts for Cut Off Today, Cut Off 03/27/2018, and Active across various types (DRIP, DRIP OptOut).

2. Click **Overview**.
3. Click the **Reorganizations** tab.

You can also click **Allocations (Today)** on the [Dashboard](#).

When you open the Allocations Overview page, your allocations are categorized by:

- **Cash (USD),**
- **MMI,**

- **Security**, and
- **Cash (CAD)**.

Read more about the areas of this screen below.

**DTCC**
Asset Services

**Corporate Actions Web**

Mon Mar 26 2018 09:07:58 GMT-0400
Contact Us
DTCC.com
test\_user 00001234
Logout

Home
Announcements
Instructions
Allocations
Adjustments

**Allocations Overview**

CA ID

Last Updated Mar-26-2018 09:05:51 AM

Distributions
Redemptions
**Reorganizations**

**Cash (USD)**

| Event Type             | Total Due                |           | Unallocated              |           | Allocated   |          | Projected Adjustments |           |
|------------------------|--------------------------|-----------|--------------------------|-----------|-------------|----------|-----------------------|-----------|
|                        | Amount                   | Count     | Amount                   | Count     | Amount      | Count    | Amount                | Count     |
| Conversion             | 101,836,916.40           | 4         | 101,836,916.40           | 4         | 0.00        | 0        | 0.00                  | 0         |
| Full Call              | 315,239.22               | 8         | 315,239.22               | 8         | 0.00        | 0        | 0.00                  | 0         |
| Liquidation            | 2,685,438.00             | 3         | 2,685,438.00             | 3         | 0.00        | 0        | 0.00                  | 0         |
| Maturity               | 15,528,936,574.48        | 10        | 15,528,936,574.48        | 10        | 0.00        | 0        | 0.00                  | 0         |
| Merger                 | 2,020,102,382.75         | 25        | 2,020,102,382.75         | 25        | 0.00        | 0        | 352,980.07            | 11        |
| Name Change            | 15,330.00                | 1         | 15,330.00                | 1         | 0.00        | 0        | 0.00                  | 0         |
| Put                    | 33,763.56                | 7         | 33,763.56                | 7         | 0.00        | 0        | 0.00                  | 0         |
| Redemption of Warrants | 14,227,257.00            | 2         | 14,227,257.00            | 2         | 0.00        | 0        | 0.00                  | 0         |
| Termination            | 1,352,284.50             | 3         | 1,352,284.50             | 3         | 0.00        | 0        | 0.00                  | 0         |
| Worthless              | 41,055,400.00            | 1         | 41,055,400.00            | 1         | 0.00        | 0        | 0.00                  | 0         |
| <b>Total</b>           | <b>17,710,560,585.91</b> | <b>64</b> | <b>17,710,560,585.91</b> | <b>64</b> | <b>0.00</b> | <b>0</b> | <b>352,980.07</b>     | <b>11</b> |

**MMI**

There is no data to display.

**Security**

| Event Type          | Total Due | Unallocated | Allocated | Projected Adjustments | Actual Adjustments |
|---------------------|-----------|-------------|-----------|-----------------------|--------------------|
|                     | Count     | Count       | Count     | Count                 | Count              |
| Conversion          | 4         | 4           | 0         | 0                     | 0                  |
| General Information | 2         | 2           | 0         | 0                     | 0                  |
| Mandatory Exchange  | 2         | 2           | 0         | 0                     | 0                  |
| Mandatory Put       | 14        | 14          | 0         | 0                     | 0                  |
| Merger              | 29        | 29          | 0         | 13                    | 0                  |
| Name Change         | 1         | 1           | 0         | 0                     | 0                  |
| Reverse Stock Split | 1         | 1           | 0         | 0                     | 0                  |
| Stock Split         | 2         | 2           | 0         | 0                     | 0                  |
| Worthless           | 3         | 3           | 0         | 0                     | 0                  |
| <b>Total</b>        | <b>58</b> | <b>58</b>   | <b>0</b>  | <b>13</b>             | <b>0</b>           |

**Cash (CAD)**

There is no data to display.

**DTCC**

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### 1. Last Updated Date and Time

This bar contains the latest time at which allocations were made, allowing you to determine how recent the data is. This information will be updated every time an allocation is performed.

If all allocations are complete for the day, the message reads “CASH ALLOCATION IS COMPLETE AND ALL TOTALS ARE FINAL.”

### 2. Show History/Today/Forecast

Three links above the Allocations data allow you to change the time period for the Allocations page:

- [Show 7 Day History](#). Click to see the allocations that have posted to your account in the last seven days. You will only see dates within that range on which allocations have posted.
- **Allocations for Today**. Click to see the default view, containing both allocated and non-allocated items as of the date specified in the blue bar below the Quick Search. This is the view shown here.
- [Show 7-Day Forecast](#). Click to see the allocations that are anticipated to post to your account in the next seven days. You will only see dates within that range on which allocations are anticipated to be posted.

### 3. Expand/Collapse All

Click the **Expand All** and **Collapse All** buttons to open and close all rows on the page (Cash (USD), MMI, Security , and Cash (CAD) when applicable). Each row is automatically expanded when the page is opened.

### 4. Cash (USD), MMI, and Cash (CAD) tables

The Cash and MMI tables provide the same information. The exceptions are the **Projected Adjustments** and **Actual Adjustments** columns, which are not displayed in the Cash (CAD) table.

The first column in each table contains the **Event Type**. Note that you will only see event types when allocation activity for that type of event either has occurred or is expected to occur.

- Any reorganization event that has a cash payout will appear under the **Cash** heading.
- The **Cash (CAD)** table is populated with any events declared in Canadian dollars for which an agent allows DTC to accept payment instructions in Canadian dollars.
- Put (survivor options) and some optional puts appear under the **MMI** heading.

To the right of each section's Event Type column are the allocation activity types:

- **Total Due**. Represents what is expected to be allocated by DTCC on the current business day. It is the sum of the Unallocated and Allocated columns for each event type. The last row in this column represents the total amount and count for all event types.
- **Unallocated**. Items that are expected to allocate on this business day that have not yet allocated, by event type.
- **Allocated**. Items that have allocated on this business day.
- **Projected Adjustments**. Adjustments that are expected to be applied on the current business date. These numbers are not included in the “Total Due” column.

- **Actual Adjustments.** Adjustments that have already been made on the current business day. These numbers are not included in the “Total Due” column.

The last entry in any column represents the total for that allocation status.

The **Total** row in the **Total Due** column provides summary numbers for all cash (USD), MMI, or cash (CAD) allocations on this business day.

Each of these allocation activity types contains two sub-columns: **Amount** and **Count**.

- **Amount** specifies the total dollar amount of allocations (or adjustments) in USD or CAD (MMI amounts are in USD). In the Adjustments columns, credit balances are displayed in black and debit balances are displayed in red.
- **Count** represents the number of allocations (or adjustments) that comprise that amount. To see the actual breakdown of allocations, click any hyperlink in a Count column. This brings you to a search results page that lists all of the individual allocations in this particular count. From there, clicking on a CA ID takes you to the Entitlements tab on that event's [Record Detail](#) page.

## 5. Security table

The **Security** table applies to any Reorganization event with a security payout type (for example, mergers, reverse splits, and exchange offers).

The **Event Type** column specifies which event type is represented by a row. To the right of this column are the allocation types:

- **Total Due.** A count of the DTCC allocations that were made on the current business day. It is the same as the **Allocated** count.
- **Unallocated.** A count of the DTCC allocations expected to occur on this business day that have not yet allocated, by event type.
- **Allocated.** A count of the DTCC allocations that were made on this business day.
- **Projected Adjustments.** Adjustments that are expected to be applied on the current business date. These numbers are not included in the “Total Due” column.
- **Actual Adjustments.** Adjustments that have already been made on the current business day. These numbers are not included in the “Total Due” column.

The last entry in any column represents the total for that allocation status.

The **Total** row in the **Total Due** column provides a net count for both types of security allocations on this business day. It does not include the projected and actual adjustments.

To see the actual breakdown of allocations, click any hyperlink in a **Count** column. This brings you to a search results page that lists all of the individual allocations in this particular count. From there, clicking on a CA ID takes you to the Entitlements tab on that event's [Record Detail](#) page.

## Allocations Overview Page: Viewing a 7 Day History

The Allocations Overview page provides you with a snapshot of your reorganizations allocations as of today. You can also look at information for the next seven business days, as well as for the past seven business days.

To view your 7 day reorganization allocation history from anywhere in CA Web:

1. Hover over **Allocations** on the menu bar.

The screenshot shows the DTCC Corporate Actions Web interface. The top navigation bar includes 'Home', 'Announcements', 'Instructions', 'Allocations', and 'Adjustments'. The 'Allocations' menu is open, showing 'Overview' as the selected option. Below the navigation bar, there are search filters for 'Company Searches', 'Personal Searches', and 'Preferences'. The main content area is divided into several sections: 'Announcements' with a table of events, 'Warnings' with a table of alerts, 'Instructions' with a table of active instructions, and 'Allocations (Today)' with a table of current allocations. The 'Allocations (Today)' table shows columns for Type, Amount\*, Count, and Unallocated Amount\* and Count. The table lists three types: DV, MD, and SK, with their respective amounts and counts.

| All Events              |   | Position Only Events |   |
|-------------------------|---|----------------------|---|
| New Events              | 0 | 0                    | 0 |
| Amended Events          | 0 | 0                    | 0 |
| Key Data Updated        | 0 | 0                    | 0 |
| Extended Expirations    | 0 | 0                    | 0 |
| Canceled/Deleted Events | 0 | 0                    | 0 |

| Type | Amount*    | Count | Unallocated Amount* | Unallocated Count |
|------|------------|-------|---------------------|-------------------|
| DV   | 0.00       | 0     | 0.00                | 0                 |
| MD   | 628,918.98 | 89    | 570,178.91          | 82                |
| SK   | N/A        | 27    | N/A                 | 27                |
| FN   | 0.00       | 0     | 0.00                | 0                 |

2. Click **Overview**.
3. Click the **Reorganizations** tab.

### Note:

You can also reach the Allocations Overview page from the Dashboard by clicking the **Reorganizations** tab, then **Allocations (Today)**.

**DTCC** Asset Services **Corporate Actions Web** Wed Mar 28 2018 07:26:56 GMT-0400 Contact Us DTCC.com  
test\_user 00001234 Logout

Home Announcements Instructions **Allocations** Adjustments  
Overview

**Allocations Overview**

Distributions Redemptions **Reorganizations**

[Show 7 Day History](#) [Reorganizations for Today - Mar-28-2018](#) [Show 7 Day Forecast](#)

**Cash (USD)**

| Event Type             | Total Due         |       | Unallocated       |       | Allocated |       | Projected Adjustments |       |
|------------------------|-------------------|-------|-------------------|-------|-----------|-------|-----------------------|-------|
|                        | Amount            | Count | Amount            | Count | Amount    | Count | Amount                | Count |
| Conversion             | 101,836,916.40    | 4     | 101,836,916.40    | 4     | 0.00      | 0     | 0.00                  | 0     |
| Full Call              | 315,239.22        | 8     | 315,239.22        | 8     | 0.00      | 0     | 0.00                  | 0     |
| Liquidation            | 2,685,438.00      | 3     | 2,685,438.00      | 3     | 0.00      | 0     | 0.00                  | 0     |
| Maturity               | 15,528,923,034.61 | 7     | 15,528,923,034.61 | 7     | 0.00      | 0     | 0.00                  | 0     |
| Merger                 | 464,344,178.75    | 24    | 464,344,178.75    | 24    | 0.00      | 0     | 352,980.07            | 11    |
| Name Change            | 15,330.00         | 1     | 15,330.00         | 1     | 0.00      | 0     | 0.00                  | 0     |
| Put                    | 33,763.56         | 7     | 33,763.56         | 7     | 0.00      | 0     | 0.00                  | 0     |
| Redemption of Warrants | 14,227,257.00     | 2     | 14,227,257.00     | 2     | 0.00      | 0     | 0.00                  | 0     |
| Termination            | 1,352,284.50      | 3     | 1,352,284.50      | 3     | 0.00      | 0     | 0.00                  | 0     |

<https://portal.dtc.org/gcapse/allocations/getAllocationOverview.do?requestFor=H&participantId=&eventGroupCode=R>

- Click **Show 7 Day History**.  
The **Allocations Overview – 7 Day History** page appears.

**DTCC** Asset Services **Corporate Actions Web** Wed Mar 28 2018 07:27:54 GMT-0400 Contact Us DTCC.com  
test\_user 00001234 Logout

Home Announcements Instructions Allocations Adjustments

**Allocations Overview** **7 Day History**

CA ID

Only dates where activity has occurred on your account appear.

Distributions Redemptions **Reorganizations**

Expand All Collapse All Show 7 Day History Reorganizations for Today - Mar-28-2018 Show 7 Day Forecast

**Cash (USD)**

| Date         | Total Due<br>Amount       | Count      | Unallocated<br>Amount     | Count      | Allocated<br>Amount     | Count     | Projected Adjustm<br>Amount |
|--------------|---------------------------|------------|---------------------------|------------|-------------------------|-----------|-----------------------------|
| Mar-27-2018  | 17,710,556,822.35         | 55         | 16,154,761,110.10         | 55         | 1,555,795,712.25        | 4         | 0.00                        |
| Mar-26-2018  | 17,710,526,822.35         | 57         | 17,710,526,822.35         | 57         | 0.00                    | 0         | 0.00                        |
| Mar-23-2018  | 17,710,526,574.85         | 68         | 17,710,526,822.35         | 57         | -247.50                 | 11        | 0.00                        |
| Mar-22-2018  | 17,710,528,048.42         | 60         | 17,710,526,822.35         | 57         | 1,226.07                | 3         | 0.00                        |
| Mar-21-2018  | 17,680,923,939.79         | 62         | 17,680,884,533.03         | 57         | 39,406.76               | 5         | 0.00                        |
| Mar-20-2018  | 17,679,088,673.03         | 57         | 17,679,089,333.03         | 56         | -660.00                 | 1         | 0.00                        |
| Mar-19-2018  | 17,679,089,704.92         | 57         | 17,679,089,333.03         | 56         | 371.89                  | 1         | 0.00                        |
| <b>Total</b> | <b>123,881,240,585.71</b> | <b>420</b> | <b>122,325,404,776.24</b> | <b>395</b> | <b>1,555,835,809.47</b> | <b>25</b> | <b>0.00</b>                 |

**MMI**

There is no data to display.

**Security**

| Date        | Total Due<br>Count | Unallocated<br>Count | Allocated<br>Count | Projected Adjustments<br>Count | Actual Adjustments<br>Count |
|-------------|--------------------|----------------------|--------------------|--------------------------------|-----------------------------|
| Mar-27-2018 | 44                 | 44                   | 0                  | 0                              | 0                           |

**Notes:**

- The **Events** column from the Allocation Overview page is replaced with a **Date** column on the History page. Items are listed for the last seven days, starting with the business day before this one.
- The **Total Due** column presents a total of the paid amounts and numbers in the columns for each date. The **Total** row at the bottom of this column presents a net total for the entire seven-day period.
- Dates only appear where activity has occurred on your account. If no dates appear under a heading, there have been no allocations of that type for the past seven days.
- Click **Expand All** to open all of the entitlement type tables and **Collapse All** to close all of them.
- See the [Allocations Overview](#) topic for more information about this page.

- For Cash (USD) and MMIs, click the number in any **Count** column to view search results for that allocation type on the listed date.  
For Securities, click the number in any column to view search results for that allocation type on the listed date.

