



APL Reorganizations and Corporate Actions

User Guide



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About This Manual

The APL Reorganizations & Corporate Actions User Guide is a comprehensive resource designed to help users navigate the complexities of reorganizations, including corporate actions, capital adjustments, and cash adjustments. It outlines the system's automated processes for mandatory reorganizations such as mergers, stock splits, and dividend payments, while also detailing step-by-step instructions for user-driven tasks like posting voluntary reorganizations and tender offers.

1.1 What are reorganizations and corporate actions?

APL's Reorganizations and Corporate Actions module is a cornerstone of its wealth management platform, streamlining critical corporate action workflows through automation and customizable processes. By integrating robust data validation, multi-source reconciliation, and flexible transaction handling, the solution ensures that even complex events like multi-security conversions and class restructures are handled efficiently.

The system's blend of automation and manual processing options enables users to address both standard market events and unique client-specific requests with precision, making APL an indispensable tool for financial advisors, back-office teams, and portfolio managers.

The APL reorganization functions facilitate the processing of:

- Corporate actions
- Capital adjustments
- Cash adjustments

These functions automate processing transactions such as:

- Mergers
- Distributions
- Stock splits
- Cash dividends
- Dividend reinvestments

1.2 Processing transactions automatically

APL automatically processes the following transactions as of the ex- date for all listed North American common stocks, including ordinary shares and shares of beneficial interest, preferred stocks, and American Depositary Receipts (ADRs) as long as we have two independent sources with identical data and the reorganization is mandatory without options:

- Stock splits and stock dividends. (Our systems process splits on the ex- date; some clients have control jobs set up to process on the night before the ex-date)
- Name changes

- Reverse splits
- Mergers and acquisitions
- Conversions
- Taxable and non-taxable distributions (spin-offs)
- Plans of reorganization (recapitalized and reclassified reorg types)
- Mandatory taxable and non-taxable exchanges
- Transferable rights offerings
- Cash dividends (Our systems use the ex-date in the REC-14 fields and posts on the pay date)

Processing transactions

Our solutions process the following issues once the necessary information is provided:

- Voluntary reorganizations
- Tenders
- Mandatory reorganizations with more than one option
- Non-transferable rights plans
- Return of capital

User-processed Transactions

Our systems do not process the following transactions but will instruct users how to run using the appropriate function:

- Foreign assets, except Canadian
- Bonds
- Liquidations (Client can run POSTTENDER)
- Options
- Cash transactions
- Unit conversions such as mutual funds

1.3 What is APL?

APL stands out as a comprehensive and mature wealth management platform that integrates a wide range of functionalities across portfolio management, model management, data reconciliation, order execution, billing, and performance reporting. Its unified ecosystem streamlines workflows by connecting front-, middle-, and back-office operations through seamless interoperability between key components.

With solutions for centralized trading, model management, and data validation, APL ensures that users can align investment strategies with real-time market insights and execute tax-sensitive trades efficiently. This interconnectivity empowers wealth managers, financial advisors, and operations teams to achieve operational excellence while maintaining regulatory compliance and enhancing client outcomes.

APL's depth of feature coverage, supported by decades of innovation and strategic enhancements, offers unparalleled versatility and precision. The platform's components bridge gaps between sponsors, advisors, and asset managers, enabling real-time collaboration and data synchronization. Advanced audit tracking, customizable dashboards, and integrated compliance checks reduce manual errors and provide robust decision support.

APL's robust architecture supports complex portfolios and multi-custodial environments, reinforcing its reputation as a future-proof solution that meets the evolving needs of the financial industry.

Chapter 2: Data Sources and Reports

2.1 Reorganization Information Center (RIC)

The Reorganization Information Center (RIC) is an on-line capital changes management system that allows users to verify reorg information for owned securities.

The URL for the site is: <http://192.108.247.51>.

In addition to RIC, we provide daily reports showing upcoming reorganizations.

Note: To receive a user ID and password to RIC or to receive daily reorg reports regarding upcoming reorganizations, please open a ticket requesting this and assign the ticket to Capital Changes/Re-org.

2.2 Data sources

Data for processing all reorganizations and stock splits is validated with two sources to ensure the quality of the data.

2.3 Frequently run reports

The APL System produces several reports that contain data regarding:

- Pending and processed corporate actions
- Capital adjustments
- Cash adjustments

Frequently used reports include:

Report	Description
LOOKUPREORG	Details how specific non-taxable corporate actions and capital adjustments, excluding stock splits and stock dividends, were processed on the APL System.
LOOKUPSPLIT	Details stock splits and stock dividends that have already been processed or that have been declared and will be processed.

Report	Description
REORGXXX.PRT	Produced whenever any corporate actions or capital adjustments (excluding stock splits and stock dividends) have been automatically processed for a client.
AUTOCP.PRT	Produced whenever stock splits or stock dividends have been processed.

LOOKUPREORG

This report indicates how specific non-taxable corporate actions and capital adjustments, excluding stock splits and stock dividends, were processed on the APL System. Data regarding corporate actions and capital adjustments remains in the database for two years.

To run LOOKUPREORG:

1. Type LOOKUPREORG at the WHICH FUNCTION? prompt. Enter the security identifier(s) for the security(ies) for which the corporate action(s) or capital adjustment(s) were processed.

```
|-----|
| To View Recent Corporate Actions, Please Enter the Securities in Question |
|-----|
|65333Q202 |
|-----|
```

2. Type the security identifier(s) for the security(ies) for which the corporate actions or capital adjustments were processed. The system searches the database. The system provides a status screen that indicates matches and then produces the report:

```
Summary of Recent Corporate Actions           Reorg : 1
Security : 65333Q202                         of 1
-----
NEXPRISE INC NEW COM NEW

NONTAXABLE DISTRIBUTION - B2B INTERNET HOLDRS TRUST
As-of Date = 20031212

Old Sacus = 5530447 Old Cusip = 056033103
Old Description = B2B INTERNET HOLDRS TR DEPOSTRY RCPT

First New Sacus = 5530447 First New Cusip = 056033103
First New Description = B2B INTERNET HOLDRS TR DEPOSTRY RCPT

CALCULATIONS
Deliver date for Orig. Lots = 20031215
Deliver Value for Orig.Lots = Orig. Units x 2.72
New Cost Basis for First Sec. Recvd = Orig. Cost Basis x 0.9993887868
Receive Value for First Sec. Recvd = Orig. Units x 2.72 x 0.9993887868
Receive Date for First Sec. Recvd = 20031215
Second New Sacus = 8212085 Second New Cusip = 65333Q202
Second New Description = NEXPRISE INC NEW COM NEW

New Units for Second Sec. Recvd = Orig. Units x 0.00133
New Cost Basis for Second Sec. Recvd = Orig. Cost Basis x 0.0006112132353
Purchase Date for Second Sec. Recvd = Orig. Date
Receive Value for Second Sec. Recvd = Orig. Units x 2.72 x 0.0006112132353
Receive Date for Second Sec. Recvd = 20031215
```

- More than one corporate action or capital adjustment may have occurred for the same security. The top right corner of the screen indicates the number of corporate actions or capital adjustments which matched the search criteria
- The top of the screen indicates the security, the type of corporate action or capital adjustment, and the effective date
- The middle of the screen indicates the security identifiers for the original security and for any new securities created by the transactions

- The bottom of the screen displays the effective dates and ratios used for the delivery of the old security and receive of the new security(ies)

Key	Description
F3/ ESC	Exit: Exit the screen.
F7	Previous Reorg: Navigate to the previous reorganization page with the same search criteria.
F8	Next Reorg: Navigate to the next reorganization page with the same search criteria.
F9	Jump to a Reorg: Select a specific security from a list of all corporate actions and capital adjustments which matched the search criteria.

LOOKUPSPLIT

This report lists the details for stock splits and stock dividends that have already been processed or that have been declared and will be processed.

To run LOOKUPSPLIT:

1. Type LOOKUPSPLIT at the WHICH FUNCTION? prompt. Specify whether the system should search for stock split and stock dividend information for all securities or for securities which are owned.

```
Run for (O)wned or (A)ll securities? (Ret to exit): 0
```

2.

Type O or A as appropriate.

- Type O to indicate that the search include owned securities only.
- Type A to indicate that the search should include all securities. Type A if searching for stock split or stock dividend information on shares.

Search for current stock splits and stock dividends including declared dividends that will be processed in the future, or for historical stock splits and stock dividends including only those with an ex-date prior to the current date. PRINT CURRENT OR HISTORICAL C

```
PRINT CURRENT OR HISTORICAL CAPITAL ADJUSTMENTS?
```

- Type C to search for current stock splits and stock dividends.
- Type H to search for historical stock splits and stock dividends.

Enter the beginning and ending date ranges.

3. Type the date range in YYYYMMDD format for the search at the BEGINNING DATE and ENDING DATE prompts. The previous business day's date will be the default if no date if no beginning and/or ending date is specified. Sort the results either by the ex-date or alphabetically.

```
SORT BY EXDATE OR ALPHABETICALLY? E
```

4. Select the sort order.

- Type E to sort the list of securities by ex-date.
- Type A to sort the list of securities alphabetically.

5. Choose A (include all securities in the search), skip to Step 7. Choose O (include only owned securities in the search) in a previous step, a SEARCH FOR WHAT? prompt will appear. Select the account range to search for stock split and stock dividend information by typing individual account identifiers or by using database manager commands with account profile fields.

6. The system searches the Security Master database and produces a report listing the securities and their stock split or stock dividend details. The report will be named CAPCUR.LCA for current stock splits and stock dividends or CAPHST.LCA for historical stock splits and stock dividends.

7. The CAPCUR.LCA and CAPHST.LCA report files are produced and indicate the following for each security:

- Ex-date
- Security identifiers
- Split ratio

If more than one stock split or stock dividend occurred for a specific security within the date range selected for the report, an asterisk appears next to the ex-date for each stock split or stock dividend.

