

Corporate Actions ISO 20022 Announcement Messaging Service Data Profile

What – ISO 20022 is the most current global standardized messaging platform set forth by ISO Technical Committee TC68 Financial Services. The new ISO 20022 message format allows for greater flexibility and expandability through the use of standardized XML schemas. The new ISO 20022 message format allows the use of extensions to include additional information to the core ISO 20022 message. DTCC takes advantage of message extensions to provide far greater information than previous ISO standards allowed, making the ISO 20022 format the perfect conduit for Corporate Actions Announcement messaging. DTCC's Corporate Actions messaging service provides announcement information that is inclusive of 3 main types of Corporate Actions including:

- Distributions
- Redemptions
- Reorganizations
- Meetings
- Factors
- Maturity Cash

DTCC is the first financial institution in the world to use the ISO 20022 message type for Corporate Actions Announcement dissemination.

Source – DTCC's asset servicing process of Corporate Actions covers over 3.5 million DTCC eligible securities. DTCC relies on 3 major contributors for its Corporate Action processing and announcement services. The 3 major sources include:

- Securities Issuers
- Securities Service Agents
- Third Party Vendors

Coverage – DTCC's role in the US financial markets makes it a substantial source for Corporate Actions announcement information. DTCC processes Corporate Actions events for over 3.5 million eligible securities. By leveraging the new ISO 20022 XML message format, DTCC provides the most prevalent amount of Corporate Actions announcements with the most holistic amount of data per message in the industry. DTCC's Corporate Actions announcement service provides the following types of announcements:

- **Distributions**
 - Stock Dividends
 - Special Dividends
 - Cash Dividends
 - Principal & Interest (P&I)
 - Capital Gain Distributions
 - Return of Capital
 - Spin-Offs
 - Stock Splits
 - Sale of Rights
 - Tax Refund
 - Interest

- Liquidation
- Pay in Kind
- **Redemptions**
 - Partial Calls
 - Final Pay Downs
 - Maturity
 - Full and Partial Pre-Funding
 - Partial Defeasances
 - Terminations
 - Full Calls
- **Reorganizations**
 - Exchange Offers
 - Conversions
 - Dutch Auctions
 - Mergers
 - Puts
 - Reverse Stock Splits
 - Tender Offers
 - Rights and Warrant Exercises
 - Changes
 - General Information
 - Mandatory Exchanges
 - Liquidations
 - Name Changes
 - Security Separations
 - Worthless
- **Meetings**
 - Annual General Shareholder Meeting Notification (Proxy)
- **Factors**
 - Principal Factor Data on Issue Remainder
- **Maturity Cash**
 - Cash Payout for Issue Maturity

How – DTCC’s Corporate Actions Announcement messages are transmitted to customers using dedicated circuits on a real-time basis, as the announcement is made available to DTCC. Customers using FTP connections can receive messages via 16 batch files Sunday through Friday.

Subscribing customers may use various methods to transfer ISO 20022 XML messages including:

1. File Transfer Protocol (FTP) “get / pull” data via broadband internet
2. Swift MQ (Real Time Delivery)
3. TCPI = FTP push via the internet (Encrypted)
TCP = FTP push via DTCC SMART Circuit
NDM (Network Data Mover) via DTCC SMART Circuit

FTP Time Slice Availability:

Time	SLICES	Time	SLICES
1:30	Slice 01	15:00	Slice 09
3:30	Slice 02	16:00	Slice 10
6:00	Slice 03	17:00	Slice 11
9:00	Slice 04	18:00	Slice 12
11:00	Slice 05	19:00	Slice 13
12:00	Slice 06	20:00	Slice 14 (EOD)
13:00	Slice 07	21:00	Slice 15
14:00	Slice 08	23:30	Slice 16

Sample Message Layout-

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