**DTCC** Asset Services **Corporate Actions Web** Wed Mar 28 2018 07:29:46 GMT-0400 Contact Us DTCC.com  
test\_user 00001234 Logout

Home Announcements Instructions Allocations Adjustments

Reorganizations - Allocations - History - Cash (USD) - Total Due - Mar-27-2018 - Search Results

< Return to Previous Page CA ID

Results for Client 00000015 - Morgan Stanley

| CA ID                     | CUSIP     | Event Security Description                 | Event Type     | Sub Event Type | Asset Type | Declared Payable Date |
|---------------------------|-----------|--|----------------|----------------|------------|-----------------------|
| <a href="#">517138233</a> | 47233JAB4 | JEFFERIES GROUP LLC / JEFFERIES GROUP CAP  | Exchange Offer |                | 500        |                       |
| <a href="#">517138233</a> | 47233JAB4 | JEFFERIES GROUP LLC / JEFFERIES GROUP CAP  | Exchange Offer |                | 500        |                       |
| <a href="#">516996777</a> | 05565A202 | BNP PARIBAS ADR +                          | Merger         | Cash           | 110        |                       |
| <a href="#">516815424</a> | 22767GAA9 | CROSSPOINT CITY CHURCH INC CARTERSVILLE GA | Full Call      | Conversion     | 500        | Mar-06-2018           |
| <a href="#">516815424</a> | 22767GAA9 | CROSSPOINT CITY CHURCH INC CARTERSVILLE GA | Full Call      | Conversion     | 500        | Mar-06-2018           |
| <a href="#">516815424</a> | 22767GAA9 | CROSSPOINT CITY CHURCH INC CARTERSVILLE GA | Full Call      | Conversion     | 500        | Mar-06-2018           |
| <a href="#">516815424</a> | 22767GAA9 | CROSSPOINT CITY CHURCH INC                 | Full Call      | Conversion     | 500        | Mar-06-2018           |

Displaying 1 to 20 of 59 items

Filter Search Criteria

CUSIP

Search Reset

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- Click a **CA ID** for any search result to view that event's **Record Detail** page.  
The **Record Detail** page displays the event summary as well as the **Entitlements** tab for that event.

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test\_user 00001234 Logout

Home Announcements Instructions Allocations Adjustments

**Record Detail Page - 517138233**

[Return to Previous Page](#)

CUSIP: 47233JAB4 | Issue Description: JEFFERIES GROUP LLC SR FIXED RATE 10 YEAR STEP UP CALLABLE NOTES DUE  
5-26-2016 | Issuer Description: JEFFERIES GROUP LLC / JEFFERIES GROUP CAP | Asset Class: Corporate Debt |  
Asset Type: Corporate Bond (CB) or Global Corp Bond (GCB) | Event Group: Reorganizations | Event Type: Exchange Offer |  
Country of Incorporation: US | Processed at DTC: Yes | DTC Eligible: Yes | Declared Mandatory / Voluntary: Voluntary |  
DTC Mandatory / Voluntary: Voluntary | ISO Core M/V: VOLU | ISO Event Code: EXOF

Workflow Status: **Incomplete** | XBRL Indicator: No | System Data

Event Details Comments Related Events **Entitlements** Adjustments

Expand All Collapse All

**Option 1 - Securities - 00001234 Test Corporation, Inc.**

| Position | Instructed Balance | Contra CUSIP |
|----------|--------------------|--------------|
| 120,000  | 30,000             | 744589AA0    |

**Payments (1)**

| DTC Allocation Date/Time                | Payout Number | Payout Type | Amount Allocated |
|---|---------------|-------------|------------------|
| <a href="#">Mar-27-2018 12:42:08 PM</a> | 1             | Cash        | 30,000.00        |

**Payment Activity**

| Activity Date | Allocation | Activity                            |
|---------------|------------|-------------------------------------|
| Mar-27-2018   | -9,000.00  | US Tax W/H Original Adjustment Cash |
| Mar-27-2018   | 30,000.00  | Tender Cash                         |

Total Net Allocation: \$21,000.00

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7. Click the name of any option to open it.
8. For an option that displays payment information, you can click a link under its **Payments** heading for further information on a particular payout.  
A popup window displays the **Allocation Details** for that payout.





## Allocations Overview Page: Viewing a 7 Day Forecast

The Allocations Overview page provides you with a snapshot of your reorganization allocations as of today. You can also look at information for the next seven business days, as well as for the past seven business days.

To view your 7 day reorganization allocation forecast from anywhere in CA Web:

1. Hover over **Allocations** on the menu bar.

The screenshot shows the DTCC Corporate Actions Web interface. The top navigation bar includes 'Home', 'Announcements', 'Instructions', 'Allocations', and 'Adjustments'. The 'Allocations' menu is open, showing 'Overview' as the selected option. Below the navigation bar, there is a search bar and a 'CA ID' dropdown. The main content area is divided into several sections:

- Announcements:** A table with columns 'All Events' and 'Position Only Events'. Rows include 'New Events', 'Amended Events', 'Key Data Updated', 'Extended Expirations', and 'Canceled/Deleted Events', all showing 0 in both columns.
- Warnings:** A table with columns 'Type' and 'As of Mar-26'. Rows include 'All Events with Pledge Positions - Allocating within 5 Days' (16) and 'Conditional Payments' (0).
- Allocations (Today):** A table with columns 'Type', 'Total Due Amount\*', 'Total Due Count', 'Unallocated Amount\*', and 'Unallocated Count'. Rows include 'DV', 'MD', 'SK', and 'FN'.
- Instructions:** A table with columns 'Se', 'Cut Off Today Mar-26-2018', 'Cut Off 03/27/2018', and 'Active'. Rows include 'DRIP' and 'DRIP OptOut'.

2. Click **Overview**.
3. Click the **Reorganizations** tab.

### Note:

You can also reach the Allocations Overview page from the Dashboard by clicking the **Reorganizations** tab, then **Allocations (Today)**.

**DTCC** Asset Services **Corporate Actions Web** Wed Mar 28 2018 07:44:53 GMT-0400 Contact Us DTCC.com  
test\_user 00001234 Logout

Home Announcements Instructions **Allocations** Adjustments  
Overview

**Allocations Overview**

Distributions Redemptions **Reorganizations**

Expand All Collapse All Show 7 Day History Reorganizations for Today - Mar-28-2018 **Show 7 Day Forecast**

**Cash (USD)**

| Event Type             | Total Due         |       | Unallocated       |       | Allocated |       | Projected Adjustments |       |
|------------------------|-------------------|-------|-------------------|-------|-----------|-------|-----------------------|-------|
|                        | Amount            | Count | Amount            | Count | Amount    | Count | Amount                | Count |
| Conversion             | 101,836,916.40    | 4     | 101,836,916.40    | 4     | 0.00      | 0     | 0.00                  | 0     |
| Full Call              | 315,239.22        | 8     | 315,239.22        | 8     | 0.00      | 0     | 0.00                  | 0     |
| Liquidation            | 2,685,438.00      | 3     | 2,685,438.00      | 3     | 0.00      | 0     | 0.00                  | 0     |
| Maturity               | 15,528,923,034.61 | 7     | 15,528,923,034.61 | 7     | 0.00      | 0     | 0.00                  | 0     |
| Merger                 | 464,344,178.75    | 24    | 464,344,178.75    | 24    | 0.00      | 0     | 352,980.07            | 11    |
| Name Change            | 15,330.00         | 1     | 15,330.00         | 1     | 0.00      | 0     | 0.00                  | 0     |
| Put                    | 33,763.56         | 7     | 33,763.56         | 7     | 0.00      | 0     | 0.00                  | 0     |
| Redemption of Warrants | 14,227,257.00     | 2     | 14,227,257.00     | 2     | 0.00      | 0     | 0.00                  | 0     |
| Termination            | 1,352,284.50      | 3     | 1,352,284.50      | 3     | 0.00      | 0     | 0.00                  | 0     |

https://portal.dttcc.org/capase/allocations/getAllocationOverview.do?requestFor=F&participantId=&statusIdentifier=H&eventGroupCode=R

- Click **Show 7 Day Forecast**.  
The **Allocations Overview – 7 Day Forecast** page appears.

**DTCC** Asset Services **Corporate Actions Web** Wed Mar 28 2018 07:49:46 GMT-0400 Contact Us DTCC.com test\_user 00001234 Logout

Home Announcements Instructions Allocations Adjustments

**Allocations Overview** **7 Day Forecast**

CA ID

Dates only appear where activity on your account is anticipated to occur.

Distributions Redemptions **Reorganizations**

[Expand All](#) [Collapse All](#) [Show 1 Day history](#) [Reorganizations for Today - Mar-28-2018](#) [Show 7 Day Forecast](#)

**Cash (USD)** —

There is no data to display.

**MMI** —

There is no data to display.

**Security** —

| Date         | Total Due | Unallocated | Allocated | Projected Adjustments | Actual Adjustments |
|--------------|-----------|-------------|-----------|-----------------------|--------------------|
|              | Count     | Count       | Count     | Count                 | Count              |
| Mar-30-2018  | 2         | 2           | 0         | 0                     | 0                  |
| <b>Total</b> | <b>2</b>  | <b>2</b>    | <b>0</b>  | <b>0</b>              | <b>0</b>           |

**Cash (CAD)** —

There is no data to display.

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**Notes:**

- The **Events** column from the Allocation Overview page is replaced with a **Date** column on the Forecast page. Expected items are listed for the coming seven days, starting with the next business day.
- The **Total Due** column presents a total of the expected amounts and numbers in the columns for each date. The **Total** row at the bottom of this column presents a net total for the entire seven-day period.
- Dates only appear where activity on your account is expected to occur. If no dates appear under a heading, there are no allocations of that type anticipated for your account in the next seven days.
- Click **Expand All** to open all of the entitlement type tables and **Collapse All** to close all of them.
- See the [Allocations Overview](#) topic for more information about this page.

- For Cash (USD and CAD) and MMIs, click the number in any **Count** column to view search results for that allocation type on the listed date.  
For Securities, click the number in any column to view search results for that allocation type on the listed date.

DTCC Asset Services Corporate Actions Web

Wed Mar 28 2018 07:51:22 GMT-0400 Contact Us DTCC.com

test\_user 00001234 Logout

Home Announcements Instructions Allocations Adjustments

Reorganizations - Allocations - Forecast - Security - Total Due - Mar-30-2018 - Search Results

< Return to Previous Page

Results for Client 00000015 - Morgan Stanley

| CA ID     | CUSIP     | Event Security Description | Event Type | Sub Event Type | Asset Type | Declared Payable Date | Anticipated P |
|-----------|-----------|----------------------------|------------|----------------|------------|-----------------------|---------------|
| 516332858 | 629579103 | NACCO INDS INC             | Merger     | Securities     | 010        |                       | Mar-30-       |
| 516332858 | 629579103 | NACCO INDS INC             | Merger     | Securities     | 010        |                       | Mar-30-       |

Displaying 1 to 2 of 2 items

Filter Search Criteria

CUSIP

Search Reset

DTCC

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- Click a **CA ID** for any search result to view that event's [Record Detail](#) page.  
The **Record Detail** page displays the event summary as well as the **Entitlements** tab for that event.

**DTCC** Asset Services **Corporate Actions Web** Wed Mar 28 2018 07:52:30 GMT-0400 Contact Us DTCC.com  
test\_user 00001234 Logout

Home Announcements Instructions Allocations Adjustments

**Record Detail Page - 516332858**

[< Return to Previous Page](#)

CUSIP: 629579103 | Ticker: NC | Issue Description: NACCO INDUSTRIES INC CLA < | Issuer Description: NACCO INDS INC  
| Asset Class: Equity | Asset Type: Common Stock | Event Group: Reorganizations | Event Type: Merger - Sub Event Type:  
Securities | Country of Incorporation: US | Processed at DTC: Yes | DTC Eligible: Yes | Declared Mandatory / Voluntary:  
Mandatory | DTC Mandatory / Voluntary: Mandatory | ISO Core MV: MAND | ISO Event Code: MRGR

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

Event Details Comments Related Events **Entitlements**

Expand All Collapse All

**Option 1 - Securities - 00001234 Test Corporation, Inc.**

| Position | DTC Security Rate | Total Shares Due | DTC Anticipated Payment Date |
|----------|-------------------|------------------|------------------------------|
| 139,299  | 1.5               | 208,948          | Mar-30-2018                  |

**Position (2)**

| Activity Date | Activity          | Position |
|---------------|-------------------|----------|
| Mar-28-2018   | Entitled Position | 139,239  |
| Mar-28-2018   | Pledged Position  | 60       |

Displaying 1 to 2 of 2 items

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7. Click the name of any option to open it.
8. For an option that displays payment information, you can click a link under its **Payments** heading for further information on a particular payout.  
A popup window displays the **Allocation Details** for that payout.
9. You can return to today's listings from the Record Detail page:
  - Click **Return to Previous Page** until you reach **Allocations Overview – 7 Day Forecast**.
  - On that page, click the **Allocations for Today** link above the table.
  - You are returned to the **Allocations Overview** page, which displays today's allocation information.

## About the Entitlements Tab for Reorganization Events

The **Entitlements** tab provides a snapshot of your entitlements based on your eligible balances. The specific information provided on this page varies widely based on the event type.

Selecting a reorg event from the [Allocations Overview](#) page brings you directly to its Record Detail page with the **Entitlements** tab displayed.

The screenshot displays the DTCC Corporate Actions Web interface. The top navigation bar includes links for Home, Announcements, Instructions, Allocations, and Adjustments. The 'Allocations' dropdown menu is open, showing 'Overview' as the selected option. The main content area shows the 'Record Detail Page - 516153072'. The event details section includes information such as CUSIP, Ticker, Issue Description, and Event Type. The 'Entitlements' tab is active, showing a table with columns for Position, DTC Cash Rate, and Total Cash Due. The table contains one row of data. Below the table, there is a section for 'Position (1)' and a table with columns for Activity Date, Activity, and Position. The activity date is Feb-09-2018, and the position is 500,000. The page also includes a footer with the DTCC logo and contact information.

DTCC Corporate Actions Web

Home | Announcements | Instructions | Allocations | Adjustments

Record Detail Page - 516153072

Overview

CUSIP: 600379101 | Ticker: HIE | Issue Description: MILLER/HOWARD HIGH INCOME EQUITY FUND | Issuer Description: MILLER / HOWARD HIGH INCOME EQUITY FD | Asset Class: Equity | Asset Type: Common Stock | Event Group: Reorganizations | Event Type: Redemption of Warrants

Country of Incorporation: US | Processed at DTC: Yes | DTC Eligible: Yes | Declared Mandatory / Voluntary: Mandatory | DTC Mandatory / Voluntary: Mandatory | ISO Core M/V: MAND | ISO Event Code: REDM

Workflow Status: Approved | XBRL Indicator: No

System Data

Event Details | Comments | Related Events | Entitlements | Security Position

Expand All | Collapse All

Option 1 - Cash - 00001234 Test Corporation, Inc.

| Position | DTC Cash Rate | Total Cash Due |
|----------|---------------|----------------|
| 500,000  | 16.5          | 8,250,000.00   |

Position (1)

| Activity Date | Activity          | Position |
|---------------|-------------------|----------|
| Feb-09-2018   | Entitled Position | 500,000  |

Displaying 1 to 1 of 1 items

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*Mandatory Event*

**DTCC** Asset Services **Corporate Actions Web** Fri Feb 09 2018 07:56:08 GMT-0500 Contact Us DTCC.com

Home Announcements Instructions **Allocations** Adjustments

Record Detail Page - 516153072

Overview

< Return to Previous Page

CUSIP: 362320AT0 | Issue Description: GTE CORPORATION D00/00/00 8.750% MN21 RR | Issuer Description: GTE CORPORATION | Asset Class: Corporate Debt | Asset Type: Corporate Debenture | Event Group: Reorganizations | Event Type: Tender Offer - Sub Event Type: Offer to Purchase | Country of Incorporation: US | Processed at DTC: Yes | DTC Eligible: Yes | Declared Mandatory / Voluntary: Voluntary | DTC Mandatory / Voluntary: Voluntary | ISO Core M/V: VOLU | ISO Event Code: TEND

Workflow Status: Approved | XBRL Indicator: No System Data

Event Details Comments Related Events **Entitlements** Adjustments

Expand All Collapse All

**Option 1 - Cash - 00001234 Test Corporation, Inc.**

Position Instructed Balance Contra CUSIP

3,249,000 15,000 471048AG3

**Payments (2)**

| DTC Allocation Date/Time | Payout Number | Payout Type | Amount Allocated |
|--------------------------|---------------|-------------|------------------|
| Apr-13-2018 12:41:16 PM  | 1             | Cash        | 1,501.50         |
| Apr-13-2018 12:41:16 PM  | 2             | Cash        | 153.00           |

**Payment Activity**

| Activity Date | Allocation | Activity                            |
|---------------|------------|-------------------------------------|
| Apr-13-2018   | -45.90     | US Tax W/H Original Adjustment Cash |
| Apr-13-2018   | 1,501.50   | Tender Cash                         |
| Apr-13-2018   | 153.00     | Tender Cash                         |

Total Net Allocation: \$1,608.60

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### Voluntary Event

In the tan **Summary** area above (1), you can view details about this specific event.