SAMPLE ASSET MANAGEMENT				PAGE 1	
HISTORICAL CAPITAL ADJUSTMENTS FROM 01/01/01 TO 10/30/05				RUN DATE: 11/23/05 12:40 P.M.	
EXDATE	TICK	SACUS	SECURITY DESCRIPTION	SPLIT RATIO	
* 01/12/01	FRX	< 4794>	FOREST LABS INC COM	2	FOR 1
* 06/01/01	BJS	< 746254>	BJ SVCS CO COM 2	FOR 1	
* 06/01/01	HTLD	< 313546>	HEARTLAND EXPRESS INC COM	5	FOR 4
06/04/01	GENZ	< 284805>	GENZYME CORP COM 2	FOR 1	
06/13/01	JNJ	< 6555>	JOHNSON & JOHNSON COM	2	FOR 1
07/02/01	LOW	< 7145>	LOWES COS INC COM 2	FOR 1	
07/19/01	XOM	<5279156>	EXXON MOBIL CORP COM	2	FOR 1
* 02/20/02	HTLD	< 313546>	HEARTLAND EXPRESS INC COM	1487	FOR 943
04/17/02	AMAT	< 950>	APPLIED MATLS INC COM	2	FOR 1
05/10/02	WSM	< 107972>	WILLIAMS SONOMA INC COM	2	FOR 1
06/10/02	AWR	<4247446>	AMERICAN STS WTR CO COM	3	FOR 2
* 07/05/02	COH	<6334897>	COACH INC COM 2	FOR 1	
* 01/09/03	FRX	< 4794>	FOREST LABS INC COM	2	FOR 1
02/18/03	MSFT	< 253116>	MICROSOFT CORP COM	2	FOR 1
09/30/03	MMM	<8137139>	3M CO COM 2	FOR 1	
* 10/02/03	COH	<6334897>	COACH INC COM 2	FOR 1	
05/12/04	YHOO	<4934430>	YAHOO INC COM	2	FOR 1
05/13/04	DNA	<5038410>	GENENTECH INC COM NEW	2	FOR 1
06/22/04	NOC	< 8511>	NORTHROP GRUMMAN CORP COM	2	FOR 1
* 08/23/04	HTLD	< 313546>	HEARTLAND EXPRESS INC COM	3	FOR 2

REORGXXX.PRT

This report is produced whenever any corporate actions or capital adjustments (excluding stock splits and stock dividends) are automatically processed for a client. The report is found in the client's holdings (print) queue. This report indicates the following:

- Type of corporate action or capital adjustment
- Security identifiers for the original security and for any new securities created by the transaction
- Effective dates and ratios used for the delivery of the old security and receive of the new security (ies)
- Specific tax lot changes for account affected

```

CAPITAL ADJUSTMENTS FOR SECURITY MASTER DIRECTORY
=====
RUN DATE: 11/18/05 6:17 P.M.

EQUATIONS USED:
@@NAME CHANGE - ADVANCED 3-D ULTRASOUND SERVICES, INC.
@ASOF@20051118
@OLD1S@FINDSACUS'00764G209'
@NEW1S@FINDSACUS'981454101' OLD1U@@OLD1U OLD1C@@OLD1C OLD1D@@OLD1D OLD1X@@ASOF OLD1Y@@OLD1U@3.25
NEW1U@@OLD1U@1 NEW1C@@OLD1C NEW1D@@OLD1D NEW1V@@OLD1U@3.25 NEW1R@@ASOF

HERE ARE THE CAPITAL ADJUSTMENTS FOR (UNIVER)
OLD POSTIONS:
OLD1C@@OLD1C
OLD1D@@OLD1D OLD1X@@ASOF OLD1Y@@OLD1U@3.25 NEW1U@@OLD1U@1 NEW1C@@OLD1C NEW1D@@OLD1D NEW1V@@OLD1U@3.25
NEW1R@@ASOF

HERE ARE THE CAPITAL ADJUSTMENTS FOR (UNIVER)
OLD POSTIONS:
UNITS SACUS PDATE COST SDATE PROC RDATE RVAL DDATE
DVAL COMIN COMOUT XUNITS
1.0000 389147 0 0.00 0 0.00 0 0.0
0 0 0.00 0.00 0.00 0.00
CONVERTED TO THE FOLLOWING NEW POSITIONS:
1.0000 389147 0 0.00 0 0.00 0 0.0
0 20051118 3.25 0.00 0.00 0.00
1.0000 361233 0 0.00 0 0.00 20051118 3.2
5 0 0.00 0.00 0.00 0.00
    
```

AUTOCP.PRT

This report is produced whenever stock splits or stock dividends have been processed. The report lists each tax lot affected and indicates the original number of shares and the new number of shares after the transaction. This report is located in the client's holdings (print) queue.

```

IAUTOC.PRT

      11/24/05 2:58 A.M.

BBB ASSET MANAGEMENT

...CAP ADJ COMPLETED UP TO 11/24/05      RUN DATE: 11/24/05 2:58 A.M.

      11/24/05 2:57 A.M.
Y -
ACCOUNT SELECTION:
-----
----- WHOWNS -
BBB ASSET MANAGEMENT 11/24/05 2:57 A.M.
CAPITAL ADJUSTMENTS FOR 11/24/2005
      SNAM      TICK      SACUS  UNITS  AMOUNT =>  SACUS  TICK
      UNITS      AMOUNT PURCHASE TR #
11/24/05 <NDMNM3> XYZPY 1100000      10.000  1171.61 => 1100000 XYZPY
40.000      1171.61 06/06/05 90852
11/24/05 <NDMMS4> XYZPY 1100000      40.000  4686.46 => 1100000 XYZPY
160.000      4686.46 06/06/05 90706
11/24/05 <NFAMI3> XYZPY 1100000      100.000  11716.14 => 1100000 XYZPY
400.000      11716.14 06/06/05 90920
11/24/05 <NKRAN2> XYZPY 1100000      130.000  15230.98 => 1100000 XYZPY
520.000      15230.98 06/06/05 90897
11/24/05 <LNSDN1> XYZPY 1100000      20.000   2300.00 => 1100000 XYZPY
80.000      2300.00 06/17/05 15088
11/24/05 <LIITJ4> XYZPY 1100000      20.000   2343.23 => 1100000 XYZPY
80.000      2343.23 06/06/05 90894
11/24/05 <TNRJT2> XYZPY 1100000      10.000   1171.61 => 1100000 XYZPY
40.000      1171.61 06/06/05 90928

60.000      1757.42 06/06/05 90892
11/24/05 <THMNF1> XYZPY 1100000      230.000  26947.12 => 1100000 XYZPY
920.000      26947.12 06/06/05 90795
11/24/05 <TINSN1> XYZPY 1100000      15.000      0.00 => 1100000 XYZPY
60.000      0.00 01/01/60 92116
11/24/05 <TIMPT1> XYZPY 1100000      20.000   2343.23 => 1100000 XYZPY
80.000      2343.23 06/06/05 91190
11/24/05 <DALPN3> XYZPY 1100000      45.000   5272.26 => 1100000 XYZPY
180.000      5272.26 06/06/05 91221
11/24/05 <DIRPT4> XYZPY 1100000      10.000   1171.61 => 1100000 XYZPY
40.000      1171.61 06/06/05 90927
11/24/05 <FNRR14> XYZPY 1100000      10.000   1171.61 => 1100000 XYZPY
40.000      1171.61 06/06/05 91261
11/24/05 <GNATD3> XYZPY 1100000      15.000   1757.42 => 1100000 XYZPY
60.000      1757.42 06/06/05 90730
11/24/05 <GINMI4> XYZPY 1100000      10.000   1171.61 => 1100000 XYZPY
40.000      1171.61 06/06/05 90926
    
```

Chapter 3: Corporate Actions

A corporate action is a transaction by which shareholders in a company receive shares in other companies based on the original stock purchase. Types of corporate actions include:

- **Name change.** When a company's name changes, stocks have to be adjusted as well. Typically, this involves the issuing of new stock whereby the old stock is exchanged for the new (deliver out the old shares and receive in the new shares.) With the issuance of a new stock, the CUSIP number for the stock changes. If the CUSIP number remains the same, the adjustment is made to the description of the security and the positions are not touched
- **Merger.** A merger is the exchange of stocks in one company for those in another company. The most common type of merger is a pooling of interests. When there is a pool of interest, the stock in one company is exchanged for stock of the same caliber in another company, keeping the name of one of the companies. For example, Class A stock of Company ABC is exchanged for Class A stock in Company XYZ. These transactions are non-taxable or "tax free". There are also mergers where the stock in one company is exchanged for stock of another company but cash is also received. Most often, these transactions are taxable capital gains because of the cash receipt
- **Acquisition.** An acquisition occurs when one company buys out another company, often paying much more per share than the market value of the acquired stock at the time of the acquisition
- **Reverse split.** A reverse split occurs when a company wants to increase the price of its stock by reducing the number of outstanding shares. When this happens, the shares have the same original market value but the price per share will be worth more
- **Conversion.** A conversion is a mandatory exchange of a convertible security (bond or preferred stock) in a company for common stock in the same company, often with the price of the convertible security being considerably lower than the price of the common stock
- **Exchange.** An exchange, either involuntary or voluntary, is the transferring of one type of stock into another. This typically occurs when a company is having financial difficulties and needs to increase its cash and decrease its debt
- **Tender.** A tender is the purchasing of or buying-back of a large amount of a company's outstanding shares, often with the purchaser or buyer seeking to gain controlling interest of the company. The purchaser/ buyer offers a specific price per share for the security, often a price significantly higher than the current market value. (If the purchaser or buyer is not the issuing company of the stock being sought, this can be viewed as a takeover.)
- **Distribution.** A distribution, or spin-off, is when company moves a block of stock to one or more of its subsidiary companies or operating divisions, forming a new, independent company. Shareholders of the parent company become primary shareholders in the new company. Distributions often indicate a pending or expected decline in the market price of the stock of the parent company
- **Plan of reorganization.** A plan of reorganization is the proposed restructuring of a company. This is often a strategy to thwart a company's financial problems

3.1 Processing non-taxable distributions involving one new security with POSTDIST

The POSTDIST function processes non-taxable distributions (or spin-offs) involving one new security.

- The securities for the original corporation spinning-off a division or subsidiary are delivered out of the portfolio
- The following are received back in to the portfolio:
 - Original securities at a lower cost basis
 - New security for the spin-off

To run POSTDIST:

1. Type POSTDIST at the WHICH FUNCTION? prompt and press Enter. Enter the security identifier for the original security.

```
NOTE: FOR TICKER USE - IN PLACE OF BLANKS  
X-REF FOR OLD SECURITY (ENTER SACUS, TICK, CUSIP): LIZ
```

2. At the first prompt, type the security identifier of the original security that will be delivered out of the portfolio (s). Press Enter. Enter the security identifier of the new security.

```
X-REF FOR NEW SECURITY (ENTER SACUS, TICK, CUSIP): AFB1
```

3. At the second prompt, type the security identifier of the new security that will be received back into the portfolio(s). Press Enter. Provide an as of date.

```
AS OF DATE (MM/DD/YY) - HIT ENTER FOR 02/26/06 :
```

4. Type the record date of the distribution at the AS OF DATE prompt and press Enter. Specify the range of affected accounts.

```
1613 ACCOUNTS CURRENTLY ON FILE SEARCH FOR WHAT? REORG1  
1 RECORDS FOUND  
NEXT OPERATION (HIT RETURN WHEN DONE, OR TYPE HELP):
```

5. At the SEARCH FOR WHAT? prompt, type the range of accounts for which the distribution will be processed. Press Enter. Indicate the number of affected accounts. Press Enter to proceed to the next step or, to narrow the selection, type another search string and press Enter.

A prompt for the last traded price of the original security appears.

```
ENTER PRICE: 35.00
```

6. Type the last traded price of the original security at the ENTER PRICE prompt. The price entered is used for DLV/RCV values and is referenced in the performance file. Input the date of the conversion.

ENTER CONVERSION DATE - HIT ENTER FOR 02/26/06 :

7. Type the effective date of the distribution at the ENTER CONVERSION DATE prompt and press Enter. The default date is the previous business day. Enter the number of old shares.

In the next two prompts, provide a ratio of old shares to new shares in order to calculate the number of shares of the new security that will be received into the portfolio along with the original shares. For example, if the stockholder is to receive 2 shares of the new security for every 1 share of the original security held, use the following ratio:

- ENTER NUMBER OF OLD SHARES: 1
- ENTER NUMBER OF NEW SHARES: 2

ENTER NUMBER OF OLD SHARES: 1
 ENTER NUMBER OF NEW SHARES: 2

Input the ratio of old shares to new shares. Press Enter at the end of each line. The next two prompts are cost prompts.