Below this, all Entitlements information is broken down by option. Every event has at least one option, and every option has at least one payout.

Each of the rows below the Summary area represents an individual option for this event.

- If there is only one option, it is expanded by default.

- If there is more than one option, click the black row to expand the option you want to view.

Option information includes:

**(2) Summary information** for this option (all events)

**(3) Position information** for this option (mandatory reorganization events only). This displays your total position for this option.

**(4) Position activity** associated with this option. This is only displayed if activity has already occurred.

**(5) Payment information** associated with this option.

**(6) Payment activity** associated with this option. This is only displayed if payment has already occurred.

Click the **Expand All (+)** and **Collapse All (-)** icons **(7)** to either expand or collapse all options on the page.

---

**Notes:**

1. The Entitlements tab will not appear until the position capture date, and only if you have position in a given event.
  2. The tab also appears for event cancellations.
- 

Learn more:

[Entitlements Tab Messages](#)

[Option Area](#)

[Position Area](#)

[Payment Area](#)



## Entitlements Tab Messages

| This area   | May display this message   |
|---|--|
| Entitlements Tab page                                   | "This total net cash allocation amount includes both the primary allocation and any applicable adjustments to your account."   |
| Entitlements Tab – "Option" row                         | "Carefully review the External Comments for terms, rates, and additional information regarding this option as well as the Event Details Option and Payout Information."  |
| Entitlements Tab - Net Position                         | "This position represents a fractional amount. This is fractional security linked to the event security. The fractional CUSIP is *CUSIP*."   |
| Entitlements Tab - Position (Reorgs)                    | "This position represents the total net position for this account including both the Net Free Position and Net SLN/Repo Positions."  |
| Entitlements Tab – Net Position (Distributions)         | "Eligible Balance"   |
| Entitlements Tab - Protect Balance                      | "This balance contains a cumulative total of all uncovered protects. As protects are covered this balance will be reduced. This balance includes both the basic subscription quantity and the oversubscription quantity. " |
| Entitlements Tab - Total Subscription Cost              | "This charge represents both the basic and oversubscription costs for all instructions for the event."   |
| Entitlements Tab - Instructed Balance                   | "Balance Instructed upon up until current point in time."  |
| Entitlements Tab – Refunded Subscription Charge         | "This refunded amount represents the amount returned due to unaccepted oversubscription fees and/or the difference between the estimated and final Price Paid Per Product rates."  |
| Entitlements Tab – Refunded Uncovered Protects          | "This refunded amount represents the subscription charges returned due to uncovered protects."   |
| Entitlements Tab – Additional Cost Collection           | "This additional cost amount represents the difference between the estimated and final Price Paid Per Product rates."  |
| Entitlements Tab – Shares Disbursed (Reorg Voluntaries) | "This amount represents a cumulative total of securities allocations for this option. Please refer to the Payment Activity details for more information. "   |
| Entitlements Tab - Cash Rate                            | "This rate is subject to change and may be different per accepted instruction."  |
| Entitlements Tab - Net Position                         | "This position represents a fractional amount. This is fractional security linked to the event security. The fractional CUSIP is *CUSIP*."   |
| Entitlements Tab – Total Net Allocation                 | "This total net cash allocation amount includes both the primary allocation and any applicable adjustments to your account."   |

## Option Area

The Option bar is opened by default. An information icon appears on the option bar after your firm's name if external comments exist for this event. **Be sure to review these external comments** for terms, rates, and additional information regarding this option as well as the event details option and payout information.

The information displayed is different for [mandatory](#) and [voluntary](#) reorganization events as well as per option type. In general, it displays:

- **Option** summary fields,
- A **Position** bar (for mandatory reorganizations only; expanded by default),
- A **Payment** bar (expanded by default), containing
- A **Payment Activity** bar.

Click the black bar of any option to expand it and display position and position activity information.

### Mandatory Event Option Information

The information displayed in the Option summary area for Mandatory Events varies by event type. Columns in this area can include:

| Field Name                          | Definition  |
|-------------------------------------|---|
| <b>Allocated Amount</b>             | The amount of the primary allocation. It is only shown if the allocation has already occurred.  |
| <b>Declared Payable Date</b>        | The payment date as announced by the issuer or offeror.   |
| <b>DTC Anticipated Payment Date</b> | The date on which DTC expects to allocate.  |
| <b>DTC Cash Rate</b>                | The rate of DTC's cash payout.  |
| <b>DTC Security Rate</b>            | The rate of DTC's security payout.  |
| <b>Net SLN/Repo Position</b>        | The net position that represents the Record Date Stock Loan/Repo position activities that occurred during the Interim Monitoring period for this account. |
| <b>Position</b>                     | The eligible balance for this option.   |
| <b>Shares Disbursed</b>             | The amount of shares that have been disbursed. This amount is only displayed after an allocation has occurred.  |
| <b>Total Cash Due</b>               | For cash options, the amount that you can expect to see in cash as a result of this event.  |
| <b>Total Shares Due</b>             | For stock options, the number of shares that you can expect to see as a result of this event.   |

### Voluntary Event Option Information

The information displayed in the Option summary area for Voluntary Events varies widely by event type.

Columns in this area can include:

| Field Name                                    | Definition   |
|---|--|
| <b>Allocation</b>                             | The amount that is expected to be allocated as a result of this event.   |
| <b>Basic Subscription Balance</b>             | For EXER and OVER options for rights subscriptions, this is the subscription balance. It is only seen when oversubscription is available. Click the number in this column to view a popup window detailing the transactions that contribute to this balance.   |
| <b>Contra-CUSIP</b>                           | The identifier of the contra-CUSIP involved in this reorg.   |
| <b>DTC Cash Rate</b>                          | The rate of DTC's cash payout.   |
| <b>DTC Declared Payable Date</b>              | The payment date as announced by DTC.  |
| <b>DTC Price Paid per Product</b>             | The generic exercise price or subscription price paid per product.   |
| <b>Price Paid per Product (Oversubscribe)</b> | The price paid per product for the oversubscription.   |
| <b>Estimated Rate Flag</b>                    | For EXER and OVER options for rights subscriptions, this indicates when the subscription rate is estimated.  |
| <b>Instructed Balance</b>                     | This is the contra-CUSIP balance that has been instructed upon up to this point in time. Click the number in this column to view details for the voluntary offer instructions that make up the instructed balance.   |
| <b>Oversubscription Balance</b>               | For Rights Subscription events, this is the total number of oversubscribed units applicable to the payment or the subscription charge. Click the number in this column to view a popup window detailing the transactions that contribute to this oversubscription balance.   |
| <b>Position</b>                               | The eligible balance for this option.  |
| <b>Price Paid per Product</b>                 | The generic exercise price or subscription price paid per product.   |
| <b>Protect Balance</b>                        | Applies to EXER and OVER options for rights subscriptions. This column is only seen when protects exist. Click the number in this column to view details about the amounts that contribute to this balance.  |
| <b>Subscription Rate</b>                      | The number of rights needed to buy one full share of stock.  |
| <b>Total Cash Due</b>                         | The amount that you can expect to see in cash as a result of this event.   |
| <b>Total Subscription Cost</b>                | <p>For EXER and OVER options for rights subscriptions, this represents both the basic and oversubscription costs for all instructions for this event.</p> <p>This balance equals the cumulative running total of the basic, oversubscription, and protect charges. It is reduced upon allocation to account uncovered protects and refunded subscription costs due to proration and estimated price decreasing. If the final price increases, the subscription cost increases as well.</p> |

## Position Area

The Position table lists all activity that contributes to an individual option position. It appears only for Mandatory reorganization events.

Once you have opened an [option](#), this table is displayed. It contains the following columns:

- **Activity Date.** The date on which the position activity occurred.
- **Activity Description.** The type of position activity being described. Here on the Entitlements tab, this describes your entitlement or pledged position.
- **Position.** The amount on which the entitlement is based.

The number in parentheses next to the Position label indicates the number of contributing activity items contained in the table. For example, "Position (2)" indicates that two activities have taken place. The sum of this activity equals the position for this particular event.

Each activity item is listed separately in the table. All activities in this table add up to the total position displayed in its [option](#) summary.

---

**Note:**

Narrow your activity results by clicking the **Filter** button on the right below the blue Position bar.

---

### Grid Filter

Column

Criteria

|               |              |                   |
|---------------|--------------|-------------------|
| Activity Date | Equals       | Feb-08-2018       |
| Activity      | Greater than | Entitled Position |
| Position      | Equals       | 34,335            |

Apply

Clear

Select your filter criteria using the drop-down menus and click **Apply**.

## Payment Area

The Payment table is displayed under an option *only* if payments have occurred. It contains the details of all payments that have taken place for this option.

The number in parentheses next to the Payments label indicates the number of payments contained in the table. For example, “Payment (2)” indicates that two payments were made on this particular event.

Click the black **Payments** bar to display all payment information.

### Mandatory Events

For mandatory events these fields include:

| Field Name                              | Definition  |
|---|---|
| <i>For cash payments:</i>               |   |
| <b>Payout Number</b>                    | Number of the individual payout.<br>For example, payout 1 is principal and payout 2 is interest. This is in line with the payouts specified in the Event Details tab.   |
| <b>Payout Type</b>                      | The type of payout being made: <ul style="list-style-type: none"> <li>• Cash</li> <li>• Dividends</li> <li>• Principal</li> <li>• Interest</li> </ul>   |
| <b>Amount Allocated</b>                 | Amount paid out for each separate payment.<br>This amount represents a cumulative total for cash allocations for this option. To view individual allocation information, click the hyperlink in the DTC Allocation Date/Time column to view the allocation details. |
| <b>DTC Allocation Date/Time</b>         | The date and time at which the allocation was made by DTC.<br>Click this link to view a popup window containing Allocation details.   |
| <b>DTC Cash Rate</b>                    | The rate of DTC's cash payout.  |
| <i>For security payments:</i>           |   |
| <b>Payout Number</b>                    | Number of the individual security payout.   |
| <b>Payout Type</b>                      | The type of payout being made (i.e., securities).   |
| <b>Shares Disbursed</b>                 | The amount of shares that have been paid out.   |
| <b>DTC Allocation Date/Time</b>         | The date and time at which the allocation was made by DTC.  |
| <b>DTC Security Rate</b>                | The rate of DTC's security payout.  |
| <b>DTC Disbursed Security ID</b>        | The CUSIP of the security being paid out.   |
| <b>DTC Cash In Lieu Price</b>           | The price when cash is received in lieu of securities.  |
| <b>CIL Amount Allocated</b>             | The amount of cash that is being paid out in lieu of securities.  |
| <b>DTC CIL Allocation Date and Time</b> | The date and time at which a cash in lieu allocation was made.  |

## Voluntary Events

For voluntary events, these fields include:

| Field Name  | Definition   |
|---|--|
| <b>Additional Cost Collection</b>                     | For rights subscriptions, this displays (when applicable) the additional cost amount that represents the difference between the estimated and final Price Paid Per Product rates.  |
| <b>Amount Allocated</b>                               | <p>For cash options, this is the amount of the primary allocation. It is only shown if the allocation has already occurred.</p> <p>This amount represents a cumulative total for cash allocations for this option. To view individual allocation information, click the hyperlink in the DTC Allocation Date/Time column to view the Allocation details.</p> |
| <b>DTC Allocation Date/Time</b>                       | <p>The date and time at which the allocation was made by DTC.</p> <p>Click this link to view <a href="#">Payment Activity</a> details. For your reference, the window provides a transaction number for this allocation payment.</p>   |
| <b>DTC Cash Rate</b>                                  | For sell options on rights and rights subscriptions, this displays (when applicable) the rate of DTC's cash payout. This rate is subject to change and may be different per accepted instruction.  |
| <b>Payout Number</b>                                  | <p>Number of the individual payout.</p> <p>For example, payout 1 is principal and payout 2 is interest. This is in line with the payouts specified in the Event Details tab.</p>   |
| <b>Payout Type</b>                                    | Indicates the type of payout being made. Here, the payout type can be cash or stock.   |
| <b>Refunded Subscription Charge</b>                   | For rights and rights subscriptions, this displays (when applicable) either the amount returned due to unaccepted oversubscription fees and/or the difference between the estimated and final Price Paid Per Product rates.  |
| <b>Refunded Uncovered Protect Subscription Charge</b> | For rights and rights subscriptions, this displays (when applicable) the amount of subscriptions charges refunded due to uncovered protects.   |
| <b>Shares Disbursed</b>                               | <p>For security options, the number of shares that you can expect to see as a result of this event.</p> <p>This amount represents a cumulative total for stock allocations for this option. To view individual allocation information, click the hyperlink in the DTC Allocation Date/Time column to view the <a href="#">Payment Activity</a> details.</p>  |
| <b>Subscription Charge</b>                            | For warrants only, this is the amount of the subscription charge for the transaction ID.   |

## Payment Activity

The Payment Activity area displays:

- The **Activity Date** of the payment.
- The **Allocation** amount that was paid.
- The type of **Activity** that the payment represents.

Underneath the table, you can see your **Total Net Allocation**. This is the sum of all payment activity that is displayed in the table above, including both the primary allocation and any applicable adjustments to your account.

The details in this table correspond to the information provided in the **Allocation** pop-up reached by clicking the [DTC Allocation Date/Time](#) links in the Payment area. For your reference, the window provides a transaction number for this payment.

---

**Notes:**

- Narrow your activity results by clicking the **Filter** button on the right below the Activity Breakdown bar.
  - You can print this information by clicking the **Print** icon on the right side below the header.
-

# Adjustments

## About the Adjustments Overview Page: “Reorganizations” Tab

Adjustments include all entitlement and allocation activity that is outside the traditional pay date allocations. The **Adjustments Overview** page provides you with the ability to see all of your adjustments information in one place, across reorganization types and for a range of fifteen business days.

From the menu bar:

1. Click **Adjustments**.
2. Click **Overview**.

The screenshot shows the DTCC Corporate Actions Web interface. The top navigation bar includes links for Home, Announcements, Instructions, Allocations, and Adjustments. The Adjustments dropdown menu is open, highlighting the Overview option. Below the menu, there is a search section with tabs for Custom Search and Advanced Search. The Custom Search tab is active, showing a Saved Search Criteria section with a dropdown for No Saved Searches Available and a Load button. The search filters include Event Group (Distributions, Redemptions, Reorganizations), CA Identifier, CUSIP, Event Security Description Starts with, Event/Sub Type, and Limit to Position. A Search button and a Reset button are located at the bottom of the search filters. A Save This Search button is also present.

3. Click the **Reorganizations** tab.



Read more about the areas of this screen below.

**DTCC** Asset Services **Corporate Actions Web** Thu May 31 2018 13:50:05 GMT-0400 Contact Us DTCC.com Test User Logout

Home Announcements Instructions Allocations Adjustments

**Adjustments Overview**

CA ID

Last Updated May-31-2018 01:48:01 PM

Adjustment History Search

Distributions Redemptions **Reorganizations**

Expand All Collapse All

All Adjustments Unallocated Adjustments Allocated Adjustments

Show 7 Day History Adjustments for Today - May-31-2018 Show 7 Day Forecast

**Cash (USD)**

| Event Type             | Cash Total        |           | Misc/GL     |          | Reorg Deposit |          | Custody Deposit   |           |
|------------------------|-------------------|-----------|-------------|----------|---------------|----------|-------------------|-----------|
|                        | Net Amount        | Count     | Net Amount  | Count    | Net Amount    | Count    | Net Amount        | Count     |
| Merger                 | 348,721.46        | 12        | 0.00        | 0        | 0.00          | 0        | 348,721.46        | 12        |
| Redemption of Warrants | 83.79             | 1         | 0.00        | 0        | 0.00          | 0        | 83.79             | 1         |
| <b>Total</b>           | <b>348,805.25</b> | <b>13</b> | <b>0.00</b> | <b>0</b> | <b>0.00</b>   | <b>0</b> | <b>348,805.25</b> | <b>13</b> |

**MMI**

There is no data to display.