ENTER COST (IE. .70) ASSIGNED TO OLD SHARES: .6
 ENTER COST (IE. .30) ASSIGNED TO NEW SHARES: .4

9. Type the percent (in decimal format) of the original cost basis that will remain with the original securities and that will be spread to the new securities when they are received into the portfolio.

Note: The total of these must equal 1.0. For example, if the original shares will retain 60% of the original cost basis and the remaining 40% will go to the new shares, respond as : ENTER COST (I.E. .70) ASSIGNED TO OLD SHARES: .6 and ENTER COST (I.E. .30) ASSIGNED TO NEW SHARES: .4

10. A TRADESNEW batch is created to post the deliver and receive transactions. If the batch is correct, the batch may be posted.

Note: The transactions will have no effect on the portfolios until the batch is posted.

```

TRADESNEW
(0) HDR 0 6 22 2006
(0) HDR 0 6 22 2006
(1) CLO      300.000044304   P35.0000   REORG1 20060226           0 Z0 REORG
(2) DES DLV VP20050130
(3) OPE      300.000044304   7509.60   REORG1 20050130 0 Z0 REORG (4) DES RD20060226 RV6300.00
(5) OPE      600.0000   -355645006.40   REORG1 20050130 0 Z0 REORG (6) DES RD20060226 RV4200.00
(7) TRL      2           1           0
(8)
    
```

3.2 Posting a TRADESNEW batch as part of a corporate action function

Executing trade batches often accompanies the processing of corporate action or reorganization functions. Using the POSTDIST function, as shown in the previous section, the execution of the trade batch described in this section would continue from last step above.

To execute the trade batch created by the corporate action or reorganization function once a TRADESNEW batch is created:

1. Type [Q again and press Enter. The following message appears where NN is the batch number. The batch numbers typically range from 1 to 150:

```

TRADESNEW
(0)  HDR 0 6 22 2006
(0)  HDR 0 6 22 2006
(1)  CLO 300.0000 44304 P35.0000 REORG1 20060226 0 Z0 REORG
(2)  DES DLV VP20050130
(3)  OPE 300.0000 44304 7509.60 REORG1 20050130 0 Z0 REORG (4)  DES RD20060226 RV6300.00
(5)  OPE 600.0000 -35564 5006.40 REORG1 20050130 0 Z0 REORG (6)  DES RD20060226 RV4200.00
(7)  TRL 2 1 0
(8)  [Q TOTALS OK
REMEMBER: THAT WAS BATCH NUMBER 120
*****
*****
TRADE SUMMARY FOR BATCH 120
SHARES TICK/SACUS
-----
CLO 300.000 44304
OPE 300.000 44304
OPE 600.000 -35564

SUMTRD.LRP (**PRINT => TO PRINT TRADE SUMMARY)
WOULD YOU LIKE TO POST THIS BATCH NOW ?
    
```

Note: Some corporate action and reorganization procedures may require users to type [Q on a subsequent line to initiate the process.

2. To post the batch now, enter Y; otherwise, enter N. Post it at another time using the function POSTNEW. Be sure to write down the batch number, to reference the batch in other functions. Use VIEWBATCH or BATCHLIST to review not posted trades batches. The following three screens display a TRADESNEW scenario.

```
WOULD YOU LIKE TO POST THIS BATCH NOW ? Y POSTNEW
**** NOTE: LAST TRADE BATCH SET UP WAS NUMBER: 120 ****

DES DLV VP20050130
OPE 300.0000      44304      7509.60 REORG1  20050130  0  Z0      REORG DES RD20060226 RV6300.00
OPE 600.0000      -35564      5006.40 REORG1  20050130  0  Z0      REORG DES RD20060226 RV4200.00
TRL 2      1      0
TRADES BATCH NUMBER 120      TRANSFERRED: 06/22/06 1:08 P.M.
=====

INPUT O.K. ON BATCH: 120 TRANSFERRING BATCH NO. 120
...AND ONLY 1 ACCOUNTS TO GO
-----
REORG1/ REORG1      INPUT HAS BEEN TRANSFERRED: 06/22/06 1:08:09 P.M. BAT120.PST
ERR120.PST
POSTING 3 TRADE(S) TO THE BLOTTER FILE: 06/22/06 1:08 P.M.
BLOTTER FILE POSTING COMPLETED: 06/22/06 1:08 P.M.
```

3.3 Processing non-taxable distributions involving up to 10 new securities with POSTDISTMULT

The POSTDISTMULT function processes non-taxable distributions (or spin-offs) involving up to ten new securities.

- The securities for the original corporation spinning-off a division or subsidiary are delivered out of the portfolio

- The following are received back into the portfolio:
 - Original securities at a lower cost basis
 - New securities for spin-off

Note: Add the new securities to the security database (i.e. through EDITSEC) prior to running this function.

1. Type POSTDISTMULT at the WHICH FUNCTION? prompt and press Enter. Enter the number of new securities.

```
PLEASE ENTER THE NUMBER OF NEW SECURITIES 3
```

2. Type the number of new securities created from the distribution, or spin-off, of a single original security. Enter security identifier for the original security.

```
NOTE: FOR TICKER USE - IN PLACE OF BLANKS  
X-REF FOR OLD SECURITY (ENTER SACUS, TICK, CUSIP): HSY
```

3. Type the security identifier of the original security that will be delivered out of the portfolio(s). Press Enter. Enter the security identifiers of the new securities.

4. At the each prompt, type a security identifier of a new security that will be received back into the portfolio(s). Press Enter after inputting each identifier. Provide an as of date.

```
AS OF DATE (MM/DD/YY) - HIT ENTER FOR 06/21/06 :
```

5. Type the record date of the distribution at the AS OF DATE prompt and press Enter. A search prompt allows users to specify the range of affected accounts.

```
1615 ACCOUNTS CURRENTLY ON FILE SEARCH FOR WHAT? REORG  
1 RECORDS FOUND  
NEXT OPERATION (HIT RETURN WHEN DONE, OR TYPE HELP):
```

6. At the SEARCH FOR WHAT? prompt, type the range of accounts for which the distribution will be processed. Press Enter. A prompt indicating the number of affected accounts appears. Press Enter to proceed to the next step or, to narrow the selection, type another search string and press Enter.

Enter the last traded price of the original security.

```
ENTER PRICE: 54.00
```

7. Type the last traded price of the original security at ENTER PRICE prompt. Price entered is used for DLV/RCV values and is referenced in the performance file. Input the date of the conversion.

```
ENTER CONVERSION DATE - HIT ENTER FOR 06/21/06 :
```

8. Type the effective date of the distribution at the ENTER CONVERSION DATE prompt and press Enter. The default date is the previous business day. Enter the number of old shares.

Provide the ratio of old shares to new shares to calculate the number of shares of the new security that will be received into the portfolio along with the original shares. For example, if the stockholder is to receive 2 shares of the new security for every 1 share of the original security held, use the following ratio:

- ENTER NUMBER OF OLD SHARES: 1
- ENTER NUMBER OF NEW SHARES FOR TICK EQ MC1 : 1
- ENTER NUMBER OF NEW SHARES FOR TICK EQ MC2 : 1
- ENTER NUMBER OF NEW SHARES FOR TICK EQ MC3 : 1

```
ENTER NUMBER OF OLD SHARES : 1
ENTER NUMBER OF NEW SHARES FOR TICK EQ MC2 : 1
ENTER NUMBER OF NEW SHARES FOR TICK EQ MC1 : 1
ENTER NUMBER OF NEW SHARES FOR TICK EQ MC3 : 1
```

9. Enter the cost ratio, in decimal format, that the original security will retain.

```
ENTER COST (IE. .70) ASSIGNED TO OLD SHARES: .6
```

10. Input the cost ratio of old shares to new shares. Press Enter at the end of each line. The next few prompts are cost prompts.

```
ENTER COST (IE. .30) ASSIGNED TO NEW SHARES FOR TICK EQ MC1 : .2
ENTER COST (IE. .30) ASSIGNED TO NEW SHARES FOR TICK EQ MC2 : .1
ENTER COST (IE. .30) ASSIGNED TO NEW SHARES FOR TICK EQ MC3 : .1
```

Type

the percent (in decimal format) of the original cost basis that will remain with the original securities and that will be spread to each new security when they are received into the portfolio.

The total of cost ratios for the original and new securities must equal 1.0. For example, if the original shares will retain 60% of the original cost basis and the remaining 40% will go to the new shares, respond to the prompts as follows:

- ENTER COST (I.E. .70) ASSIGNED TO OLD SHARES: .6
- ENTER COST (I.E. .30) ASSIGNED FOR TICK EQ MC1: .2
- ENTER COST (I.E. .30) ASSIGNED FOR TICK EQ MC2: .1
- ENTER COST (I.E. .30) ASSIGNED FOR TICK EQ MC3: .1

11. A TRADESNEW batch is created to post the deliver and receive transactions. If the batch is correct, the batch may be posted.

Note: The transactions will have no effect on the portfolios until the batch is posted. For details on posting the batch, please refer to [“Posting a TRADESNEW batch as part of a corporate action function”](#).

```
TRADESNEW
(0) HDR 0 6 22 2006
(0) HDR 0 6 22 2006
(1) CLO      2000.0000      5684      P54.000 REORG      200606210 Z0 REORG
(2) DES DLV VP19990526
(3) OPE      2000.0000      5684      33000.00REORG      199905260 Z0 REORG
(4) DES RD20060621 RV64800.00
(5) OPE      2000.0000 -35574      11000.00REORG      199905260 Z0 REORG
(6) DES RD20060621 RV21600.00
(7) OPE      2000.0000 -35575      5500.00 REORG      199905260 Z0 REORG
(8) DES RD20060621 RV10800.00
(9) OPE      2000.0000 -35581      5500.00 REORG      199905260 Z0 REORG
(10)DES RD20060621 RV10800.00
(12)
```

3.4 Manually exchanging one security for another with POSTSEC CONV

The POSTSEC CONV function processes name changes, mergers, conversions of convertible bonds to common stocks, reverse splits, and other transactions that involve the exchange of one security for another. With these types of transactions:

- The original securities are delivered out of the portfolio, and the new securities are received into the portfolio
- The new securities retain the cost basis and trade date of the original securities

To run POSTSEC CONV:

1. Type POSTSEC CONV at the WHICH FUNCTION? prompt and press Enter. Enter the security identifier for the original security.

```
NOTE: FOR TICKER USE - IN PLACE OF BLANKS  
X-REF FOR OLD SECURITY (ENTER SACUS, TICK, CUSIP): 14757K101
```

2. At

the first prompt, type the security identifier of the original security that will be delivered out of the portfolio(s). Press Enter. Enter the security identifier of the new security.

```
X-REF FOR NEW SECURITY (ENTER SACUS, TICK, CUSIP): 221737109
```

3. At

the second prompt, type the security identifier of the new security that will be received back into the portfolio(s). Press Enter. Enter an as of date.

```
AS OF DATE (MM/DD/YY) - HIT ENTER FOR 11/25/05 : 02/17/06
```

4. Type the record date of the distribution at the AS OF DATE prompt and press Enter. A search prompt that allows users to specify the range of affected accounts.

```
1615 ACCOUNTS CURRENTLY ON FILE SEARCH FOR WHAT? REORG1  
1 RECORDS FOUND  
NEXT OPERATION (HIT RETURN WHEN DONE, OR TYPE HELP):
```

5. At the SEARCH FOR WHAT? prompt, type the range of accounts for which the distribution will be processed. Press Enter. A prompt indicating the number of affected accounts appears. Press Enter to proceed to the next step or, to narrow the selection, type another search string and press Enter.

A prompt appears asking for the last traded price of the original security on the ex-date.

Chapter 3:

```
ENTER PRICE (market value of old security on ex-date): .013
```

6. Type the market price of the original security on the effective date at the ENTER PRICE prompt and press Enter. Enter the conversion date.

```
ENTER CONVERSION DATE :
- HIT ENTER FOR 02/17/06 : 02/14/06
```

7. Type the effective date of the transaction at the ENTER CONVERSION DATE prompt and press Enter. The default date is the previous business day. Enter the number of old shares.

Provide the ratio of old shares to new shares in order to calculate the number of shares of the new security that will be received into the portfolio along with the original shares. For example, if the stockholder is to receive two shares of the new security for every one share of the original security held, use the following ratio:

- ENTER NUMBER OF OLD SHARES: 1
- ENTER NUMBER OF NEW SHARES: 2

```
ENTER NUMBER OF OLD SHARES: 75
ENTER NUMBER OF NEW SHARES: 1
```

8.

Input the ratio of old shares to new shares. Press Enter at the end of each line. Round the number of new shares.

```
Round NEW shares ? N
```

9.

Answer Y (YES) or N (NO) as appropriate to indicate whether or not to round the shares. Answer Y and indicate the rounding method:

- U - Up
- D - Down
- N - Nearest

10. A TRADESNEW batch is created to post the deliver and receive transactions. If the batch is correct, the batch may be posted.

Note: The transactions will have no effect on the portfolios until the batch is posted. For details on posting the batch, please refer to "[Posting a TRADESNEW batch as part of a corporate action function](#)"

```
TRADESNEW
(0) HDR 0 2 23 2006
(0) HDR 0 2 23 2006
(1) CLO      1000.0000 2718250      P0.0130 REORG1 20060214 0 Z0 REORG
(2) DES DLV VP20060105
(3) OPE      13.0000 813217 120.00 REORG1 20060105 0 Z0 REORG
(4) DES RD20060214 RV13.00
(5) TRL      1      1      0
(6) [Q TOTALS OK
```

3.5 Automatically exchanging one security for another with POSTSECCONVINPUT

This function processes the same types of transactions as POSTSEC CONV, but the actual processing occurs in a nightly batch job which makes this function ideal to process conversions for large numbers of accounts. Initially, the APL implementation team sets up a special control job for the client. Once the control job is set up for the client, this function may be used.

All of the prompts are the same as POSTSEC CONV. Answer the prompts, and rather than TRADESNEW creating a batch and posting it immediately, the system stores transactions in a queue and processes them overnight.

3.6 Manually exchanging one security for two or more securities with POSTSECMULT

The POSTSECMULT function processes name changes, mergers, conversions of convertible bonds to common stocks, reverse splits, and any other transactions that involve an exchange of one security for two or more new securities.

- Shares of the original security are delivered out of the portfolio and the shares of the new security are received into the portfolio
- Shares of the new security retain the cost basis and trade date of the original security

To run POSTSECMULT:

1. Type POSTSECMULT at the WHICH FUNCTION? prompt and press Enter. Enter the number of new securities that will be received in exchange for the original security.

```
NUMBER OF SECURITIES BEING RECEIVED: 3
```

2. Type the number of new securities being received at the prompt and press Enter. Enter an identifier for the old security.

```
NOTE: FOR TICKER, USE - IN PLACE OF BLANKS  
X-REF FOR OLD SECURITY (ENTER SACUS, TICK, CUSIP): MOT
```

3. Type the security identifier, such as the TICK, of the original security. Users receive, successively, a prompt for each security indicated in the previous step.

```
X-REF FOR NEW SECURITY # 1 (ENTER SACUS, TICK, CUSIP): MC1  
X-REF FOR NEW SECURITY # 2 (ENTER SACUS, TICK, CUSIP): MC2  
X-REF FOR NEW SECURITY # 3 (ENTER SACUS, TICK, CUSIP): MC3
```

4. Type the identifier for the new security and press Enter. Repeat this process until prompted for an as of date.

```
AS OF DATE (MM/DD/YY) - HIT ENTER FOR 11/25/05 : 09/13/02
```

5.

Type the record date of the transaction at the AS OF DATE prompt and press Enter. Specify an account or an account range.

```
1613 ACCOUNTS CURRENTLY ON FILE SEARCH FOR WHAT? REORG  
NEXT OPERATION (HIT RETURN WHEN DONE, OR TYPE HELP):
```

6. At the SEARCH FOR WHAT? prompt, type the range of accounts for which the transaction will be processed and press Enter. The NEXT OPERATION prompt appears. To narrow the account range, type the search criteria and press Enter. Otherwise, type nothing and press Enter. Enter a security price.

```
ENTER PRICE: 21.94
```

7. At

the ENTER PRICE prompt, type the market price of the original security on the effective date and press Enter. Enter an effective date.

```
ENTER CONVERSION DATE - HIT ENTER FOR 02/24/06 :
```

8. Type the effective date of the transaction at the ENTER CONVERSION DATE prompt and press Enter. Enter the number of old shares.

```
ENTER NUMBER OF OLD SHARES: 3
```

9. Type the number of old shares and press and press Enter. This is the ratio of old shares to new shares so that the system can calculate the number of shares of the new security that will be received into the portfolio in exchange for the old shares. For example, if the stockholder is to receive one share of new security #1, one share of new security #2, and one share of new security #3 for every share of the original security held, use the following ratio:

- Number of old shares = 3
- Number of new shares for new security #1 = 1
- Number of new shares for new security #2 = 1
- Number of new shares for new security #3 = 1

```
ENTER NUMBER OF OLD SHARES: 3
```

```
ENTER NUMBER OF NEW SHARES FOR NEW SECURITY # 1: 1  
ENTER NUMBER OF NEW SHARES FOR NEW SECURITY # 2: 1  
ENTER NUMBER OF NEW SHARES FOR NEW SECURITY # 3: 1
```

10. Enter the number of shares for each new security and press Enter at the end of each line. Specify the original cost basis for the new securities.

11. At the ENTER COST prompts, type the percent (in decimal format) of the original cost basis that will be spread to each new security when they are received into the portfolio. Press Enter.

The total of these must equal 1.0. For example, if the first new security will receive 50% of the original cost basis and the other two will each receive 25% of the original cost basis. Thus, respond to the prompts as follows:

The total of these must equal 1.0. For example, if the first new security will receive 50% of the original cost basis and the other two will each receive 25% of the original cost basis. Thus, respond to the prompts as follows:

- First new security= .5
- Second new security= .25
- Third new security= .25

```
ENTER COST (IE, .20) ASSIGNED TO NEW SECURITY # 1: .5
ENTER COST (IE, .20) ASSIGNED TO NEW SECURITY # 2: .25
ENTER COST (IE, .20) ASSIGNED TO NEW SECURITY # 3: .25
```

A TRADESNEW batch will be created to post the deliver and receive transactions. If the batch is correct, the batch may be posted.

Note: The transactions will have no effect on the portfolios until the batch is posted. For details on posting the batch, please refer to "[Posting a TRADESNEW batch as part of a corporate action function](#)"

```
TRADESNEW
(0) HDR 0 02 27 2006
(0) (1) CLO 3000.0000 7928 P21.940 REORG 20060227 0 Z0 REORG
(2) DES DLV VP19980430
(3) OPE 1000.0000 -35574 2000.00 REORG 19980430 0 Z0 REORG
(4) DES RD20030913 RV14430.00
(5) OPE 1000.0000 -35575 4000.00 REORG 19980430 0 Z0 REORG
(6) DES RD20030913 RV28860.00
(7) OPE 1000.0000 -35581 4000.00 REORG 19980430 0 Z0 REORG (8) DES RD20030913
RV28860.00
(9) TRL 3 1 0
(10)
```

3.7 Processing lottery or class conversions when a percentage of holdings are being converted with POSTSECLLOT

This function processes lottery conversions and class conversions when a percentage of a portfolio's holdings of a specific security is being converted.

The function produces the same transactions as POSTSECCONV.

- The original securities are delivered out of the portfolio and the new securities are received into the portfolio
- The new securities retain the cost basis and trade date of the original securities

To run POSTSECLLOT:

1. Type POSTSECL0T at the WHICH FUNCTION? prompt and press Enter. Enter the security identifier for the original security.

```
NOTE: FOR TICKER USE - IN PLACE OF BLANKS
X-REF FOR OLD SECURITY (ENTER SACUS, TICK, CUSIP): 034425207
```

2. At the first prompt, type the security identifier of the original security that will be delivered out of the portfolio (s). Press Enter. Enter the security identifier of the new security.

```
X-REF FOR NEW SECURITY (ENTER SACUS, TICK, CUSIP): 034425108
```

3. At the second prompt, type the security identifier of the new security that will be received back into the portfolio(s). Press Enter. Enter to provide an as of date.

```
AS OF DATE (MM/DD/YY) - HIT ENTER FOR 11/25/05 : 02/17/06
```

4. Type the record date of the distribution at the AS OF DATE prompt and press Enter. Specify the range of affected accounts.

```
1618 ACCOUNTS CURRENTLY ON FILE SEARCH FOR WHAT? REORG1
1 RECORDS FOUND
NEXT OPERATION (HIT RETURN WHEN DONE, OR TYPE HELP):
```

5. At the SEARCH FOR WHAT? prompt, type the range of accounts for which the distribution will be processed. Press Enter. Indicate the number of affected accounts. Press Enter to proceed to the next step or, to narrow the selection, type another search string and press Enter. Provide the last traded price of the original security on the ex-date.

```
ENTER PRICE: 12.90
```

6. Type the market price of the original security on the effective date at the ENTER PRICE prompt and press Enter. Enter the conversion date.

```
ENTER CONVERSION DATE:
- HIT ENTER FOR 02/17/06 : 03/15/05
```

7. Type the effective date of the transaction at the ENTER CONVERSION DATE prompt and press Enter. The default date is the previous business day. The SECURITY CONVERSION TABLE appears listing tax lots of the original security that are within the selected account range and owned as of the record date.

```

                                PV M0 Ins
02/22/06 9:31 A.M. SECURITY CONVERSION TABLE      F3 To Quit
-----
                                F10 to Save
-----
      SNAM/      TOTAL  ORIGINALSHARES  NEW SHARES
      BNUM      OLD SHARES  PDATE          TO CONVERT      RECEIVED
-----
REORG1      250.0000      20050301      250.00      279.23

```

Column

Description

SNAM/BWNUM	SNAM of the affected accounts.
TOTAL OLD SHARES	The number of original shares to be converted.
ORIGINAL PDATE	The purchase dates of the original shares.
SHARES TO CONVERT	Type the number of shares from each tax lot that will be converted into the new security.
NEW SHARES RECEIVED	Type the number of shares that will be received in exchange for the specific number of shares converted in each tax lot.

Note: The POSTSECLOT will not automatically calculate the number of shared based on a ratio. Manually determine the number of old shares to convert the number of new shares to receive for each tax lot.

8. Press F10 to save and continue. Type Y (YES) to save and exit or N (No) to return to the Security Conversion Table. A TRADESNEW batch will be created to post the deliver and receive transactions. If the batch is correct, the batch may be posted.