**Security**

| Event Type   | Stock Total |
|--------------|-------------|
| Merger       | 13          |
| <b>Total</b> | <b>13</b>   |

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## 1. Last Updated Date and Time

This bar contains the latest time at which adjustments were made, allowing you to determine how recent the data is. This information will be updated every time an allocation is performed.

## 2. Adjustment History Search

Use the Adjustment History Search to research aged and allocated adjustments for distribution, redemption, or reorganization events. Click the bar to open the section. Read more about this topic [here](#).

### 3. Adjustments Selection Buttons

The totals for your reorganization adjustments are broken out by cash, MMI, and securities for the current business day.

Three radio buttons above the adjustment amounts allow you to view:

- **All Adjustments.** The default view. It represents the sum of the unallocated and allocated adjustments.
- **Unallocated Adjustments.** Adjustments that are anticipated to be posted to your account on this business day.
- **Allocated Adjustments.** Adjustments that have actually posted to your account on this business day.

These buttons allow you to segregate out what you can expect to be adjusted, what is actually adjusted, and what has not yet been adjusted.

### 4. Show History/Today/Forecast

Three links above the Adjustments data allow you to change the time period for the Adjustments page:

- **Show 7 Day History.** Click to see the adjustments that have posted to your account in the last 7 days. You will only see listings for dates on which adjustments posted to your account.
- **Adjustments for Today.** Click to see the default view, containing both allocated and non-allocated adjustments as of the date specified in the blue bar below the Quick Search.
- **Show 7-Day Forecast.** Click to see the adjustments that are anticipated to post to your account in the next 7 days. You will only see listings for dates on which adjustments are anticipated to be posted to your account.

### 5. Expand/Collapse All

Click the **Expand All** and **Collapse All** buttons to open and close all black bars on the page (**Cash**, **MMI**, and **Security**). Each black bar is automatically open if it contains any activity.

### 6. Cash (USD) bar

The first column contains the **Event Type**. Note that you will only see event types when a cash adjustment for that type of event either has been processed or may be processed.

To the right of the event type column are the adjustment types:

- **Cash Total.** The total of all cash adjustments for an event type.
- **Misc/GL.** Cash adjustments that have been manually created by DTC staff due to post-allocation cash adjustments.
- **Reorg Deposit.** Cash adjustments that are made due to reorg deposits.

- **Custody Deposit.** Cash adjustments that are made due to deposits using DTC's Custody services.

The last entry in any column represents the total for that adjustment type.

The adjustment counts and net amounts in the **Cash** column are the cumulative total of items in the remaining columns: your miscellaneous general ledger adjustments, reorg deposits, and custody deposits. Credit balances are displayed in black; debit balances are displayed in red.

This is helpful in conjunction with the [radio buttons](#) above. Depending on the view you choose, you can see your total cash adjustments due, your total cash adjustments allocated, or your total cash adjustments that are unallocated today.

Each adjustment type column has two sub-columns:

- **Net Amount (USD).** The amount represented by a type of adjustment within an individual event type.
  - In the **Cash Total** column, this is the net amount of all adjustments within an individual event type. It is the total of the other Net Amounts in that row. The last row in this sub-column represents the sum of all net adjustment activity.
  - In every other column, this is the net amount for that particular adjustment type within an individual event type. The last row in each of these columns represents the sum of the activity for that adjustment type across all events.
- **Count.** The number of adjustments that comprise the net amount for that adjustment type within an individual event type.
  - In the **Cash Total** column, this is the count for all adjustments within an individual event type. It is the total of the other counts in that row. The last row in this sub-column represents the total number of adjustments made.
  - In every other column, the count represents the number of adjustments for that particular adjustment type within an individual event type. The last row in this sub-column represents the sum of adjustments of that type made across all events.

The **Total** row of the **Cash Total** column displays the total amount and counts for all adjustments within the specified [status](#) and [time period](#).

If you need to see the actual breakdown of debits and credits, click any adjustment count hyperlink. This will bring you to a search results page that lists all of the individual adjustments in this particular count.

## 7. MMI bar

The first column contains the **Event Type**. Note that you will only see event types when an MMI adjustment for that type of event either has been processed or may be processed.

To the right of the event type column is the adjustment type:

- **MMI Misc/GL.** MMI miscellaneous/general ledger adjustments that have been manually created by DTC staff due to post allocation cash adjustments.

Credit balances are displayed in black; debit balances are displayed in red.

This is helpful in conjunction with the [radio buttons](#) above. Depending on the view you choose, you can see your total MMI adjustments due, your total MMI adjustments that are unallocated today, or your total MMI adjustments that have been allocated.

The MMI Misc/GL column has two sub-columns:

- **Net Amount (USD).** The amount represented by an adjustment.
- **Count.** The number of adjustments that comprise the net amount.

The **Total** row of the **MMI Misc/GL** column displays the total amount and counts for all adjustments within the specified [status](#) and [time period](#).

If you need to see the actual breakdown of debits and credits, click any adjustment count hyperlink. This will bring you to a search results page that lists all of the individual adjustments in this particular count.

## 8. Security bar

The first column contains the **Event Type**. Note that you will only see event types when a security adjustment for that type of event either has been processed or may be processed.

To the right of the event type column is the **Stock Total** column. It lists the total of all stock adjustments for an event type. The last entry in this column represents the total for all security adjustment types.

This is helpful in conjunction with the [radio buttons](#) above. Depending on the view you choose, you can see your total stock adjustments due, your total stock adjustments allocated, or your total stock adjustments that are unallocated today.

The number in the **Count** column represents the number of adjustments within an individual event type. The **Total** row in this column displays the total counts for all adjustments within the specified [status](#) and [time period](#).

If you need to see the actual breakdown of debits and credits, click any adjustment count hyperlink. This will bring you to a search results page that lists all of the individual adjustments in this particular count.

## Viewing Adjustments

You can view adjustments by clicking one of the links in the Adjustments compartment on the Reorganizations [Dashboard](#) to get to an Adjustments search results page. Alternately, you can use the menu bar.

To view an individual event via the Adjustments [Overview](#) page:

1. Hover over **Adjustments** on the menu bar.
2. Click **Overview**.

The screenshot shows the DTCC Corporate Actions Web interface. The top navigation bar includes links for Home, Announcements, Instructions, Allocations, and Adjustments. The Adjustments dropdown menu is open, with 'Overview' selected. Below the menu, the 'Adjustments Overview' page is displayed. The 'Reorganizations' tab is highlighted. The table shows adjustment data for Cash (USD), MMI, and Security. The Cash (USD) section includes a table with columns for Event Type, Cash Total (Net Amount, Count), Misc/GL (Net Amount, Count), Reorg Deposit (Net Amount, Count), and Custody Deposit (Net Amount, Count). The data rows show Merger, Redemption of Warrants, and a Total row. The MMI section shows 'There is no data to display.' The Security section shows 'Stock Total'.

| Cash (USD)             |                   | Misc/GL   |             | Reorg Deposit |             | Custody Deposit |                   |           |
|------------------------|-------------------|-----------|-------------|---------------|-------------|-----------------|-------------------|-----------|
| Event Type             | Net Amount        | Count     | Net Amount  | Count         | Net Amount  | Count           | Net Amount        | Count     |
| Merger                 | 348,721.46        | 12        | 0.00        | 0             | 0.00        | 0               | 348,721.46        | 12        |
| Redemption of Warrants | 83.79             | 1         | 0.00        | 0             | 0.00        | 0               | 83.79             | 1         |
| <b>Total</b>           | <b>348,805.25</b> | <b>13</b> | <b>0.00</b> | <b>0</b>      | <b>0.00</b> | <b>0</b>        | <b>348,805.25</b> | <b>13</b> |

MMI

There is no data to display.

Security

Event Type Stock Total

This opens the Adjustments Overview page.

3. Click the **Reorganizations** tab.

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Home Announcements Instructions Allocations Adjustments

### Adjustments Overview

CA ID

Last Updated May-31-2018 01:48:01 PM

Adjustment History Search

Distributions Redemptions **Reorganizations**

Expand All Collapse All Show 7 Day History ☒ All Adjustments ☐ Unallocated Adjustments ☐ Allocated Adjustments Adjustments for Today - May-31-2018 Show 7 Day Forecast

#### Cash (USD)

| Event Type             | Cash Total        |           | Misc/GL     |          | Reorg Deposit |          | Custody Deposit   |           |
|------------------------|-------------------|-----------|-------------|----------|---------------|----------|-------------------|-----------|
|                        | Net Amount        | Count     | Net Amount  | Count    | Net Amount    | Count    | Net Amount        | Count     |
| Merger                 | 348,721.46        | 12        | 0.00        | 0        | 0.00          | 0        | 348,721.46        | 12        |
| Redemption of Warrants | 83.79             | 1         | 0.00        | 0        | 0.00          | 0        | 83.79             | 1         |
| <b>Total</b>           | <b>348,805.25</b> | <b>13</b> | <b>0.00</b> | <b>0</b> | <b>0.00</b>   | <b>0</b> | <b>348,805.25</b> | <b>13</b> |

#### MMI

There is no data to display.

#### Security

| Event Type   | Stock Total |
|--------------|-------------|
| Merger       | 13          |
| <b>Total</b> | <b>13</b>   |



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- Click the record count in any **Count** column.  
The Adjustments search results page appears for all events of that type and status.

**DTCC** Asset Services **Corporate Actions Web** Fri Jun 15 2018 11:08:13 GMT-0400 Contact Us DTCC.com





Home Announcements Instructions Allocations Adjustments

Reorganizations - Adjustments - All - Cash (USD) - Cash Total - Merger - Jun-15-2018 - Search Results

< Return to Previous Page  CA ID  

| CA ID     | CUSIP     | Event Security Description | Event Type | Sub Event Type      | Record Date | Declared Payable Date | DTC Post Date | Type            |
|-----------|-----------|----------------------------|------------|---------------------|-------------|-----------------------|---------------|-----------------|
| 516823505 | 45900K101 | INTERNATIONAL AMCO COR     | Merger     | Securities          | Mar-16-2018 | Mar-30-2018           | Jun-15-2018   | Custody Deposit |
| 516823505 | 45900K101 | INTERNATIONAL AMCO COR     | Merger     | Securities          | Mar-14-2018 | Apr-27-2018           | Jun-15-2018   | Custody Deposit |
| 516823505 | 45900K101 | INTERNATIONAL AMCO COR     | Merger     | Securities          | Mar-14-2018 | Jun-11-2018           | Jun-15-2018   | Custody Deposit |
| 516823505 | 45900K101 | INTERNATIONAL AMCO COR     | Merger     | Securities          | Mar-16-2018 | Mar-30-2018           | Jun-15-2018   | Custody Deposit |
| 516823505 | 45900K101 | INTERNATIONAL AMCO COR     | Merger     | Securities          | Apr-30-2018 | May-31-2018           | Jun-15-2018   | Custody Deposit |
| 517000008 | 162087407 |                            | Merger     | Cash and Securities | Jun-14-2018 | Mar-21-2018           | Jun-15-2018   | Custody Deposit |
| 517000008 | 162087407 |                            | Merger     | Cash and Securities | Jun-14-2018 | Mar-21-2018           | Jun-15-2018   | Custody Deposit |
| 517000008 | 162087407 |                            | Merger     | Cash and Securities | Apr-09-2018 | May-04-2018           | Jun-15-2018   | Custody Deposit |

Displaying 21 to 36 of 36 items   Page 2 of 2  

**Filter Search Criteria**

CUSIP

[https://portal.dtc.org/gcapse/gca/getCompositeActionView.do?participantId=00000443&accessType=V&activeTab=adjustmentsTab&searchTy=Cash&adjustmentType=RC\\_&caEventId=516823505](https://portal.dtc.org/gcapse/gca/getCompositeActionView.do?participantId=00000443&accessType=V&activeTab=adjustmentsTab&searchTy=Cash&adjustmentType=RC_&caEventId=516823505)

- This page displays up to 3000 results. Use the **Page X of Y** field and arrows to move through the results.
- You can sort these results by clicking on any of the column headings.
- Click the **Customize Results Columns** button to select the columns to use in the display. All columns are displayed by default.
- Click **Filter** to refine the results by any applicable criteria.
- You can export these results to Excel by clicking the **Export to Excel** button. When you export your results to Excel, you will export all results – not just the ones that appear on the page.
- You can print these results by clicking on the **Print** icon. When you print your results, you will only print the results that appear on the page.

- Click any **CA ID** number to view that event.

**DTCC Corporate Actions Web**

Record Detail Page - 516823505

CUSIP: 45900K101 | Issue Description: INTERNATIONAL AMCO COR | Issuer Description: INTERNATIONAL AMCO COR | Asset Class: Equity |  
 Asset Type: Not Applicable | Event Group: Reorganizations | Event Type: Merger - Sub Event Type: Securities | Country of Incorporation: US |  
 Processed at DTC: Yes | DTC Eligible: Yes | Declared Mandatory / Voluntary: Mandatory | DTC Mandatory / Voluntary: Mandatory | ISO Core M/V: MAND |  
 ISO Event Code: MRGR

Workflow Status: Incomplete | XBRL Indicator: No

Event Summary - 00000443 - Pershing LLC

| CUSIP     | Event Type |
|-----------|------------|
| 45900K101 | Merger     |

Expand All Collapse All

**Misc GL (3)**

| Option | Option Type | Post Date   | Adjustment Amount | Allocation Date/Time    | Comments             |
|--------|-------------|-------------|-------------------|-------------------------|----------------------|
| 1      | Securities  | Apr-13-2018 | 50.00             | Apr-13-2018 03:10:07 PM | <a href="#">View</a> |
| 1      | Securities  | Apr-03-2018 | -343.75           | Apr-03-2018 03:10:07 PM | <a href="#">View</a> |
| 1      | Securities  | Mar-19-2018 | 67.05             | Mar-19-2018 03:10:08 PM | <a href="#">View</a> |

Displaying 1 to 3 of 3 items

**Custody Deposit (17)**

The Record Detail page appears in the browser window, displaying the **Adjustments** tab. Adjustments relating to this CA ID are displayed on this page.

- Click the black bar of any adjustment type to view a list of the activity details.

**Note:**

The black bar turns green when you hover over it for selection.

- Click the **View** link to view details for a particular adjustment activity.

**Option 1 - Securities - Misc GL**

Your Account was credited on Apr-13-2018 for the following reasons:

- US Tax W/H Instruction Adjustment 00.00 %

Questions regarding this adjustment can be directed to DTCC Client Support Telephone Hotline number 1 (888) 382-2721.



## Adjustments Overview Page: Viewing a 7 Day History

To view your seven-day reorganization adjustment history from anywhere in CA Web:

1. Hover over **Adjustments** on the menu bar.

The screenshot shows the DTCC Corporate Actions Web interface. The top navigation bar includes links for Home, Announcements, Instructions, Allocations, and Adjustments. The Adjustments dropdown menu is open, with 'Overview' highlighted. Below the menu, the 'Adjustments Overview' section is visible, including a search bar and a tabbed interface with 'Distributions', 'Redemptions', and 'Reorganizations' (the active tab). The 'Show 7 Day History' link is present. The main content area displays a table for 'Cash (USD)' adjustments, with columns for Event Type, Cash Total (Net Amount, Count), Misc/GL (Net Amount, Count), Reorg Deposit (Net Amount, Count), and Custody Deposit (Net Amount, Count). The table shows data for Merger, Redemption of Warrants, and a Total row.

| Event Type             | Cash Total        |           | Misc/GL     |          | Reorg Deposit |          | Custody Deposit   |           |
|------------------------|-------------------|-----------|-------------|----------|---------------|----------|-------------------|-----------|
|                        | Net Amount        | Count     | Net Amount  | Count    | Net Amount    | Count    | Net Amount        | Count     |
| Merger                 | 348,721.46        | 12        | 0.00        | 0        | 0.00          | 0        | 348,721.46        | 12        |
| Redemption of Warrants | 83.79             | 1         | 0.00        | 0        | 0.00          | 0        | 83.79             | 1         |
| <b>Total</b>           | <b>348,805.25</b> | <b>13</b> | <b>0.00</b> | <b>0</b> | <b>0.00</b>   | <b>0</b> | <b>348,805.25</b> | <b>13</b> |

2. Click **Overview**.
  3. Click the **Reorganizations** tab.
  4. Click **Show 7 Day History**.
- The Adjustments Overview – 7 Day History page appears.

**DTCC** Asset Services **Corporate Actions Web** Tue Jun 12 2018 11:33:26 GMT-0400 Contact Us DTCC.com

Home Announcements Instructions Allocations Adjustments

**Adjustments Overview**

CA ID

Last Updated Jun-12-2018 11:15:45 AM

Adjustment History Search

Distributions Redemptions **Reorganizations**

Expand All Collapse All Show 7 Day History

All Adjustments Unallocated Adjustments Allocated Adjustments

Adjustments for Today - Jun-12-2018 Show 7 Day Forecast

**Cash (USD)**

| Event Type             | Cash Total        |           | Misc/GL<br>Net Amount | Count    | Reorg Deposit |          | Custody Deposit   |           |
|------------------------|-------------------|-----------|-----------------------|----------|---------------|----------|-------------------|-----------|
|                        | Net Amount        | Count     |                       |          | Net Amount    | Count    | Net Amount        | Count     |
| Merger                 | 348,721.46        | 12        | 0.00                  | 0        | 0.00          | 0        | 348,721.46        | 12        |
| Redemption of Warrants | 83.79             | 1         | 0.00                  | 0        | 0.00          | 0        | 83.79             | 1         |
| <b>Total</b>           | <b>348,805.25</b> | <b>13</b> | <b>0.00</b>           | <b>0</b> | <b>0.00</b>   | <b>0</b> | <b>348,805.25</b> | <b>13</b> |

**MMI**

There is no data to display.

**Security**

| Event Type   | Stock Total |
|--------------|-------------|
| Merger       | 13          |
| <b>Total</b> | <b>13</b>   |

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**Notes:**

- The **Events** column from the Adjustment Overview page is replaced with a **DTC Post Date** column on the History page. Items are listed for the last seven days, starting with the business day before this one.
- The **Cash Total** column presents a summation of all adjustment activity across event types for an individual date in the range.
- The final **Total** row in each entitlement type table represents the grand total of all adjustments for the past seven days.
- Click **Expand All** to open all of the entitlement type tables and **Collapse All** to close all of them.
- See the **Adjustment Overview** topic for more information about this page.

- Click the number in any **Count** column to view search results for that adjustment type on the listed date.
- Return to today's listing by clicking the **Adjustments for Today** link above the table.

## Adjustment Overview Page: Viewing a 7 Day Forecast

To view your seven-day reorganization adjustment forecast from anywhere in CA Web:

1. Hover over **Adjustments** on the menu bar.
2. Click **Overview**.
3. Click the **Reorganizations** tab.

**DTCC** Asset Services **Corporate Actions Web** Thu Jun 07 2018 14:00:39 GMT-0400 Contact Us DTCC.com Test User Logout

Home Announcements Instructions Allocations **Adjustments**

**Adjustments Overview** Overview Not Processed APOs CMO Trade Adjustments Search

Last Updated Jun-07-2018 01:46:10 PM

Adjustment History Search

Distributions Redemptions **Reorganizations**

Expand All Collapse All Show 7 Day History All Adjustments Unallocated Adjustments Allocated Adjustments Adjustments for Today - Jun-07-2018 Show 7 Day Forecast

**Cash (USD)**

| Event Type             | Cash Total        |           | Misc/GL     |          | Reorg Deposit |          | Custody Deposit   |           |
|------------------------|-------------------|-----------|-------------|----------|---------------|----------|-------------------|-----------|
|                        | Net Amount        | Count     | Net Amount  | Count    | Net Amount    | Count    | Net Amount        | Count     |
| Merger                 | 348,721.46        | 12        | 0.00        | 0        | 0.00          | 0        | 348,721.46        | 12        |
| Redemption of Warrants | 83.79             | 1         | 0.00        | 0        | 0.00          | 0        | 83.79             | 1         |
| <b>Total</b>           | <b>348,805.25</b> | <b>13</b> | <b>0.00</b> | <b>0</b> | <b>0.00</b>   | <b>0</b> | <b>348,805.25</b> | <b>13</b> |

**MMI**

There is no data to display.

**Security**

Event Type Stock Total

4. Click **Show 7 Day Forecast**.  
The Adjustments Overview – 7 Day Forecast page appears.

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**Adjustment Overview - 7 Day Forecast**

[Return to Previous Page](#) CA ID

Activity is only shown for days where Adjustments are anticipated to be posted to your account.

Distributions Redemptions **Reorganizations**

[Expand All](#) [Collapse All](#) [Show 7 Day Forecast](#)

**Cash (USD)**

[Show 7 Day History](#) [Adjustments for Today - Jun-12-2018](#)

| <b>DTC Post Date</b> | <b>Cash Total</b> |          | Misc/GL     |          | Reorg Deposit |          | Custody Deposit  |          |
|----------------------|-------------------|----------|-------------|----------|---------------|----------|------------------|----------|
|                      | Net Amount        | Count    | Net Amount  | Count    | Net Amount    | Count    | Net Amount       | Count    |
| Jun-19-2018          | 30,645.38         | 1        | 0.00        | 0        | 0.00          | 0        | 30,645.38        | 1        |
| <b>Total</b>         | <b>30,645.38</b>  | <b>1</b> | <b>0.00</b> | <b>0</b> | <b>0.00</b>   | <b>0</b> | <b>30,645.38</b> | <b>1</b> |

**MMI**

There is no data to display.

**Security**

There is no data to display.

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**Notes:**

- The **Events** column from the Adjustment Overview page is replaced with a **DTC Post Date** column on the Forecast page. Expected items are listed for the coming seven business days, starting with the business day after this one.
- The **Cash Total** column presents a summation of all expected activity across adjustment types for an individual date in the range.
- The final **Total** row in each entitlement type table represents the grand total of all expected adjustments within the date range.
- Click **Expand All** to open all of the entitlement type tables and **Collapse All** to close all of them.
- See the [Adjustment Overview](#) topic for more information about this page.

- Click the number in any **Count** column to view search results for that adjustment type on the listed date.
- Return to today's listing by clicking the **Adjustments for Today** link above the table.

# SETTLEMENT INFORMATION

## Security Position Tab

### About the Security Position Tab

The Security Position tab details the amounts and types of position you have in a particular security for the selected event. It appears at the top of the Record Detail page for active, canceled, and deleted events.

**Record Detail Page - 511144629**

CUSIP: 17275R102 | Ticker: CSCO | Issue Description: CISCO SYSTEMS INC RR | Issuer Description: CISCO SYSTEMS INC | Asset Class: Equity | Asset Type: Common Stock | Event Group: Distributions | Event Type: Cash Dividend | Country of Incorporation: US | Processed at DTC: Yes | DTC Eligible: Yes | Declared Mandatory / Voluntary: Mandatory | DTC Mandatory / Voluntary: Mandatory | ISO Core M/V: MAND | ISO Event Code: DVCA

Workflow Status: Approved | XBRL Indicator: No

System Data

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

**Security Summary - 00001234 - 1234 - TEST USER**

| CUSIP Status | CUSIP Chills | Last Activity Date | Business Date |
|--------------|--------------|--------------------|---------------|
| FAST WT,SDFS | None         | Not Available      | 03/01/2017    |

Search

**Position Summary**

| Type                       | Position       |
|----------------------------|----------------|
| Total Free Available       | 457,573        |
| Total Reserved (PDA & PTA) | 1,111          |
| Total Other                | 62,099         |
| <b>Total Position</b>      | <b>520,783</b> |

**Free Positions**

| Type   | Non-IPO        | IPO           | Total Position |
|--|----------------|---------------|----------------|
| Net Additions (NA)                           | 0              | 0             | 0              |
| Minimum Amount (MA)                          | 441,633        | 17,051        | 458,684        |
| Reserved                                     |                |               |                |
| Pending Delivery Account (PDA)               | -611           | 0             | -611           |
| Pending Transaction Account (PTA)            | -500           | 0             | -500           |
| <b>Total Free Available</b>                  | <b>441,522</b> | <b>17,051</b> | <b>457,573</b> |
| Memo Segregation                             |                |               | 0              |
| <b>Total Free Excess</b>                     |                |               | <b>457,573</b> |
| Turnaround / X-Memo (Exclude from Memo Seg.) |                |               | 0              |

**Other Positions**

| Type                   | Position      |
|------------------------|---------------|
| Pledged                | 11,202        |
| Segregation            | 17,167        |
| Investment ID          | 10,300        |
| Reorganization         |               |
| Net Additions (NA)     | 0             |
| Minimum Amount (MA)    | 6,200         |
| Called                 |               |
| With Interest          | 6,610         |
| Without Interest       | 7,010         |
| Withdrawal by Transfer | 3,610         |
| <b>Total Other</b>     | <b>62,099</b> |

**Miscellaneous Positions**

| Type                               | Position |
|------------------------------------|----------|
| Stock Loans                        | -4,887   |
| Repurchase Agreements              | 7,041    |
| CNS Short Exemptions (Level 1 + 2) | 0        |
| CNS Long Allocations (Level 4)     | 0        |
| CCAT Short Exemptions (Level 1)    | 0        |
| CCAT Long Allocations (Level 4)    | 0        |

Close

The Security Position tab has five different compartments:

- Security Summary.** This area displays an overview of the CUSIP status, any CUSIP chills, and dates pertaining to the primary CUSIP in the Record Detail Summary. You can use the Search feature here to change the information displayed on this tab (by business date).

- b. **Position Summary.** This compartment displays an overview of the total free positions, reserved positions, and other positions related to the primary CUSIP.
- c. **Free Positions.** This area goes into greater detail regarding free positions for IPOs and non-IPOs, including minimum amounts, net additions, pending accounts, memo segregations, etc.
- d. **Other Positions.** This compartment displays various other position types including pledged, segregation, and investment ID, as well as called positions and positions particular to reorganizations. You can also access additional details regarding pledged accounts and segregation accounts.
- e. **Miscellaneous Positions.** This area displays positions that do not fall into the above categories, such as stock loans, repurchase agreements, short exemptions, and long allocations. You can also access additional details regarding stock loan and repurchase agreements.

Click any name above to read more about that compartment.

## Security Summary

This compartment on the **Security Position** tab presents an overview of the CUSIP specified in the Record Detail **summary** at the top of the page.

| Security Summary - 00001234 - 1234 - TEST USER |              |                    |  |
|--|--------------|--------------------|--|
| CUSIP Status                                   | CUSIP Chills | Last Activity Date | Business Date  |
| FAST WT,SDFS ⓘ                                 | None ⓘ       | Not Available      | 03/01/2017 ⓘ  <b>Search</b> |

You can use this compartment to search for security positions as of a particular date. See the **Business Date** definition below for more information.

Information here includes:

|                           |  |
|---------------------------|--|
| <b>CUSIP Status</b>       | <p>Displays an abbreviation that represents the status of the primary CUSIP shown in the Record Detail Summary.</p> <p>Mouse over the information icon to see the full-text status.</p>  |
| <b>CUSIP Chills</b>       | <p>Displays the number of CUSIP chills that pertain to the primary CUSIP shown in the Record Detail Summary. If there are no chills on the CUSIP, this field reads "None."</p> <p>Mouse over the information icon to see a full-text explanation of the chill(s) on this CUSIP.</p>  |
| <b>Last Activity Date</b> | <p>This is the last date on which activity was recorded for this CUSIP. It is presented in the format MM-DD-YYYY.</p>  |
| <b>Business Date</b>      | <p>This is the date on which the CUSIP position is in effect. The display on the rest of the Security Position tab is determined by this date.</p> <p>This field defaults to the current date.</p> <ul style="list-style-type: none"> <li>Click the calendar icon to choose a different date.</li> <li>Click Search to populate the Security Position tab with position information for another date.</li> </ul> <p><b>Note:</b></p> <p>You can only select a date up to 60 business days in the past.</p> |

## Position Summary

This compartment presents an overview of different types of position related to the primary CUSIP specified in the record detail summary at the top of the page, as per the date selected in the **Security Summary** area.

| Position Summary           |          |
|----------------------------|----------|
| Type                       | Position |
| Total Free Available       | 457,573  |
| Total Reserved (PDA & PTA) | 1,111    |
| Total Other                | 62,099   |
| Total Position             | 520,783  |

- The first column in the table specifies the position type.
- The second column in the table specifies the amount of position for that particular type.

The position summary types displayed here are:

|                             |   |
|-----------------------------|---|
| <b>Total Free Available</b> | This amount is the total of your MA and NA position minus your total PDA and PTA position.  |
| <b>Total Reserved</b>       | This amount is the total of your PDA and PTA position.  |
| <b>Total Other</b>          | This amount is the sum total of your: <ul style="list-style-type: none"> <li>• Pledged position,</li> <li>• Segregation position,</li> <li>• Investment ID position,</li> <li>• Reorganizations Net Additions position,</li> <li>• Reorganizations Minimum Amount position,</li> <li>• Called with Interest position,</li> <li>• Called Without Interest position, and</li> <li>• Withdrawal by Transfer position.</li> </ul> |
| <b>Total Position</b>       | This amount is equal to your Free Available position minus your Reserved position, plus your Other position.  |

## Free Positions

This compartment goes into greater detail regarding your free positions in the CUSIP specified in the **Record Detail Summary** area of the page, on the date specified in the **Security Summary** area.

| Free Positions                               |         |        |                |
|--|---------|--------|----------------|
| Type   | Non-IPO | IPO    | Total Position |
| Net Additions (NA)                           | 0       | 0      | 0              |
| Minimum Amount (MA)                          | 441,633 | 17,051 | 458,684        |
| Reserved                                     |         |        |                |
| Pending Delivery Account (PDA)               | -611    | 0      | -611           |
| Pending Transaction Account (PTA)            | -500    | 0      | -500           |
| Total Free Available                         | 441,522 | 17,051 | 457,573        |
| Memo Segregation                             |         |        | 0              |
| Total Free Excess                            |         |        | 457,573        |
| Turnaround / X-Memo (Exclude from Memo Seg.) |         |        | 0              |

This compartment contains these columns:

- **Type.** This specifies the position type.
- **Non-IPO.** This specifies the amount of non-IPO position for this specific position type.
- **IPO.** This specifies the amount of position for this specific position type.
- **Total Position.** This amount represents the sum of both the IPO and non-IPO position.