Note: The transactions will have no effect on the portfolios until the batch is posted. For details on posting the batch, please refer to "[Posting a TRADESNEW batch as part of a corporate action function](#)"

```

TRADESNEW
(0) HDR 0 2 22 2006
(0) HDR 0 2 22 2006
(1) CLO      250.0000 9669021 P12.900 REORG1 20050315 0 0
(2) DES DLV VP20050301
(3) OPE      279.230028922 2212.50 REORG1 20050301 0 0
(4) DES RD20050315 RV3225.00
(5) TRL      1 1 0
(6) [Q
TOTALS OK
    
```

3.8 Processing cash tenders with POSTTENDER

This function processes cash tenders and consequently produces sell trades.

To run POSTTENDER:

1. Type POSTTENDER at the WHICH FUNCTION? prompt. Enter a security identifier.

X-REF FOR WHICH SECURITIES (ENTER SACUS, TICK, CUSIP): BMM

2. Type the security identifier. Enter an as of date.

AS OF DATE (MM/DD/YY) - HIT ENTER FOR 02/17/06 : 07/21/05 1616 ACCOUNTS CURRENTLY ON FILE

3. Type the record date at the AS OF DATE prompt. Specify an account or an account range.

SEARCH FOR WHAT? REORG1

4. At the SEARCH FOR WHAT? prompt, type the range of accounts for which the transaction will be processed. Enter a price.

ENTER PRICE: 10.00

5. Type the price of the tender at the ENTER PRICE prompt. Specify a sale date.

ENTER SALE DATE:
- HIT ENTER FOR 02/17/06 : 07/21/05

6. At the ENTER SALE DATE prompt, type the effective date of the tender. The default is the previous business day. Enter a percentage of holdings.

ENTER PERCENT: .75

7. At the ENTER PERCENT prompt, indicate the percent of the holdings that will be sold as part of the tender. Specify whether or not interest will accrue.

ACCRUE INTEREST ? Y

8. Indicate whether or not accrued interest should be part of the transaction by typing Y (YES) or N (NO) at the ACCRUE INTEREST prompt. Round tendered lots.

Round Tendered Lots ? N

9. Answer Y (YES) or N (NO) as appropriate to indicate whether or not to round the tendered lots.

Answer Y to indicate the rounding method:

- U - Up
- D - Down
- N - Nearest

At the next prompt, indicate how the rounding method should be applied:

- Type P (POSITION) to indicate that rounding should be based on the total amount of a security held in a portfolio, not based on individual tax lots.
- Type T (TAX LOT) to indicate that rounding should be based on each tax lot.

A TRADESNEW batch will be created to post the sell transactions. If the batch is correct, the batch may be posted.

Note: The transactions will have no effect on the portfolios until the batch is posted. For details on posting the batch, please refer to "[Posting a TRADESNEW batch as part of a corporate action function](#)"

```

TRADESNEW
(0) HDR 0 2 23 2006
(0) HDR 0 2 23 2006
(1) CLO 0.7500 1218116 P10.000000 REORG1 20050721 0 Z0 REORG
(2) DES SEC0 SD20050721
(3) TRL 0 1 0
(4) [Q TOTALS OK
    
```

Viewing corporate actions using EDPORT

When corporate actions are run, EDPORT levels between 1 and 3 are affected as indicated in the following table.

Function	Affected EDPORT Levels
POSTDIST	1,2,3
POSTDISTMULT	1,2,3
POSTSECCONV	1,2,3
POSTSECMULT	1,2,3
POSTSECLOT	1,2,3
POSTTENDER	1,3

Details on how these functions affect EDPORT are outlined in this section.

How POSTDIST and POSTDISTMULT affect EDPORT

When the POSTDIST or POSTDISMULT functions are run, securities for the original corporation spinning-off of a division or subsidiary are delivered out of the portfolio.

The following are received back into the portfolio:

- Original securities at a lower cost basis
- New securities for spin-off

This affects EDPORT levels 1, 2, and 3.

EDPORT, Level 1

- Total cost (COST) of the new tax lots (lines 3-6) equals the cost of the original tax lot (line 7)
- New tax lots have the same purchase date (PDATE) as the original tax lot

```

(1) SNAM: REORG ACNUM: 0
(2) TRANS TICK SACUS UNITS PDATE COST SDATE PROC (2)
-----
(3) 34484 MC1 -35574 2000.0000 20050430 1000.00 0 0.00
(4) 34485 MC2 -35575 1000.0000 20050430 1000.00 0 0.00
(5) 34486 MC3 -35581 1000.0000 20050430 1000.00 0 0.00
(6) 34483 S 10446 1000.0000 20050430 7000.00 0 0.00
(7) 29916 S 10446 1000.0000 20050430 10000.00 0 0.00
    
```

EDPORT, Level 2

- Total receive value (RCOST) of the new tax lots (lines 3-6) equals the deliver value (DPROC) of the original tax lot (line 7)
- Receive and deliver values are based on the market price of the original security on the effective date
- Receive and deliver dates are the conversion date (effective date)

```

(1) REORG ACNUM: 0
(2) TICK SACUS UNITS RDATE RCOST DDATE DPROC EXCLD
-----
(3) MC1 -35574 2000.0000 20060913 5000.00 0 0.00 BLANK
(4) MC2 -35575 1000.0000 20060913 5000.00 0 0.00 BLANK
(5) MC3 -35581 1000.0000 20060913 5000.00 0 0.00 BLANK
(6) S 10446 1000.0000 20060913 35000.00 0 0.00 BLANK
(7) S 10446 1000.0000 0 0.00 20060913 50000.00 BLANK
    
```

EDPORT, Level 3

- Broker fields (BRKIN/BRKOUT) are coded with REORG to note that the receive and deliver transactions were the result of a reorganization function

```

(1) REORG ACNUM: 0
(2) TICK SACUS UNITS COMIN BRKIN COMOUT BRKOUT XUNITS
-----
(3) CVS 2655019 2000.0000 0.00 REORG 0.00 BLANK 0.000
(4) FRX 4794 1000.0000 15.00 REORG 0.00 REORG 0.000
    
```

How POSTSEC CONV, POSTSEC MULT, and POSTSEC LOT affect EDPORT

When the POSTSEC CONV, POSTSEC MULT, or POSTSEC LOT functions are run:

- The original securities are delivered out of the portfolio, and the new securities are received into the portfolio
- The new securities retain the cost basis and trade date of the original securities
This affects EDPORT levels 1, 2, and 3

EDPORT, Level 1

- Total cost (COST) of the new tax lot (line 3) is equal to the total cost of the original tax lot.
- The new tax lot has the same purchase date (PDATE) as the original tax lot.

(1)	TRANS	TICK	SACUS	UNITS	PDATE	COST	SDATE	PROC
(2)	-----	-----	-----	-----	-----	-----	-----	-----
(3)	34512	CVS	2655019	2000.0000	20061231	66452.50	0	0.00
(4)	30686	FRX	4794	1000.0000	20061231	66452.50	0	0.00

EDPORT, Level 2

- The receive value (RCOST) of the new tax lot (line 3) equals the deliver value (DPROC) of the original tax lot (line 4)
- Receive and deliver values are based on the market price of the original security on the effective date
- Receive and deliver dates are the conversion date (effective date)

(1)	REORG	ACNUM:	0						
(2)	TICK	SACUS	UNITS	RDATE	RCOST	DDATE	DPROC	EXCLD	
(2)	-----	-----	-----	-----	-----	-----	-----	-----	
(3)	CVS	2655019	2000.0000	20060913	78000.00	0	0.00	BLANK	
(4)	FRX	4794	1000.0000	20050112	59562.50	20060913	78000.00	BLANK	

EDPORT, Level 3

- Broker fields (BRKIN/BRKOUT) are coded with REORG to note that the receive and deliver transactions are the result of a reorganization function

(1)	REORG	ACNUM:	0						
(2)	TICK	SACUS	UNITS	COMIN	BRKIN	COMOUT	BRKOUT	XUNITS	
(2)	-----	-----	-----	-----	-----	-----	-----	-----	
(3)	CVS	2655019	2000.0000	0.00	REORG	0.00	BLANK	0.000	
(4)	FRX	4794	1000.0000	15.00	LEH	0.00	REORG	0.000	

How POSTTENDER affects EDPORT

When the POSTTENDER function is run sell trades are produced based on the acceptance of the tender offer. This affects EDPORT levels 1 and 3.

EDPORT, Level 1

- A closed tax lot is generated for the sale of the percentage of the securities based on the accepted tender offer
- The sell date (SDATE) is the effective date of the tender
- The sell proceeds (PROC) is based on the price of the tender offer

(1)	SNAM:	REORG	ACNUM:	0					
(2)	TRANS	TICK	SACUS	UNITS	PDATE	COST	SDATE	PROC	
(2)	-----	-----	-----	-----	-----	-----	-----	-----	
(3)	29918	K	6675	750.0000	20040430	7500.00	0	0.00	
(4)	29918	K	6675	250.0000	20040430	2500.00	20060913	10000.00	

EDPORT, Level 3

- The broker field (BRKOUT) of the sold tax lot is coded with REORG to note that sale transaction is the result of a reorganization function

(1)	REORG	ACNUM:	0					
(2)	TICK	SACUS	UNITS	COMIN	BRKIN	COMOUT	BRKOUT	XUNITS
(2)	----	-----	-----	-----	-----	-----	-----	-----
(3)	K	6675	750.0000	0.00	0	0.00	BLANK	0.000
(4)	K	6675	250.0000	0.00	0	0.00	REORG	0.000

Chapter 4: Capital Adjustments

A capital adjustment is a transaction by which shareholders in a corporation receive additional shares at no cost.

4.1 Types of capital adjustments

- **Stock split:** A stock split occurs when a company seeks to increase the number of outstanding shares to award its shareholders with additional stock at no additional cost and to broaden the span of investors. The additional shares received by the current shareholders are determined by a split ratio. For example, if XYZ Corp. declares a two for one stock split, each shareholder will have twice as many shares as before the split at no cost. The total cost basis will remain unchanged; i.e. the APL System will double the number of shares in the tax lot without affecting the cost basis in the tax lot. It will also split all historical prices by the ratio of the split
- **Stock dividend:** A stock dividend is the payment of a corporate dividend in the form of additional shares instead of cash. Similar to a stock split, a stock dividend involves an increase in the number of shares in a tax lot without an increase in the cost basis. For example, if ABC Corp. declares a 5% stock dividend, each shareholder will receive 5% more shares at no cost

4.2 Understanding capital adjustment data in the Security Master

Stock split/stock dividend (and cash dividend) information is stored in the following Security Master fields:

- DIV
- REC
- PAY

The most current (most recently declared or paid splits or dividend) information is stored in the DIV4, REC4, and PAY4 fields.

As new information is added, the most recent information is added to the DIV4, REC4, and PAY4 fields, and the information originally in those fields moves to the DIV3, REC3, and PAY3 fields, then to the DIV2, REC2, and PAY2 fields, then to the DIV1, REC1, and PAY1 fields. As new information is added, the information that had been in the DIV1, REC1, and PAY1 fields is deleted. Only the last four stock splits and cash or stock dividends are stored.

```

DESCRIPTION: CAMECO CORP      COM INDUSTRY:
CURRENT YIELD: 0.511

CUSIP: 13321L108  ISSTY: 28 - COMMON STOCKS SACUS: 2301322 TICK: CCJ

EXCH:      1      SIC:      1094      INDIV: 0.186      EPS:      0.63
BETA:      RESTRC: BLANK      CLSEP: 36.430000YSTRPR:37.000000
PRJAN: 79.000000  PRMID: 37.000000FIXED: DIV4: 0.04000
PAY4:      20060413REC4: 20060329DIV3: -1.000000PAY3: 20060223
REC3:      20060223SNPRAT: B      MRATNG: BLANK
    
```

In the above example, this corporation declared a 1 for 1 stock split with an ex-dividend date of 2/23/06. REC and PAY fields both reflect the ex-dividend date; true record and pay dates are not stored for stock splits and stock dividends. The reason that the APL System stores only the ex-dividend date is that this is the date the market adjusts the price of the stock to reflect the split or stock dividend.