The position types represented here include:

|  |  |
|--|--|
| <b>Net Additions (NA) for Non-IPO</b>                | This includes your non-IPO securities that are considered collateral.  |
| <b>Minimum Amount (MA) for Non-IPO</b>               | This includes your non-IPO securities that are not considered collateral.  |
| <b>Net Additions (NA) for IPO</b>                    | This includes your IPO securities that are considered collateral.  |
| <b>Minimum Amount (MA) for IPO</b>                   | This includes your IPO securities that are not considered collateral.  |
| <b>Total Position for Net Additions (NA)</b>         | This includes your securities that are considered collateral.  |
| <b>Total Position for Minimum Amount (MA)</b>        | This includes your securities that are not considered collateral.  |
| <b>Reserved</b>                                      |  |
| <b>Pending Delivery Account (PDA) for Non-IPO</b>    | This includes your non-IPO PDA position that is reserved for transactions recycling due to risk management control deficiencies. It has a negative impact on the Total Free position.                                  |
| <b>Pending Transaction Account (PTA) for Non-IPO</b> | This includes your non-IPO PTA position that is reserved for transactions that recycle as a result of risk management controls that have the PTA indicator turned on. It has a negative impact on Total Free position. |



|   |  |
|---|--|
| <b>Pending Delivery Account (PDA) for IPO</b>               | This includes your IPO PDA position that is reserved for transactions recycling due to risk management control deficiencies.   |
| <b>Pending Transaction Account (PTA) for IPO</b>            | This includes your IPO PTA position that is reserved for transactions that recycle as a result of risk management controls that have the PTA indicator turned on.  |
| <b>Total Position for Pending Delivery Account (PDA)</b>    | This includes your PDA position that is reserved for transactions that are recycling due to risk management control deficiencies. It has a negative impact on the Total Free position. The total PDA does not include the PTA.   |
| <b>Total Position for Pending Transaction Account (PTA)</b> | This includes your PTA position that is reserved for transactions that are recycling due to risk management controls that have the PTA indicator turned on. It has a negative impact on the Total Free position.   |
| <b>Total Free Available for Non-IPO</b>                     | This includes the total of your non-IPO MA and non-IPO NA positions, minus your combined PDA and PTA position.   |
| <b>Memo Segregation</b>                                     | This includes your items that are included in DTC's inventory control mechanism that allows you to protect fully-paid-for securities in your general free account or IPO control account.  |
| <b>Total Free Excess</b>                                    | This amount is computed by subtracting your Memo Segregation position from your Total Free position.   |
| <b>Turnaround/X-Memo (Excludes from Memo Seg)</b>           | X-Memo position accounts refer to independent accounts that do not impact other accounts. Therefore, they are not calculated into any of the displayed totals.<br><br>This includes your XMEMO account: the number of shares that can be delivered outside of your Memo Segregation.                             |
| <b>X-Canada</b>   | "X-Canada" applies in the situation when the current day is a U.S. holiday but a Canadian work day. This is an amount that is not available for Canadian settlement. The "X-Canada" designation prevents you from delivering shares to Canada that will not be settling in the U.S. until the next business day. |

## Other Positions

This grouping presents a number of position types for which you can see individual items that comprise the total, as well as positions specific to Reorganizations.

| Other Positions        |          |
|------------------------|----------|
| Type                   | Position |
| Pledged                | 11,202   |
| Segregation            | 17,167   |
| Investment ID          | 10,300   |
| Reorganization         |          |
| Net Additions (NA)     | 0        |
| Minimum Amount (MA)    | 6,200    |
| Called                 |          |
| With Interest          | 6,610    |
| Without Interest       | 7,010    |
| Withdrawal by Transfer | 3,610    |
| Total Other            | 62,099   |

- The first column in the table specifies the position type.

- The second column in the table specifies the amount of position for that particular type.

The position types displayed here are:

|                               |   |
|-------------------------------|---|
| <b>Pledged</b>                | <p>This is your regular pledged share.</p> <p>Click this amount to open the Pledge Detail window. This window shows the details of each pledge for this particular CUSIP.</p> <p><a href="#">Read more about the Pledge Detail window.</a></p>  |
| <b>Segregation</b>            | <p>This represents your segregation account's regular shares.</p> <p>Click this amount to open the Segregation Detail window. This window shows the details of each segregated position for this particular CUSIP.</p> <p><a href="#">Read more about the Segregation Detail window.</a></p>  |
| <b>Investment ID</b>          | This represents your Investment ID account's regular shares.  |
| <b>Reorganization</b>         |   |
| <b>Net Additions (NA)</b>     | Net Additions represent the securities that are considered collateral. Reorganization Net Additions are intraday account only.  |
| <b>Minimum Amount (MA)</b>    | Minimum Amount represents the securities for reorganizations that are not considered collateral.  |
| <b>Called</b>                 |   |
| <b>With Interest</b>          | This represents a called amount with accrued interest.  |
| <b>Without Interest</b>       | This represents a called amount without accrued interest.   |
| <b>Withdrawal by Transfer</b> | This represents account shares that were withdrawn by transfer.   |
| <b>Total Other</b>            | <p>This represent a total of all of the other positions:</p> <ul style="list-style-type: none"> <li>• Pledge</li> <li>• Segregation</li> <li>• Investment ID</li> <li>• Reorg Net Additions</li> <li>• Reorg Minimum Amount</li> <li>• Called Lottery with Interest</li> <li>• Called Lottery without Interest</li> <li>• Withdrawal by Transfer</li> </ul> |

## Miscellaneous Positions

This compartment contains all of the position types that are not included in the other compartments on the Security Position tab.

| Miscellaneous Positions            |          |
|------------------------------------|----------|
| Type                               | Position |
| Stock Loans                        | -4,887   |
| Repurchase Agreements              | 7,041    |
| CNS Short Exemptions (Level 1 + 2) | 0        |
| CNS Long Allocations (Level 4)     | 0        |
| CCAT Short Exemptions (Level 1)    | 0        |
| CCAT Long Allocations (Level 4)    | 0        |

- The first column in the table specifies the position type.
- The second column in the table specifies the amount of position for that particular type.

The position types displayed here are:

|   |  |
|---|--|
| <b>Stock Loans</b>                        | <p>This represents your stock loan shares.</p> <p>Click the amount to open the Stock Loan and Repo Detail window. This window shows the details of each stock loan and repurchase for this particular CUSIP.</p> <p><a href="#">Read more about the Stock Loan and Repo Detail window.</a></p>                 |
| <b>Repurchase Agreements</b>              | <p>This represents your repurchase agreement (repo) shares.</p> <p>Click the amount to open the Stock Loan and Repo Detail window. This window shows the details of each stock loan and repurchase for this particular CUSIP.</p> <p><a href="#">Read more about the Stock Loan and Repo Detail window</a></p> |
| <b>CNS Short Exemptions (Level 1 + 2)</b> | <p>This represents positions that are owed to CNS and are only delivered under certain circumstances. Level 1 and Level 2 shares are received via a deliver order marked as Designation 1 or Designation 2.</p> <p>This is an intraday account only.</p>   |
| <b>CNS Long Allocations (Level 4)</b>     | <p>This represents the position that CNS owes you.</p> <p>This is an intraday account only.</p>  |
| <b>CCAT Short Exemptions (Level 1)</b>    | <p>This represents positions that are owed to CCAT and are only delivered under certain circumstances. Level 1 shares are received via a deliver order marked as Designation 1.</p> <p>This is an intraday account only.</p>   |
| <b>CCAT Long Allocations (Level 4)</b>    | <p>This represents the position that CCAT owes you.</p> <p>This is an intraday account only.</p>   |

## Pledge Detail Window

This window displays details for all pledges associated with the primary CUSIP in a particular event record.

**Record Detail Page - 511144629** Print

CUSIP: 17275R102 | Ticker: CSCO | Issue Description: CISCO SYSTEMS INC RR | Issuer Description: CISCO SYSTEMS INC |  
 Asset Class: Equity | Asset Type: Common Stock | Event Group: Distributions | Event Type: Cash Dividend | Country of Incorporation:  
 US | Processed at DTC: Yes | DTC Eligible: Yes | Declared Mandatory / Voluntary: Mandatory | DTC Mandatory / Voluntary: Mandatory |  
 ISO Core MV: MAND | ISO Event Code: DVCA -- Select Action --

Workflow Status: Approved | XBRL Indicator: No System Data

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

**Security Summary - 00001234 - 1234 - TEST USER**

|              |              |                    |                                |
|--------------|--------------|--------------------|--------------------------------|
| CUSIP Status | CUSIP Chills | Last Activity Date | Business Date                  |
| FAST WT,SDFS | None         | Not Available      | 03/01/2017 <span>Search</span> |

**Position Summary** **Other Positions**

| Type                       | Position | Type                | Position |
|----------------------------|----------|---------------------|----------|
| Total Free Available       | 457,573  | Pledged             | 11,202   |
| Total Reserved (PDA & PTA) | 1,111    | Segregation         | 17,167   |
| Total Other                | 62,099   | Investment ID       | 10,300   |
| Total Position             | 520,783  | Reorganization      |          |
|                            |          | Net Additions (NA)  | 0        |
|                            |          | Minimum Amount (MA) | 6,200    |
|                            |          | Called              |          |
|                            |          | With Interest       | 6,610    |
|                            |          | Without Interest    | 7,010    |

**Free Positions**

| Type                | Non-IPO | IPO    | Total Position |
|---------------------|---------|--------|----------------|
| Net Additions (NA)  | 0       | 0      | 0              |
| Minimum Amount (MA) | 0       | 17,051 | 17,051         |

Open the Pledge Detail window by clicking the **Pledged** amount in the **Other Positions** compartment of the **Security Position** tab. This is found on an event's Record Detail page.

When you click on the Pledged Position amount, the Pledge Detail window appears:

**Pledge Detail**
Print
?

**Security Summary - 00001210 1210-TEST USER**

|              |                   |                    |
|--------------|-------------------|--------------------|
| CUSIP        | CUSIP Description | CUSIP Status       |
| 17275R102    | CISCO SYSTEMS INC | FAST WT,SDFS ⓘ     |
| CUSIP Chills | Business Date     | Last Activity Date |
| None ⓘ       | Mar-01-2017       | Not Available      |

**Pledged Position**

|                         |        |
|-------------------------|--------|
| Total Position Pledged: | 11,202 |
|-------------------------|--------|

**Pledges**

Displaying 1 to 20 of 22 items
 Filter
Export to Excel
 Page 1 of 2

| Loan Date   | Pledgee ▲ | Position Pledged |
|-------------|-----------|------------------|
| Jan-02-2017 | 00000002  | 10               |
| Jan-03-2017 | 00000002  | 10               |
| Jan-04-2017 | 00000002  | 10               |
| Jan-05-2017 | 00000002  | 10               |
| Jan-06-2017 | 00000002  | 10               |
| Jan-13-2017 | 00000002  | 10               |
| Jan-24-2017 | 00000002  | 6,540            |
| Feb-06-2017 | 00000002  | 1,050            |
| Feb-13-2017 | 00000002  | 107              |
| Feb-14-2017 | 00000002  | 121              |
| Loan Date   | Pledgee ▲ | Position Pledged |
| Feb-15-2017 | 00000002  | 1,449            |
| Jan-17-2017 | 00000003  | 10               |
| Jan-18-2017 | 00000003  | 10               |
| Jan-19-2017 | 00000003  | 10               |
| Jan-20-2017 | 00000003  | 10               |
| Jan-23-2017 | 00000003  | 10               |
| Jan-24-2017 | 00000003  | 10               |
| Jan-30-2017 | 00000003  | 1,345            |
| Feb-01-2017 | 00000003  | 113              |
| Feb-12-2017 | 00000003  | 10               |

Displaying 1 to 20 of 22 items
 Filter
Export to Excel
 Page 1 of 2

- The **Security Summary** area displays basic details about the CUSIP associated with these pledges. Mouse over the information icons in the CUSIP Status and CUSIP Chills fields to view full-text explanations of any acronyms and/or abbreviations.
- The **Pledged Position** area displays your total pledged position. This is the same number as the hyperlink you clicked to get here.
- The **Pledges** area lists out the individual collateral pledged against this CUSIP and the position for each. It provides the date of the loan (starting with your most recent pledges), the entity to which the loan was made, and the amount of position pledged.
- You can export this list of pledges to Excel by clicking the **Export to Excel** link. When you export this table to Excel, you will export all pledges—not just the ones that appear on the visible page.
- You can print these pledges by clicking the **Print** icon. When you print this table, you will only print the items that appear on the page.
- Click **Filter** to limit these pledges by loan date or pledgee bank.
- Page through the full list of pledges by entering a number in the **Page** field.

## Segregation Detail Window

This window displays details for all segregations associated with the primary CUSIP in a particular event record.

**Record Detail Page - 511144629**

CUSIP: 17275R102 | Ticker: CSCO | Issue Description: CISCO SYSTEMS INC RR | Issuer Description: CISCO SYSTEMS INC | Asset Class: Equity | Asset Type: Common Stock | Event Group: Distributions | Event Type: Cash Dividend | Country of Incorporation: US | Processed at DTC: Yes | DTC Eligible: Yes | Declared Mandatory / Voluntary: Mandatory | DTC Mandatory / Voluntary: Mandatory | ISO Core MV: MAND | ISO Event Code: DVCA

Workflow Status: Approved | XBRL Indicator: No

System Data

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

**Security Summary - 00001234 - 1234 - TEST USER**

|              |              |                    |               |
|--------------|--------------|--------------------|---------------|
| CUSIP Status | CUSIP Chills | Last Activity Date | Business Date |
| FAST WT,SDFS | None         | Not Available      | 03/01/2017    |

Position Summary

| Type                       | Position |
|----------------------------|----------|
| Total Free Available       | 457,573  |
| Total Reserved (PDA & PTA) | 1,111    |
| Total Other                | 62,099   |
| Total Position             | 520,783  |

Free Positions

| Type                | Non-IPO | IPO    | Total Position |
|---------------------|---------|--------|----------------|
| Net Additions (NA)  | 0       | 0      | 0              |
| Minimum Amount (MA) | 14,639  | 17,051 | 31,690         |

**Other Positions**

| Type                | Position |
|---------------------|----------|
| Pledged             | 11,202   |
| Segregation         | 17,167   |
| Investment ID       | 10,300   |
| Reorganization      |          |
| Net Additions (NA)  | 0        |
| Minimum Amount (MA) | 6,200    |
| Called              |          |
| With Interest       | 6,610    |
| Without Interest    | 7,010    |

Open the Segregation Detail window by clicking the **Segregated** amount in the **Other Positions** compartment of the **Security Position** tab. This is found on an event's Record Detail page.

When you click on the Segregation Position amount, the Segregation Detail window appears:

**Segregation Detail**

Security Summary - 00001210 1210-TEST USER

|              |                   |                    |
|--------------|-------------------|--------------------|
| CUSIP        | CUSIP Description | CUSIP Status       |
| 17275R102    | CISCO SYSTEMS INC | FAST WT,SDFS       |
| CUSIP Chills | Business Date     | Last Activity Date |
| None         | Mar-01-2017       | Not Available      |

**Segregated Position**

|                            |        |
|----------------------------|--------|
| Total Position Segregated: | 17,167 |
|----------------------------|--------|

**Segregations**

Displaying 1 to 2 of 2 items

| Serial Number | Position |
|---------------|----------|
| 0000001       | 9,000    |
| 0000007       | 8,167    |

Displaying 1 to 2 of 2 items

- The **Security Summary** area displays basic details about the CUSIP associated with these segregations. Mouse over the information icons in the **CUSIP Status** and **CUSIP Chills** fields to view full-text explanations of any acronyms and/or abbreviations.

- The **Segregated Position** area displays your total segregated position. This is the same number as the hyperlink you clicked to get here.
- The Segregations area lists out the individual segregated positions made for this CUSIP. It provides the serial number for each segregation (in ascending order) and the amount of position segregated.
- You can export this list of segregations to Excel by clicking the **Export to Excel** link. When you export this table to Excel, you will export all segregations—not just the ones that appear on the visible page.
- You can print these segregations by clicking the **Print** icon. When you print this table, you will only print the items that appear on the page.
- Click **Filter** to limit this list by serial number and position.
- Page through the full list of segregations by entering a number in the **Page** field.

## Stock Loan and Repo Detail Window

This window displays details for all stock loans and repurchase agreements (repos) associated with particular contra clients against the primary CUSIP in an event record.