The table below displays the conversion of the DIV field coding into the actual stock split or stock dividend ratio.

Stock Split / Stock Dividend Ratio Function	Dividend Field Value
2:1	1.00
3:1	2.00
3:2	0.50
4:1	3.00
5:2	1.50
5:4	-0.25
11:10	-0.10
21:20	0.05

Blocking stock split and dividend updates on an individual security basis using PFLAGS

The stock split and stock dividend data is updated by FTID. To block these updates on an individual security basis, the PFLAGS field should be used. Code the first position of the PFLAGS field with a D to block updates to the DIV, REC, and PAY fields. The syntax for this field is DXXXXXX where the X's correspond with the characters detailed in the following table.

PFLAG Character	Description of input choices
Character 1	<p>I = Blocks INDIV updating.</p> <p>D = Blocks DIV, REC and PAY updating (includes DIV1-4, REC1-4, and PAY1-4).</p> <p>B = Blocks both INDIV and DIV/REC/PAY updating.</p>
Character 2	<p>Z = Identifies a security that is actually priced at 0. (Securities with this coding will not appear on reports that look for zero-priced securities).</p>
Character 3	T = Blocks TICK updating.
Character 4	O = Blocks OSHRE updating.
Character 5	<p>U = Blocks FTID (Financial Times Interactive Data) pricing updates.</p> <p>R = Blocks FTID bond feed pricing updates.</p> <p>N = Blocks FTID and FTID bond pricing updates. (Client assumes responsibility for pricing securities that are coded with an "N").</p>
Character 6	<p>M = Blocks MRATNG field updating (all vendors).</p> <p>S = Blocks SNPRAT field updating (all vendors).</p> <p>R = Blocks both MRATNG and SNPRAT updating (all vendors).</p>

Manually updating the DIV, REC, and PAY fields with stock split and dividend information with EDDPR

To update the DIV, REC, and PAY fields manually with stock split and stock dividend information, use the EDDPR function.

Note: CIS runs this function automatically. Thus, only run this function if data is missing, if a split or dividend is missing, or if an unlisted security has split or reported a dividend. Do not run this function in an attempt to repopulate data missing from listed securities (i.e. securities that CIS updates.) In this instance, please open a trouble ticket to report the missing data.

To use the EDDPR function:

1. Type EDDPR at the WHICH FUNCTION? prompt. The Updating the DIV, REC, and PAY Fields screen will appear

```

SAMPLE ASSET MANAGEMENT                                F-3 To Quit
12/01/05  3:46 P.M.                                  F-10 to Save

                                Updating the DIV, PAY, and REC Fields
-----
                                Security  DIV    PAY    REC
                                -----
                                MC1      -1.00  20060702 20060702
    
```

2. Fill in the following information as appropriate:

Column	Description of input
Security	Type either the TICK, SACUS, or CUSIP in the Security field.
DIV	Type the stock split or stock dividend ratio in the DIV field.
PAY	Type the ex-dividend date.
REC	Type the ex-dividend date.

3. Press Enter after adding each stock dividend or stock split to add another security and its related information
4. Press F10 to save the information and exit the screen

4.3 Processing stock splits and stock dividends with STOCKSPLIT

The STOCKSPLIT function processes stock splits, stock dividends, and options contracts. Information available from FTID regarding current stock splits and stock dividends can be found using LOOKUPSPLIT (see pages 5-6)

Note: CIS runs this function automatically. Thus, only run this function if data is missing, if a split or dividend is missed, or if an unlisted security has split or reported a dividend. Do not run this function in an attempt to repopulate data missing from listed securities (i.e. securities that CIS updates.) In this instance, please open a trouble ticket to report the missing data.

Upon a stock split, CIS adjusts historical prices and per share figures accordingly.

To run STOCKSPLIT:

1. Type STOCKSPLIT at the WHICH FUNCTION? prompt. Enter the ex-date

```
Enter Ex-Date - HIT ENTER FOR 02/25/06 : 02/23/06
```

2. Type the ex-dividend date. Identify the stock that is splitting

Enter Security to Process a Split or Stock Dividend : CCJ

3. Provide a security identifier for the splitting stock. Next, provide the split ratio for the stock split or stock dividend

Enter Number of Old Shares : 1 Enter Number of New Shares : 2

For example, if a 2 for 1 stock split is being processed, use the following ratio:

- ENTER NUMBER OF OLD SHARES: 1
- ENTER NUMBER OF NEW SHARES: 2

Select an account.

SEARCH FOR WHAT? REORG1

4. Type the account selection criteria. Press Enter. Confirm the capital adjustment

ARE YOU SURE YOU WANT TO MAKE THESE CAPITAL ADJS ? Y

5. Confirm that the split should be processed. Answer Y to confirm the batch or N to correct the information. Choose Y, and the following information is output to the screen and the number of shares in each affected tax lot is automatically updated without the creation of a TRADESNEW batch

```

CAPITAL ADJUSTMENTS FOR 2/24/2006
AMOUNT      SNAM   TICK   SACUS  UNITS  AMOUNT =>   SACUS  TICK   UNITS
PURCHASE
02/24/06 <REORG1> CCJ      2301322 500.000      16060.00 => 2301322 CCJ 1000.000
16060.00 01/30/05 36126
MANCAP.LST
    
```

Two reports are produced:

- XXXCAP1.LST: Lists the inputs used at each prompt while running STOCKSPLIT
- XXXCAP.LST: Displays the stock split or stock dividend transaction for each portfolio. The left side indicates the original number of shares in the tax lot, and the right side indicates the new number of shares in the tax lot

APL adds a memo to the General Ledger for each portfolio indicating the occurrence of the stock split or stock dividend since there is no notation of this in the tax lot itself. The description indicates that a certain percent stock dividend has occurred.

4.4 Stock split ratio table

Split name	Old Shares	New Shares	Rate	EDGL	Description	DIV Field
2 for 1	1	2	2.000	100.00%	STOCKDIV	-1.00
3 for 1	1	3	3.000	200.00%	STOCK DIV	-2.00
4 for 1	1	4	4.000	300.00%	STOCK DIV	-3.00
5 for 1	1	5	5.000	400.00%	STOCK DIV	-4.00
3 for 2	2	3	1.500	50.00%	STOCK DIV	-0.50
5 for 2	2	5	2.500	150.00%	STOCK DIV	-1.50
5 for 4	4	5	1.250	25.00%	STOCK DIV	-0.25
4 for 3	3	4	1.333	33.33%	STOCK DIV	-0.33
5 for 3	3	5	1.667	66.67%	STOCK DIV	-0.66
10 for 1	1	10	10.00	900.00%	STOCK DIV	-10.00
5% dividend	100	105	1.050	5.00%	STOCK DIV	-0.05
10% dividend	100	110	1.100	10.00%	STOCK DIV	-0.02
2% dividend	100	102	1.020	2.00%	STOCK DIV	-0.10
6.7% dividend	1000	1067	1.067	6.70%	STOCK DIV	-0.07
2.6% dividend	1000	1026	1.026	2.60%	STOCK DIV	-0.03
15% dividend	100	115	1.150	15.00%	STOCK DIV	-0.15
3% dividend	100	103	1.030	3.00%	STOCK DIV	-0.03

Chapter 5: Cash Adjustments

A cash adjustment is a transaction by which shareholders receive cash based on the number of shares they own.

Types of cash adjustments include:

- **Cash dividend:** A cash dividend is a pay-out of earnings to stockholders in a corporation. This payout is declared by the corporation's board of directors as a specific amount of cash per share held as of a record date
- **Income payment:** An income payment is a pay-out of income received from a mutual fund holding
- **Return of capital:** A return of capital is a distribution of cash to shareholders which results from transactions such as the sale of a capital asset or of securities in a portfolio such as a UIT. (A UIT, or unit investment trust, is an investment vehicle that purchases a fixed portfolio of securities which can be bonds or equities. The trust has a set expiration date.) These distributions of cash are unrelated to retained earnings. (Retained earnings are distributed as dividends.) Returns of capital cause the original cost basis of the security to be reduced. The actual distribution is not taxable if it does not exceed the original cost basis of the security. A non-taxable return of capital, however, can have an indirect tax consequence since the cost basis is reduced. This can lead to higher capital gains if the asset is sold
- **Capital gains:** If a return of capital exceeds the original cost basis of the security, this is a capital gain. Capital gains are taxable either as long-term or short-term gains. Long-term gains are taxed at a lower rate than short-term gains. Short-term assets are those held for one year or less. Long-term assets are those held longer than one year

5.1 Cash adjustment data in the Security Master

Cash dividend (and stock split/stock dividend) information is stored in the DIV, REC, and PAY fields in the Security Master. The most current (most recently declared or paid splits or dividend) information is stored in the DIV4, REC4, and PAY4 fields. As new information is added by the vendor or manually, the newest information is added to the DIV4, REC4, and PAY4 fields, and the information originally in those fields moves to the DIV3, REC3, and PAY3 fields, then to the DIV2, REC2, and PAY2 fields, then to the DIV1, REC1, and PAY1 fields. As new information is added, the information that had been in the DIV1, REC1, and PAY1 fields is deleted. Only the last four stock splits and cash or stock dividends are stored.

```

SAMPLE ASSET MANAGEMENT          F-1 for FIXTYP Info 02/28/06 10:44 A.M. F-3 to Quit
                Security Edit Screen      F-5 to Refresh
                -----                  F-8 for Options
DESC: WALT DISNEY PRODTNS                F-10 to Save

CUSIP: 254687106  FIXTYP:EQUITY  ISSTY: 28  TICK: DIS
DTD: 0  DTDFL: BLANK  SACUS: 3619  CLSEP: 28.380000

-----
DIV1: 0.21000 DIV2: 0.00000 DIV3: 0.24000 DIV4: 0.27000
REC1: 20031210 REC2: 0  REC3: 20041208 REC4: 20051208
PAY1: 20040106 PAY2: 0  PAY3: 20050106 PAY4: 20060106
PRICDT: 20060227 RESTRC: BLANK PFLAGS: XXXXXX
    
```

In this example, this corporation declared a \$0.27 per share cash dividend for holders of record as of 12/08/2005 to be paid on 1/06/ 2005. The DIV field records the amount of the dividend per share. The REC field records the record date, i.e. the date by which the shares must be held for the shareholder entitled to the dividend. The PAY field records actual payment date of the cash dividend.

PFLAGS

The cash dividend data is updated by the vendor FTID. To block these updates on an individual security basis, the PFLAGS field should be used. Code the first position of the PFLAGS field to block updates to the DIV, REC, and PAY fields. (This syntax for this field would be DXXXXX.)

EDDPR

To update the DIV, REC, and PAY fields manually with cash dividend information, use the EDDPR function.

To use the EDDPR function:

1. Type EDDPR at the WHICH FUNCTION? prompt. The Updating the DIV, REC, and PAY Fields screen will appear:

```

SAMPLE ASSET MANAGEMENT          F-3 To Quit
12/05/05  1:18 P.M. F-10 to Save
Updating the DIV, PAY, and REC Fields
-----
Security      DIV      PAY      REC
-----
MC1      .1875  20060702  20060624
    
```

2. Fill in the following columns as appropriate

Column	Description
Security	Type the security identifier (TICK, SACUS, or CUSIP) in the Security field.
DIV	Type the cash dividend per share in the DIV field.

Column	Description
PAY	Type the pay date in the PAY field.
REC	Type the record date in REC field.

- Press Enter at the end of each line after adding a cash dividend
- Press F10 to save the data

5.2 Posting cash dividends for a selected range of accounts using POSTDIVS

The POSTDIVS function posts cash dividends for all equities and income payments for all mutual funds, and coupon payments for all bonds to a selected range of accounts. Cash dividends are posted to the portfolio's General Ledger.

Note: CIS runs this function automatically. Only run this function if the dividend information needs to be updated for private securities.

To run POSTDIVS:

1. Type POSTDIVS at the WHICH FUNCTION? prompt. Enter a beginning date and press Enter

```
BEGINNING DATE (MM/DD/YY) - HIT ENTER FOR 12/02/05 : 01/01/05
```

2. Type the beginning date of the date range for the dividends. Enter the ending date and press Enter

```
ENDING DATE (MM/DD/YY) 12/09/05
```

3. Type the ending date of the date range. The search prompt will appear:

```
7 BUSDAY PAYABLE MEMO POSTING ENABLED
1656 ACCOUNTS CURRENTLY ON FILE SEARCH FOR WHAT? REORG1
191 RECORDS FOUND
NEXT OPERATION (HIT RETURN WHEN DONE, OR TYPE HELP):
```

4. Type the range of accounts for which dividends will be posted at the SEARCH FOR WHAT? prompt and press Enter

The APL System will post all dividends payable to each account within the selected range based on each account's holdings and based on the dividend information for these holdings contained in the Security Master. The system will display a message listing each account for which dividends were posted.

```
INCOME PAYMENTS FROM THE FOLLOWING MAY BE MISSING:
1651 BLUE RIDGE REAL ESTA
POSTING 28 DIVIDENDS/INTEREST TO ACCOUNT <REORG > 1 OUT OF 1 12/13/05 9:58 A.M.
```

5.3 Posting cash dividends or payments for a range of accounts with POSTDIVSEL

The POSTDIVSEL function posts cash dividends, income payments, and coupon payments for specific securities for a selected range of accounts.

To run POSTDIVSEL:

1. Type ****POSTDIVSEL** at the WHICH FUNCTION? prompt. Press Enter. List the securities for which dividends or payments should be posted

POST FOR WHICH SECURITIES? FDG

2. Type the security ID (ticker, SACUS, or CUSIP) of the security to post a dividend or payment. Press Enter. Enter a date range

BEGINNING DATE (MM/DD/YY) - HIT ENTER FOR 12/09/05 : 01/01/05 ENDING DATE (MM/DD/YY) 12/09/05

3. Type date range for posting dividends at the BEGINNING and ENDING DATE prompts in MM/DD/YY format. Press Enter at the end of each line. Enter an account range:

1627 ACCOUNTS CURRENTLY ON FILE SEARCH FOR WHAT? MGR EQ NJ

4. Type the range of accounts for which dividends will be posted at the SEARCH FOR WHAT? prompt. Press Enter
5. The APL System will post the dividends payable to each account within the selected range for each selected security based on each account's holdings and based on the dividend information contained in the Security Master. The system will display a message listing each account for which dividends were posted

POSTING 2 DIVIDENDS/INTEREST TO ACCOUNT <REORG > 1 OUT OF 1 12/13/05 9:53 A.M.

Cash Dividend, Income, and Coupon Payments in the General Ledger

Cash dividends for equities and income payments for mutual funds are posted with the transaction type DIV. Coupon payments for bonds are posted with the transaction type INT.

(24)DIV	NFI	3783503	20060113	500 700.00	-NOVASTAR FINL INC
(25)DIV	FDG	9221192	20060113	500 800.00	-FORDING CDN COAL TR
(26)DIV	VKR-UZ	2692670	20060116	700	84.00 -VIKING ENERGY RTY T
(27)DIV	CLAYFM	1018	20060125	700 44.80	-CLAYMORE SECS DEFIN
(28)DIV	FBR	9297701	20060131	500 100.00	-FRIEDMAN BILLINGS R
(29) DIV	ACI-P	9302178	20060201	500	312.50 -ARCH COAL INC
(30)DIV	VKR-UZ	2692670	20060215	700	84.00 -VIKING ENERGY RTY T
(31)DIV	PAYABL	1018	20060225	700 109.76	-CLAYMORE SECS DEFIN

5.4 Posting a return of capital with POSTROC

To post a return of capital, use the POSTROC. Indicate the exact amount of capital that is being distributed to each account.

This function generates three types of transactions:

- A PRI entry to the General Ledger for the amount of cash distributed. This is considered principal cash
- A deliver out of the original tax lot
- A receive in of the same tax lot but with the original cost basis reduced by the amount of the return of capital

To run POSTROC:

1. Type POSTROC at the WHICH FUNCTION? prompt. The POSTGL line editor will appear
2. The following information should be typed in each column:

```
AVAILABLE TRDTYS:
ROC

(1) INCOME CASH LEDGER
(2) SNAM/AC TRDTY TICK SACUS/CUS DATE UNITS $ AMOUNTMSP DESCRIP (2) -----
(3)
PV M0 Ins
```

Column	Description of input
SNAM/AC	Account short name.
TRDTY	Type ROC (return of capital.)
TICK	Ticker symbol for security receiving the return of capital.
SACUS	SACUS number for the security receiving the return of capital.
DATE	Transaction date for the return of capital.
UNITS	Number of units for security receiving a return of capital.
\$AMOUNT	Amount of capital returned.

Column	Description of input
MSP	Normally, type BLANK. If this is an MSP, type the submodel associated with the tax lot.
DESCRIPTION	Type the long name of the security.

- Type [Q to save the data. A message will appear validating the trade. Type Y and press Enter to post the trade

```

AVAILABLE TRDTYS:
ROC

(1) INCOME CASH LEDGER
(2) SNAM/AC TRD TY TICK SACUS/CUS DATE UNITS $ AMOUNTMSP DESCRIP (2) -----
-----
(3) REORG ROC BLRGZ 1651 20050829 1000 5000 BLANK BLUE RIDGE
(4) [Q
(1) INCOME CASH LEDGER
(2) SNAM/AC TRD TY TICK SACUS/CUS DATE UNITS $ AMOUNTMSP DESCRIP (2) -----
-----
(4)
TO QUIT TYPE (Q
(4) [Q
ARE THERE 1 TRADES OF $ 5,000.00 ? Y POSTING TRANSACTION FOR SNAM: REORG
ADJUSTING BASIS FOR 1 LOTS

WHAT NEXT?
    
```

5.5 Posting a return of capital with POSTROCAUTO

This function allows posts a return of capital and generates the same transactions as POSTROC without having to type in all data by SNAM. This function will calculate the amount of the return of capital based on the ex-date. The number of shares owned, and the amount of the return of capital per share. In addition, this function will also post a long- or short-term capital gain when the return of capital amount exceeds the original cost basis of the security.

To run POSTROCAUTO:

- Type POSTROCAUTO at the WHICH FUNCTION? prompt. The search prompt will appear

```
SEARCH FOR WHAT? REORG
```

- At the SEARCH FOR WHAT? prompt, type the account range for which the returns of capital will be posted and press Enter. If additional criteria are needed to narrow the search, type the criteria at the NEXT OPERATION prompt and press Enter. Otherwise, type nothing and press Enter

Enter the security identifier or pool number.

```
SEARCH FOR WHAT? REORG
1 RECORDS FOUND
NEXT OPERATION (HIT RETURN WHEN DONE, OR TYPE HELP):
ENTER SACUS, CUSIP, TICKER, OR #POOL (RETVRN TO QUIT) CWO-U
```

- At the next prompt, type the security identifier (TICK, SACUS, or CUSIP) for security for which the return of capital is posted

The next two prompts ask for the date of record, or former dividend date, and the pay date.

```
Enter Rec-Date - HIT ENTER FOR 12/02/05 : 11/01/05
Enter Pay-Date - HIT ENTER FOR 12/02/05 :
```

- Type the date of record and pay date on the appropriate lines and press Enter

```
Enter Price for ROC : 10
Enter Value for rcost and dproc : 11.05
```

- At the ENTER PRICE for ROC prompt, type the amount of capital returned per share
- At the ENTER VALUE for RCOST and DPROC prompt, type the appropriate value and press Enter

Specify whether the return is a long or short-term gain.

```
QUESTION BELOW IS FOR THE AUTOMATION OF A CAPITAL GAIN IF NECESSARY.
Is This a (L)ong-Term or (S)hort-Term Gain ? L
```

- Type L for a long-term gain or S for a short-term gain and press Enter. This will cause additional tax lot postings for portfolios with a capital gain from the transaction. Portfolios without capital gains from the transaction will not have additional tax lot postings

The trade lot will appear.

```
AVAILABLE TRDTYS: ROC
(1) INCOME CASH LEDGER
(2) SNAM/AC TRDTY TICK SACUS/CUS DATE UNITS $ AMOUNTMSP DESCRIP (2) -----
-----
TO QUIT TYPE (Q
(1) INCOME CASH LEDGER
(2) SNAM/AC TRDTY TICK SACUS/CUS DATE UNITS $ AMOUNTMSP DESCRIP (2) -----
-----
(3) REORG ROC CWO-U 1736583 20051202 1000 10000.00BLANK CRS II PFD NT TR
(4)
TO QUIT TYPE (Q
(4) [Q
```

- Type [Q to save the trade. Confirm the trade amount

```
ARE THERE 1 TRADES OF $ 10,000.00 ? Y POSTING TRANSACTION FOR SNAM: REORG
ADJUSTING BASIS FOR 1 LOTS
```

- Type Y to confirm the trade or N to cancel it. Press Enter. The trade posts

5.6 Posting capital gains and reinvesting them automatically with POSTCAPGAIN

The POSTCAPGAIN function allows users to post capital gains for specific securities and also provides the option to reinvest the gain automatically. The function calculates the dollar amount of the gain and the number of shares to reinvest based on the ex-date and gain per share information.