**Record Detail Page - 511144629**

CUSIP: 17275R102 | Ticker: CSCO | Issue Description: CISCO SYSTEMS INC RR | Issuer Description: CISCO SYSTEMS INC | Asset Class: Equity | Asset Type: Common Stock | Event Group: Distributions | Event Type: Cash Dividend | Country of Incorporation: US | Processed at DTC: Yes | DTC Eligible: Yes | Declared Mandatory / Voluntary: Mandatory | DTC Mandatory / Voluntary: Mandatory | ISO Core M/V: MAND | ISO Event Code: DVCA

Workflow Status: Approved | XBRL Indicator: No

System Data

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

**Security Summary - 00001234 - 1234 - TEST USER**

|              |              |                    |               |
|--------------|--------------|--------------------|---------------|
| CUSIP Status | CUSIP Chills | Last Activity Date | Business Date |
| FAST WT,SDFS | None         | Not Available      | 03/01/2017    |

Search

**Position Summary**

| Type                       | Position       |
|----------------------------|----------------|
| Total Free Available       | 457,573        |
| Total Reserved (PDA & PTA) | 1,111          |
| Total Other                | 62,099         |
| <b>Total Position</b>      | <b>520,783</b> |

**Free Positions**

| Type   | Non-IPO        | IPO           | Total Position |
|--|----------------|---------------|----------------|
| Net Additions (NA)                           | 0              | 0             | 0              |
| Minimum Amount (MA)                          | 441,633        | 17,051        | 458,684        |
| <b>Reserved</b>                              |                |               |                |
| Pending Delivery Account (PDA)               | -611           | 0             | -611           |
| Pending Transaction Account (PTA)            | -500           | 0             | -500           |
| <b>Total Free Available</b>                  | <b>441,522</b> | <b>17,051</b> | <b>457,573</b> |
| Memo Segregation                             |                |               | 0              |
| <b>Total Free Excess</b>                     |                |               | <b>457,573</b> |
| Turnaround / X-Memo (Exclude from Memo Seg.) |                |               | 0              |

**Other Positions**

| Type                   | Position      |
|------------------------|---------------|
| Pledged                | 11,202        |
| Segregation            | 17,167        |
| Investment ID          | 10,300        |
| <b>Reorganization</b>  |               |
| Net Additions (NA)     | 0             |
| Minimum Amount (MA)    | 6,200         |
| <b>Called</b>          |               |
| With Interest          | 6,610         |
| Without Interest       | 7,010         |
| Withdrawal by Transfer | 3,610         |
| <b>Total Other</b>     | <b>62,099</b> |

**Miscellaneous Positions**

| Type                               | Position |
|------------------------------------|----------|
| Stock Loans                        | -4,887   |
| Repurchase Agreements              | 7,041    |
| CNS Short Exemptions (Level 1 + 2) | 0        |
| CNS Long Allocations (Level 4)     | 0        |
| CCAT Short Exemptions (Level 1)    | 0        |
| CCAT Long Allocations (Level 4)    | 0        |

Close

Open the Stock Loan and Repo Detail window by clicking either the **Stock Loans** or **Repurchase Agreements** amount in the **Miscellaneous Positions** compartment of the **Security Position** tab. This is found on an event's Record Detail page.

When you click on either amount, the Stock Loan and Repo Detail window appears:

**Stock Loan and Repo Detail**

Print

**Security Summary - 00001234 - 1234 - TEST USER**

| CUSIP        | CUSIP Description              | CUSIP Status       |
|--------------|--------------------------------|--------------------|
| 14149F109    | CARDINAL FINANCIAL CORPORATION | FAST WT,SDFS       |
| CUSIP Chills | Business Date                  | Last Activity Date |
| None         | Feb-24-2017                    | May-03-2016        |

**Stock Loan and Repurchase Agreement Positions**

|                                      |        |
|--------------------------------------|--------|
| Total Stock Loan Position:           | 12,100 |
| Total Repurchase Agreement Position: | 0      |

**Stock Loans and Repurchase Agreements**

Displaying 1 to 6 of 6 items
 Filter
 Export to Excel
 Page  of 1

| Contra Client ID ▲ | Stock Loan Position | Repurchase Agreement Position |
|--------------------|---------------------|-------------------------------|
| 43210000           | 400                 | 0                             |
| 12340000           | 400                 | 0                             |
| 11110000           | -200                | 0                             |
| 22220000           | 100                 | 0                             |
| 33330000           | 8,000               | 0                             |
| 44440000           | 3,400               | 0                             |

Displaying 1 to 6 of 6 items
 Filter
 Export to Excel
 Page  of 1

- The **Security Summary** area displays basic details about the CUSIP associated with these stock loans and repurchase agreements.  
Mouse over the information icons in the CUSIP Status and CUSIP Chills fields to view full-text explanations of any acronyms and/or abbreviations.
- The **Stock Loan and Repurchase Agreement Positions** area displays your total position in either category. These numbers are the same as the hyperlinks you clicked to get here.
- The **Stock Loan and Repurchase Agreements** area lists the clients against which you have stock loans and/or repurchase agreements for this CUSIP. It provides a list of IDs for the contra parties against which you have positions, your stock loan position against each contra client, and your repurchase agreement position against each contra client.
- You can export this list of positions to Excel by clicking the **Export to Excel** link. When you export this table to Excel, you will export all items—not just the ones that appear on the visible page.
- You can print these items by clicking the **Print** icon. When you print this table, you will only print the items that appear on the page.
- Click **Filter** to limit these items by contra client, stock loan position, or repurchase agreement position.
- Page through the full list of contra clients by entering a number in the **Page** field.



## Settlement Activity Tab

### Searching for Settlement Activity

The Settlement Activity tab allows you to search for settlement activity pertaining to the CUSIP displayed in the [Event Summary](#) area at the top of the page.

**Record Detail Page - 511144629**

CUSIP: 17275R102 | Ticker: CSCO | Issue Description: CISCO SYSTEMS INC RR | Issuer Description: CISCO SYSTEMS INC |  
 Asset Class: Equity | Asset Type: Common Stock | Event Group: Distributions | Event Type: Cash Dividend | Country of Incorporation:  
 US | Processed at DTC: Yes | DTC Eligible: Yes | Declared Mandatory / Voluntary: Mandatory | DTC Mandatory / Voluntary: Mandatory |  
 ISO Core MV: MAND | ISO Event Code: DVCA

Workflow Status: Approved | XBRL Indicator: No

System Data

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

**Search Criteria** \* = Required Field

Business Date \*  
 03/03/2017

Status  
 Made & Pend

Third Party

Contra Client ID

Deliverer/Receiver/All  
 All

Reason Code

Activity  
 ATP

Activity Type  
 ATP

Transaction ID

Minimum Dollar Amount (> or =)

Sub Activity

Include MA/NA

Free/Valued  
 All

Limit to Reclaims

Search Reset

Close

1. Select your [search criteria](#) and click **Search**.
  - Note that you must include at least the Business Date in your search.
  - To reset the fields to their original state, click **Reset**.

The Settlement Activity page displays your [search results](#) with your original search criteria displayed in the search fields below.

## Record Detail Page - 611144629

Print

CUSIP: 17275R102 | Ticker: CSCO | Issue Description: CISCO SYSTEMS INC RR | Issuer Description: CISCO SYSTEMS INC |  
 Asset Class: Equity | Asset Type: Common Stock | Event Group: Distributions | Event Type: Cash Dividend | Country of Incorporation:  
 US | Processed at DTC: Yes | DTC Eligible: Yes | Declared Mandatory / Voluntary: Mandatory | DTC Mandatory / Voluntary: Mandatory |  
 ISO Core MV: MAND | ISO Event Code: DVCA

-- Select Action --

Workflow Status: Approved | XBRL Indicator: No

System Data

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

Activity as of Mar-06-2017 02:49:25 PM

## Activity Search Results

Displaying 1 to 4 of 4 items

Filter

Export to Excel

Page 1 of 1

| Transaction ID | Time  | Reason | Contra Client ID | Quantity | Amount | Source | Status | Comments           |
|----------------|-------|--------|------------------|----------|--------|--------|--------|--------------------|
| 000018-04      | 21:06 | 30     | 00001258         | 4,444    | 0.00   | NDOS   | LRcMad | Na, NA, SD: 030... |
| 000018-45      | 21:06 | 30     | 00001211         | 5,555    | 0.00   | NDOS   | LRcMad | Na, NA, SD: 030... |
| 00007A-99      | 10:51 | 31     | 00001211         | 5,555    | 0.00   | ATPR   | Made   | Na, NA, SD: 030... |
| 00007D-62      | 10:51 | 31     | 00001258         | 4,444    | 0.00   | ATPR   | Made   | Na, NA, SD: 030... |

Displaying 1 to 4 of 4 items

Filter

Export to Excel

Page 1 of 1

## Search Criteria \* = Required Field

|                 |                        |                |                                |
|-----------------|------------------------|----------------|--------------------------------|
| Business Date * | Contra Client ID       | Activity       | Minimum Dollar Amount (> or =) |
| 03/03/2017      |                        |                |                                |
| Status          | Deliverer/Receiver/All | Activity Type  | Sub Activity                   |
| Made & Pend     | All                    | ATP            |                                |
| Third Party     | Reason Code            | Transaction ID | Include MA/NA                  |
|                 |                        |                | <input type="checkbox"/>       |
|                 |                        |                | Free/Valued                    |
|                 |                        |                | All                            |
|                 |                        |                | Limit to Reclaims              |
|                 |                        |                | <input type="checkbox"/>       |

Search Reset

Close

- Click a Transaction ID to view [Activity Details](#) for this transaction.

The Activity Details pop-up appears. It may contain up to five twisties that you can expand to view further details. Each twisty only appears if it contains data.

- Activity Details
- Cross-Reference Information
- Position of Transaction #: XXXXXX-XX
- Text Comments
- Internal Comments

Click a link above to read more about that section.

## Settlement Activity Search Criteria

The Settlement Activity tab has a variety of search criteria that you can use to narrow your search:

|                               |  |
|-------------------------------|--|
| <b>Business Date</b>          | <p>This is the date on which the settlement activity occurred.</p> <p>This required field defaults to the current date.</p> <ul style="list-style-type: none"> <li>Click the calendar icon to choose a different date.</li> </ul> <p><b>Note:</b><br/>You can only select by today's date or a valid date in the past.</p>               |
| <b>Contra Client ID</b>       | Type the DTCC Client ID of the contra party involved in the settlement activity you're looking for.  |
| <b>Activity</b>               | <p>Select an activity code from the drop-down list. This list is specific to the <b>Activity Type</b> you select.</p> <p>If you are uncertain which activity code to select, click the magnifying glass to launch the Activity Code lookup tool. This selection box provides real-text descriptions of all available activity codes.</p> |
| <b>Minimum Dollar Amount</b>  | Type the minimum amount of the settlement activity you're looking for. CA Web will retrieve items with amounts greater than or equal to this amount.   |
| <b>Status</b>                 | <p>Select an activity status from the list:</p> <ul style="list-style-type: none"> <li>Drops</li> <li>Made</li> <li>Made &amp; Pend</li> <li>Pend</li> <li>Rejects</li> </ul>  |
| <b>Deliverer/Receiver/All</b> | Specify settlement items for which you are the deliverer, the receiver, or for all items.  |
| <b>Activity Type</b>          | Specify "ATP" or "Settlement" from the drop-down menu. Your selection determines which items are available in the <b>Activity</b> field.   |
| <b>Sub Activity</b>           | Type the code for a sub activity type. This type must be valid for the activity type you selected.   |
| <b>Free/Valued</b>            | Select "All," "Free," or "Valued" from the drop-down list.   |
| <b>Third Party</b>            | Type the Client ID of the third party involved in the activity, if applicable.   |
| <b>Reason Code</b>            | <p>Select the reason code for this activity from the drop-down list.</p> <p>If you are uncertain which reason code to select, click the magnifying glass to launch the Reason Code lookup tool. This selection box provides real-text descriptions of all available reason codes.</p>  |
| <b>Transaction ID</b>         | Type the number of the event's CA ID followed by a two-digit transaction code. The transaction code is assigned to each individual activity in chronological order.  |
| <b>Include MA/NA</b>          | Click the checkbox to include Minimum Amount and Net Additions activity in your search results.  |
| <b>Limit to Reclaims</b>      | Click the checkbox to limit your search results to reclaims only.  |

# Settlement Activity Search Results

This page is shown once a valid [Settlement Activity search](#) is performed.

Record Detail Page - 611144629

Print

CUSIP: 17275R102 | Ticker: CSCQ | Issue Description: CISCO SYSTEMS INC RR | Issuer Description: CISCO SYSTEMS INC |  
 Asset Class: Equity | Asset Type: Common Stock | Event Group: Distributions | Event Type: Cash Dividend | Country of Incorporation:  
 US | Processed at DTC: Yes | DTC Eligible: Yes | Declared Mandatory / Voluntary: Mandatory | DTC Mandatory / Voluntary: Mandatory |  
 ISO Core M/V: MAND | ISO Event Code: DVCA

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

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

Activity as of Mar-06-2017 02:49:25 PM

Activity Search Results

Displaying 1 to 4 of 4 items
 
 Filter Export to Excel
 Page 1 of 1

| Transaction ID            | Time  | Reason | Contra Client ID | Quantity | Amount | Source | Status | Comments           |
|---------------------------|-------|--------|------------------|----------|--------|--------|--------|--------------------|
| <a href="#">000018-04</a> | 21:06 | 30     | 00001258         | 4,444    | 0.00   | NDOS   | LRcMad | Na, NA, SD: 030... |
| <a href="#">000018-45</a> | 21:06 | 30     | 00001211         | 5,555    | 0.00   | NDOS   | LRcMad | Na, NA, SD: 030... |
| <a href="#">00007A-99</a> | 10:51 | 31     | 00001211         | 5,555    | 0.00   | ATPR   | Made   | Na, NA, SD: 030... |
| <a href="#">00007D-62</a> | 10:51 | 31     | 00001258         | 4,444    | 0.00   | ATPR   | Made   | Na, NA, SD: 030... |

Displaying 1 to 4 of 4 items
 
 Filter Export to Excel
 Page 1 of 1

**Search Criteria** \* = Required Field

Business Date \*

Contra Client ID

Activity

Minimum Dollar Amount (> or =)

Status

Deliverer/Receiver/All

Activity Type

Sub Activity

Free/Valued

Third Party

Reason Code

Transaction ID

Include MA/NA  
☐

Limit to Reclaims  
☐

Search
Reset

Close

A message at the top displays the business date and time at which the search was performed.


Information here includes:




|                         |   |
|-------------------------|---|
| <b>Transaction ID</b>   | <p>The number of the event's CA ID followed by a two-digit transaction code. The transaction code is assigned to each individual activity in chronological order.</p> <p>Click the hyperlink to open an <a href="#">Activity Details</a> pop-up window. This window contains all of the details pertaining to this activity, including information not visible in the search results.</p> |
| <b>Time</b>             | The date and time at which the transaction occurred.  |
| <b>Reason</b>           | The ATP Activity Reason Code. Mouse over the code to view a full-text description of the reason it represents.  |
| <b>Contra Client ID</b> | The DTCC Client ID of the contra party involved in the settlement activity.   |
| <b>Quantity</b>         | The number of securities involved in the transaction.   |
| <b>Amount</b>           | The dollar amount of the securities involved in the transaction.  |
| <b>Source</b>           | The transaction source, or the system that sent the transaction data.   |

|                 |   |
|-----------------|---|
| <b>Status</b>   | The status of the transaction: "Made," "Pend," or "Drop."   |
| <b>Comments</b> | Mouse over this field to view the full contents of any comment that was made on this transaction. |

## Settlement Activity Details

This pop-up window appears when you click a Transaction ID hyperlink on the [Settlement Activity Search Results](#) page.

**Activity Details**


 Expand All
  Collapse All
 

**▼ 00001234 - 1234 - TEST USER**

|                                 |                                     |                         |                           |
|---------------------------------|-------------------------------------|-------------------------|---------------------------|
| Collateral Group                | CUSIP                               | CUSIP Description       |                           |
| 1210                            | 17275R102                           | CISCO SYSTEMS INC       |                           |
| Contra Client                   | Contra Collateral Group             | Activity/Sub-Activity   | Activity Description      |
| 12340000 - TEST CONTRA CLIENT   | 0000                                | 26                      | DO - Delvr                |
| Deliverer/Receiver              | Reason Code                         | Reason Code Description |                           |
| Deliverer                       | 30                                  | DELIVERY VERSUS PAYMENT |                           |
| Issue                           | Issuer                              |                         |                           |
| 1-010                           |                                     |                         |                           |
| Originator Signon               | Third Party                         | Transfer Agent          | Pledge Bank               |
| D0000000-01                     |                                     |                         |                           |
| Transaction Number              | IMS TID                             | Status                  |                           |
| 000018-04                       | D22D41FC9559A60D                    | LRcMad                  |                           |
| Business Date                   | Time                                | Trade Date              | Settlement Date           |
| Mar-03-2017                     | 21:06:29                            |                         | Mar-03-2017               |
| Settlement Today Only Indicator | Loan Date                           | PTA Indicator           | CNS Designation Indicator |
| N                               |                                     | No                      |                           |
| Commercial Paper                | Obligation Warehouse Control Number | Force Indicator         | Look Ahead Indicator      |
|                                 |                                     |                         | No                        |
| IMS Color Release               | Memo Seg                            | Region City             |                           |
|                                 | Y                                   |                         |                           |
| Quantity                        | Amount                              | Free/Valued             | Journal Type              |
| 4,444                           | 0.00                                | Free                    | Original                  |
| Action                          | Original/Generated                  | CMO Factor              | Source                    |
| - DEBIT                         | Original                            |                         | NDOS                      |
| Inbound Component               | Batch Number                        | Account Number          | Due Bill                  |
| SWEB                            | 001-989                             | 010                     | No                        |
| Bill Category                   | Tax Code                            | Serial Number           | Sub-Account               |
|                                 |                                     |                         |                           |

**► Cross Reference Information**

**► Positions of Transaction#: 000018-04**

**► Text Comments**

**Close**

Five twisties on this page contain information about this transaction. Note that each twisty only appears if it contains information for this transaction.

- **Activity Details.** View details specific to the transaction.
- **Cross-Reference Information.** View transaction ID information for any related transaction and access a link for viewing that transaction.
- **Positions of Transaction.** View a table that contains a quick view into your Settlement balances.
- **Text Comments.** Click to view up to four lines of comments about this transaction.
- **Internal Comments.** Click to view up to four lines of internal comments about this transaction.

Click a name above to read more about the information provided in that area.

## Activity Details

This twisty is shown on the [Settlement Activity Details](#) page.

Click this twisty on the Settlement Activity Details page to view the following information about your selected transaction:

| ▼ 00001234 - 1234 - TEST USER   |                                     |                         |                           |
|---------------------------------|-------------------------------------|-------------------------|---------------------------|
| Collateral Group                | CUSIP                               | CUSIP Description       |                           |
| 1210                            | 17275R102                           | CISCO SYSTEMS INC       |                           |
| Contra Client                   | Contra Collateral Group             | Activity/Sub-Activity   | Activity Description      |
| 12340000 - TEST CONTRA CLIENT   | 0000                                | 26                      | DO - Delvr                |
| Deliverer/Receiver              | Reason Code                         | Reason Code Description |                           |
| Deliverer                       | 30                                  | DELIVERY VERSUS PAYMENT |                           |
| Issue                           |                                     | Issuer                  |                           |
| 1-010                           |                                     |                         |                           |
| Originator Signon               | Third Party                         | Transfer Agent          | Pledge Bank               |
| D0000000-01                     |                                     |                         |                           |
| Transaction Number              | IMS TID                             | Status                  |                           |
| 000018-04                       | D22D41FC9559A60D                    | LRcMad                  |                           |
| Business Date                   | Time                                | Trade Date              | Settlement Date           |
| Mar-03-2017                     | 21:06:29                            |                         | Mar-03-2017               |
| Settlement Today Only Indicator | Loan Date                           | PTA Indicator           | CNS Designation Indicator |
| N                               |                                     | No                      |                           |
| Commercial Paper                | Obligation Warehouse Control Number | Force Indicator         | Look Ahead Indicator      |
|                                 |                                     |                         | No                        |
| IMS Color Release               | Memo Seg                            | Region City             |                           |
|                                 | Y                                   |                         |                           |
| Quantity                        | Amount                              | Free/Valued             | Journal Type              |
| 4,444                           | 0.00                                | Free                    | Original                  |
| Action                          | Original/Generated                  | CMO Factor              | Source                    |
| - DEBIT                         | Original                            |                         | NDOS                      |
| Inbound Component               | Batch Number                        | Account Number          | Due Bill                  |
| SWEB                            | 001-989                             | 010                     | No                        |
| Bill Category                   | Tax Code                            | Serial Number           | Sub-Account               |

|                                |   |
|--------------------------------|---|
| <b>Collateral Group</b>        | The collateral group for this transaction.  |
| <b>CUSIP</b>                   | The CUSIP involved in this transaction.   |
| <b>CUSIP Description</b>       | A text description of the CUSIP involved in this transaction.   |
| <b>Contra Client ID</b>        | The DTCC Client ID of the contra party involved in the settlement activity                                    |
| <b>Contra Collateral Group</b> | The ID number of the contra collateral group involved in this transaction.                                    |
| <b>Activity/Sub-Activity</b>   | Codes for the activity and sub-activity that this transaction represents.                                     |
| <b>Activity Description</b>    | A text description of the activity represented by the code.   |
| <b>Deliverer/Receiver</b>      | An indicator that represents whether you are the delivering or receiving party in this transaction.           |
| <b>Reason Code</b>             | The Activity Reason Code.   |
| <b>Reason Code Description</b> | A text description of the reason represented by the code.   |
| <b>Issue</b>                   | A code for the security issue type followed by a code for the security sub-issue type, separated by a hyphen. |
| <b>Issuer</b>                  | The ID number of the entity issuing the security.   |
| <b>Originator Signon</b>       | The sign-on ID ("D sign-on") of the party who performed the action represented in this transaction.           |

|  |   |
|--|---|
| <b>Third Party</b>                         | The client ID of the third party involved in the event.   |
| <b>Transfer Agent</b>                      | The transfer agent involved in the transaction.   |
| <b>Pledge Bank</b>                         | The pledgee bank number involved in the transaction.  |
| <b>Transaction Number</b>                  | The number of the event's CA ID followed by a two-digit transaction code. The transaction code is assigned to each individual activity in chronological order.  |
| <b>IMS TID</b>                             | The ID for this transaction in the Inventory Management System.   |
| <b>Status</b>                              | The status of the transaction: "Made," "Pend," "Drop," or "Reject."   |
| <b>Business Date</b>                       | The date on which the settlement activity occurred.   |
| <b>Time</b>                                | The time at which the settlement activity occurred.   |
| <b>Trade Date</b>                          | The date on which the original trade took place   |
| <b>Settlement Date</b>                     | The settlement date associated with the original transaction.   |
| <b>Settlement Today Only Indicator</b>     | An indicator that specifies whether the activity was settled today.   |
| <b>Loan Date</b>                           | The date on which the loan was made.  |
| <b>PTA Indicator</b>                       | A yes/no indicator that specifies whether there is a pending transfer account.  |
| <b>CNS Designation Indicator</b>           | A yes/no indicator that specifies continuous net settlement eligibility.  |
| <b>Commercial Paper</b>                    | A yes/no indicator that specifies whether the CUSIP is a commercial paper security.   |
| <b>Obligation Warehouse Control Number</b> | The control number for this activity in the Obligation Warehouse.   |
| <b>Force Indicator</b>                     | A yes/no indication that this is a force transaction.   |
| <b>Look Ahead Indicator</b>                | A yes/no indication that this is a look-ahead transaction.  |
| <b>IMS Color Release</b>                   | <p>The IMS Color Release information:</p> <ul style="list-style-type: none"> <li>• Green transactions can be executed immediately (the default for most settlement related deliveries)</li> <li>• Yellow transactions must be executed in the exact order specified</li> <li>• Red transactions can only be executed with a release command</li> </ul> <p>Yellow/red releases are treated as new transactions during the forced RAD period.</p> |
| <b>Memo Seg</b>                            | A yes/no indication that the position is memo segregated.   |
| <b>Region City</b>                         | The city or region associated with the transaction.   |
| <b>Quantity</b>                            | The quantity of settlement shares in the transaction.   |
| <b>Amount</b>                              | The settlement value amount of the transaction.   |
| <b>Free/Valued</b>                         | An indicator that specifies whether the position is free or valued.   |
| <b>Journal Type</b>                        | The journal type code indicating Next Day, Same Day, or Original.   |
| <b>Action</b>                              | The action that the settlement represents: debit or credit.   |

|                           |   |
|---------------------------|---|
| <b>Original/Generated</b> | An indication of whether this settlement transaction is original or generated.  |
| <b>CMO Factor</b>         | If present, the factor number (in NN.NNNNNNNNNNNN format) used to determine the face value of a collateralized mortgage obligation. |
| <b>Source</b>             | The input source of the transaction.  |
| <b>Inbound Component</b>  | The inbound component for this transaction.   |
| <b>Batch Number</b>       | The DTC batch number in which this transaction was processed.   |
| <b>Account Number</b>     | The account number associated with this transaction.  |
| <b>Due Bill</b>           | An indicator of whether a transaction is tracked for due bills.   |
| <b>Bill Category</b>      | The bill category associated with this transaction.   |
| <b>Tax Code</b>           | The three-digit code that indicates the tax treatment for this transaction.   |
| <b>Serial Number</b>      | The unique serial number generated by Investment ID for this position.  |
| <b>Sub Account</b>        | The ABA sub account associated with this transaction.   |

## Cross-Reference Information

This twisty is shown on the [Settlement Activity Details](#) page.

Click this twisty on the Settlement Activity Details page to view transaction ID information for any related transaction.

**Activity Details**

Print

Expand All
 Collapse All

▶ 00001234 - 1234 - TEST USER

▼ Cross Reference Information

NOTE: Transaction subsequently LRcl/Mad Refer to Trans # 00007D-62

▶ Positions of Transaction#: 000018-04

▶ Text Comments

Close

Click the link to view the related transaction.



## Positions of Transaction (#)

This twisty is shown on the [Settlement Activity Details](#) page.

Click this twisty to view the following information about your Settlement balances.

**Activity Details**
Print

Expand All
Collapse All

▶ 00001234 - 1234 - TEST USER

▶ Cross Reference Information

▼ Positions of Transaction#: 000018-04

| 00001210 - 1210-TEST USER |         |
|---------------------------|---------|
| NA A/C                    | 0       |
| MA A/C                    | 437,189 |
| MSG A/C                   | 0       |
| COL MON                   | 0.00    |
| SET A/C                   | 0.00    |
| FDC A/C                   | 0.00    |
| XMemo                     | 0       |
| RVP888                    | 0       |
| XCanada A/C               | 0       |
| XCanIPO A/C               | 0       |
| IDN CM                    | 0.00    |
| IDN NS                    | 0.00    |

▶ Text Comments

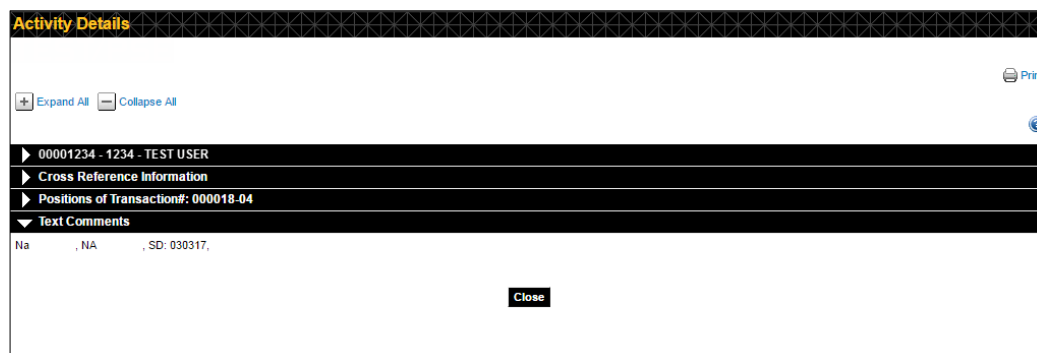
Close

| POSITION TYPE | POSITION   |
|---------------|--|
| NA A/C        | The position in your CM 10 account.  |
| MA A/C        | The position in your IPO Minimum account.  |
| MSG A/C       | The position in your Memo Segregation account.   |
| XMemo         | Your XMEMO Account Share quantity.   |
| RVP888        | Your position in the RVP888 account.   |
| XCanada A/C   | Your U.S./Canadian Workday Share quantity. In a case when the U.S. has a holiday that Canada does not, this shows a position of securities transacted upon at that time. |
| XCanIPO A/C   | Your U.S. Holiday/Canadian Workday Share quantity. In a case when the U.S. has a holiday that Canada does not, this shows an IPO transacted upon at that time.           |
| IMA A/C       | The position in your IPO minimum account.  |
| INA A/C       | The position in your IPO Net Addition account.   |
| IDN NS        | The ID Net adjustment to the settlement balance for the collateral group ("SET A/C" below).  |
| COL MON       | The collateral monitor balance for the collateral group.   |
| SET A/C       | The settlement balance for the collateral group.   |
| FDC A/C       | The fixed debit limit for the collateral group.  |
| IDN CM        | The ID Net adjustment to the collateral monitor balance for the collateral group ("COL MON" above).  |

|                      |   |
|----------------------|---|
| <b>SIM CM</b>        | The collateral monitor balance for the collateral group after the ID Net Adjustment (“COL MON” value minus “IDN CM” value).   |
| <b>SIM NET</b>       | The settlement balance for the collateral group after the ID Net Adjustment (“SET A/C” value minus “IDN NS” value).   |
| <b>CNS CM</b>        | <p>The portion of the collateral monitor balance that would be derived from CNS transactions if CNS for value were live.</p> <p><b>Note:</b><br/>this is not displayed for historical data.</p>     |
| <b>NON-CNS CM</b>    | <p>The portion of the collateral monitor balance that would be derived from non-CNS transactions if CNS for value were live.</p> <p><b>Note:</b><br/>this is not displayed for historical data.</p> |
| <b>ID Net CNS CM</b> | The ID Net adjustment to the collateral monitor balance for the collateral group (COL MON) if CNS for value were live.  |
| <b>CNS NS</b>        | The settlement balance for the collateral group (SET A/C) if CNS for value were live.   |
| <b>ID Net CNS NS</b> | The ID Net adjustment for the collateral group (SET A/C) if CNS for value were live.  |

## Text Comments

This twisty is shown on the [Settlement Activity Details](#) page. It does not appear if there are no comments on this transaction.



Click this twisty to view up to four 80-character lines of comments about this transaction. These comments are read-only.

## Internal Comments

This twisty is shown on the [Settlement Activity Details](#) page. It does not appear if there are no internal comments on this transaction.

Click this twisty to view up to four 80-character lines of internal comments about this transaction. These comments are read-only.

# U.S. TAX INFORMATION

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## Viewing U.S. Tax Withholding Events

1. From the menu bar, click **Instructions > Instructions Overview**.
2. On the Instructions Overview page, click the **US Tax** tab.  
The IRS Income Code table displays the results by tax code, as well as those that fall under Section 302 and a generic category for codes that do not appear in the list. They are divided by:
  - Events with an instruction cutoff on the current business day,
  - Active Events, and
  - Forecast events.
3. Click the event count for the category of item you want to view.  
You are brought to a Results page for that tax code and time specification.
4. Click the **CA ID** of the record you want to view.  
You are brought to the Record Detail page for that event.
5. Click the **US Tax** tab (if it is not currently active).


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### Note:

Not all forecasted events will have a US Tax tab.

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## Downloading 1042-S Transactions

1. From the menu bar, click **Instructions > Instructions Overview**.
2. On the Instructions Overview page, click **1042-S Transactions**.  
The 1042-S Transactions menu opens.
3. Click the Excel icon  next to **Previous Tax Year** or **Current Tax Year**.

## Entering U.S. Tax Instructions

1. [Navigate to the event record](#) for which you want to enter instructions.
2. Click the **US Tax** tab, if it is not already active.

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### Note:

If there is no **US Tax** tab or it is not active, you are not yet able to enter tax instructions for this event.

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3. In the Position Summary area of the page, scroll to view the **Status** field.
    - If the field reads “Active,” you are able to enter tax instructions for this record.
    - If the field reads “No instructions,” you are not able to enter tax instructions for this record. Please contact [UStax@dtcc.com](mailto:UStax@dtcc.com) for any post-payable adjustment requests.
  4. If the record is “Active,” scroll down to the **Free Position** or **Stock Loan/REPO** field for the instruction you want to enter and type the share amount of the instruction.
  5. Click **Continue**.  
The Review screen appears.
-

6. Click **Edit** to make any changes to the instruction, if desired.

The edit page appears.

7. Make any changes and click **Continue**.

8. Type your name and phone number in the **Submitter Information** fields.

9. Click **Submit Instruction**.

A confirmation message appears at the top of the screen, indicating that your instructions were submitted successfully.

## FOR MORE INFORMATION

Email DTCC Learning at:

[DTCCLearning@dtcc.com](mailto:DTCCLearning@dtcc.com)

or visit us on the web at:

[www.dtcclearning.com](http://www.dtcclearning.com)