To run POSTCAPGAIN:

1. Type POSTCAPGAIN at the WHICH FUNCTION? prompt. The search prompt will appear

```
SEARCH FOR WHAT? REORG1
```

2. At the SEARCH FOR WHAT? prompt, type the range of accounts for which the capital gain will be posted and press Enter. To narrow the range of accounts, type a search string at the NEXT OPERATION prompt and press Enter. Or, type nothing and press Enter to proceed

```
1 RECORDS FOUND  
NEXT OPERATION (HIT RETURN WHEN DONE, OR TYPE HELP):
```

Enter the security identifier or pool number.

```
ENTER SACUS, CUSIP, TICKER, OR #POOL (RETURN TO QUIT) AAPL
```

3. Type the security identifier (TICK, SACUS, or CUSIP) or the pool number for security for which the capital gain is posted

Provide the ex-dividend date and the pay date.

```
Enter Ex-Date - HIT ENTER FOR 12/02/05 : 11/01/05  
Enter Pay Date - HIT ENTER FOR 12/02/05 :
```

4. Type the ex-dividend date at the first prompt and press Enter. The pay date prompt will appear. Type the pay date and press Enter. Enter the gain per share.

```
Enter Gain Per Share : .37
```

5. Type the capital gain amount per share and press Enter. Specify whether the gain is a short or long-term capital gains

```
Is This a (L)ong-Term or (S)hort-Term Gain ? L
```

6. Indicate the type of capital gain to be posted and press Enter. Type L for a long-term gain or S for a short-term gain. Enter whether or not the gains should be reinvested.

```
Do You Want to Re-Invest this Gain (Y/N) ? Y
```

7. Type Y to reinvest the gains or N to indicate that the gain should not be reinvested. Press Enter. Specify the number of decimal places for rounding purposes.

Enter number of decimal places for rounding for re-investment (Default = 4) ? 4

- Indicate the number of decimal places, up to four, to use to round the reinvestment calculation. Press Enter. Confirm the ex-dividend date price.

Enter Re-Investment Price--HIT ENTER FOR EX-DATE PRICE (73.80):

- If the price is correct, type nothing and press Enter. To change the price, type in the corrected price and press Enter. Enter whether the reinvestment should be done according to tax lot.

Do you want to do this by tax lot ? Y

- Type Y to reinvest according to tax lot or N to not reinvest according to tax lot. Press Enter. Exclude lots with costs

Do you want to exclude lots with costs ? N

- Type Y (YES) or N (NO) to indicate if tax lots which still have retained a cost basis should be excluded from the capital gain transactions at the last prompt. Press Enter

The system displays a message indicating that the transactions are being posted and a TRADESNEW batch will appear. TRADESNEW transactions are generated to post the capital gain and reinvestments and a trade summary is written to the SUMTRD.LRP file.

```

Searching Selected Accounts for Ownership of AAPL on 01/01/05 Please Wait...
12
TRADESNEW
(0) HDR 0 12 13 2005
(0) HDR 0 12 13 2005
(1) OPE      1.0000  36246   0.00   REORG   200412080   Z0
0
(2) DES      RD20051209   SD20051209
(3) OPE      27.1003  36246   2000.00 REORG   200512090   Z0
0
(4) DES      SD20051209
(5) CLO      1.0000  36246   2000.00 REORG   200512090   Z0
PSTCPG
(6) DES      VP20041208   SD20051209
(7) TRL      2        1        0
(8) [Q
TOTALS OK
    
```

- Type [Q and press Enter to post the batch

5.7 Viewing returns of capital and capital gains in EDPORT

Returns of capital can be viewed using EDPORT. The original tax lot is delivered out and received back in at a lower cost basis.

EDPORT, Level 1

The cost basis is reduced in the new tax lot.

```
(1) SNAM: REORG ACNUM: 0
(2) TRANS TICK SACUS UNITS PDATE COST SDATE PROC
(2) -----
(3) 32064 BLRGZ 1651 1000.0000 20050601 5000.00 0 0.00
(4) 32064 BLRGZ 1651 1000.0000 20050601 10000.00 0 0.00
```

The receive and deliver dates (RDATE and DDATE) of the tax lots are the pay dates of the return of capital.

```
(1) REORG ACNUM: 0
(2) TICK SACUS UNITS RDATE RCOST DDATE DPROC EXCLD
(2) -----
(3) BLRGZ 1651 1000.0000 20050831 0.00 0 0.00 BLANK
(4) BLRGZ 1651 1000.0000 20050831 0.00 20060831 0.00 BLANK
```

Returns of capital generate PRI (Principal) transactions in the General Ledger.

```
(257) PRI BLRGZ 1651 20050831 1000 5000.00 *BLUE RIDGE UT
```

When returns of capital create capital gains are posted and can be viewed in EDPORT. To show the capital gains, OPE and CLO transactions for 1.0000 share is posted for the same tax lot. The difference between the PDATE and SDATE of the 1.000-share tax lot is used to note a long-term or short-term gain. There must be greater than one year and one day from purchase to sale for long-term gains. For short-term gains, the system will make the purchase date one day prior to the sale in the OPE and CLO transactions for the 1.0000 share.

```
(1) SNAM: REORG ACNUM: 0
(2) TRANS TICK SACUS UNITS PDATE COST SDATE PROC
(2) -----
(3) 32064 BLRGZ 1651 1000.0000 20050601 0.00 0 0.00
(4) 32064 BLRGZ 1651 1.0000 20050312 0.00 20060913 10000.00
(5) 32064 BLRGZ 1651 1000.0000 20050601 10000.00 0 0.00
```

5.8 Posting the reinvestment of dividends with DVRAUTO

Use this function allows to post reinvestment of dividends. It also calculates the amount of the dividend and the number of shares to purchase based on the current number of shares held and based on the following information:

- Dividend rate per share
- Ex-date
- Reinvestment price (option to default to the closing price as of the ex-date)

The following transactions generate by running this function:

- OPE transaction in TRADESNEW to post the new shares purchased through the reinvestment of the dividend into EDPORT
- DIVRNV entry in the General Ledger to add the initial dividend payment to income cash (if this option is selected)

To run DVRAUTO:

1. Type DVRAUTO at the WHICH FUNCTION? prompt and press Enter. A search prompt will appear

```
SEARCH FOR WHAT? REORG
```

2. At the SEARCH FOR WHAT? prompt, type the range of accounts for which the dividend reinvestment will be posted. Press Enter. Enter the security identifier

```
ENTER SACUS, CUSIP, TICKER, OR #POOL (RETVRN TO QUIT) HON
```

3. Type the security id (TICK, SACUS, or CUSIP) for the security for which the dividend will be reinvested. Press Enter. Enter the ex-dividend date and the pay date

```
Enter Ex-Date - HIT ENTER FOR 12/02/05 : 11/01/05  
Enter Pay-Date - HIT ENTER FOR 12/02/05 :
```

4. Type the ex-dividend date. Press Enter. Type the date for the dividend. Press Enter. Enter the share price

```
Enter Dividend Per Share : .1825
```

5. Type the dividend rate per share at the next prompt. The rate can contain up to four numbers after the decimal. Press Enter. The security price for that day is listed

```
Enter Price--HIT ENTER FOR EX-DATE PRICE (34.52):
```

6. Press Enter to accept the default price. Or, type the price as of the ex-date (reinvestment price) and press Enter. Indicate if both the dividend and income will be posted to the General Ledger

```
Post reinvestment and income to GL (NO will post only the reinvestment) ? Y
```

7. Type Y to post both the dividend and income to the General Ledger or N to post only the reinvestment. Press Enter. Enter the number of decimal places used for rounding purposes

```
Enter number of decimal places for rounding of re-investment (Default is 4):
```

8. Indicate the number of decimal places that will be used in rounding the reinvestment calculation. Press Enter. A message displays indicating that the reinvestment is being processed.

```
Searching Selected Accounts for Ownership of HON on 11/01/05 Please Wait...
```

A TRADESNEW batch will appear on the screen.

```
TRADESNEW  
(0) HDR 0 12 7 2005  
(0) HDR 0 12 7 2005  
(1) OPE      9.91270 5279159 342.18750 REORG 20051202 0 Z0 DVR  
(2) DES DVR  
(3) TRL 1 0 0  
(4) [Q
```

Note: The transactions has no effect on the portfolios until the batch is posted. For details on posting the batch, please refer to [“Posting a TRADESNEW batch as part of a corporate action function”](#).

Chapter 6: Additional Functionality

6.1 Posting foreign dividends to the General Ledger with FOREIGNDIV

The function FOREIGNDIV facilitates the entry of foreign dividends and the withholding of foreign taxes when the net dividend posts. The function combines the functionality of FIXGLDES and POSTGL.

1. Type FOREIGNDIV and press Enter. The following prompt will appear:

```
*** PROGRAM CURRENTLY SET UP TO PROCESS ONLY ONE SACUS AT A TIME *** ENTER SACUS AND PAY DATE TO BE REMOVED FROM THE SELECTED ACCOUNTS
```

2. Type the SACUS number for the security and the date the original dividend posted (PAY DATE) and press Enter
3. Type (Q and press Enter to save the data and exit the editor. The following prompt will appear

```
1083 ACCOUNTS CURRENTLY ON FILE SEARCH FOR WHAT?
```

4. Type the account(s) identifier(s) and press Enter. The following prompt will appear:

```
NEXT OPERATION (HIT RETURN WHEN DONE OR TYPE HELP):
```

5. Type additional commands for sorting or for broadening or narrowing the search criteria and press Enter. The following prompt will appear:

```
Enter gross dividend per share
```

6. Type the gross amount of the total net dividend and press Enter. Please note the number entered must be inclusive of the currency exchange. The following prompt will appear:

```
Enter withholding percentage (i.e. 20 for 20%)
```

7. Type the withholding tax percentage and press Enter. The following prompt will appear:

```
Enter DIV or DLVINC for trade type to deliver out withholding ?
```

8. Type the trade type and press Enter. The following prompt will appear

```
Div/Share; 0.20000 Withholding; 0.1% Using DIV to deliver withholding Is this correct (Y/N) ?
```

9. Type Y and press Enter if the information is correct. Although the message doesn't display the entire figure entered for withholding tax, the entire figure is used in the calculation. Type N and press Enter if the information is not correct. If N is entered, the prompt for entering the gross dividend amount will appear again

The following prompt will appear:

```
DELETING 1 POSITION(S) FROM ACCOUNT xxx
```

10. The system will then invoke the POSTGL function, displaying the entries that will be posted, and will prompt for the posting of these entries

```
Do You Want to Post these entries now?
```

11. Type Y and press Enter if the entries are correct. The following will appear on screen and the system will return to the WHICH FUNCTION? prompt
12. If the entries aren't correct, type N and press Enter. The entries will not be posted and a file will be created for uploading into POSTGL at another time. The file is named POSTGL.P#, where # increases with the number of times this file is created during an APL session

6.2 Removing General Ledger entries

The functions FIXGL and FIXGLDES enables users to remove an entry from the General Ledger file for a single account or a group of accounts.

Removing entries by SACUS and date with FIXGL

The function FIXGL enables users to remove General Ledger entries by specifying the SACUS number and transaction date. Use the following steps:

1. At the APL Expert WHICH FUNCTION:? prompt, type FIXGL and press Enter. The following prompt will appear:

```
ALLOW DELETION OF SPLIT ENTRIES: ?
```

2. This option enables users to reverse stock splits and stock dividends. To delete stock splits or stock dividends, type Y. To delete all other types of entries, type N. The line editor is started

```
ENTER SACUS AND XDATE TO BE REMOVED FROM THE SELECTED ACCOUNTS
```

```
(0) SACUS DATE  
(1) 9297701 20051031
```

3. Type the SACUS and PAYMENT DATE on one line for each dividend or payment to remove, and press Enter
4. After entering all the entries to be removed, type [Q and press Enter. The following prompt will appear:

```
SEARCH FOR WHAT?
```

5. Type the account selection and press Enter. The following prompt will appear:

```
SEARCH FOR WHAT? REORG1 1 RECORDS FOUND  
NEXT OPERATION (HIT RETURN WHEN DONE, OR TYPE HELP):
```

6. To broaden or narrow the search, type the appropriate commands and press Enter or simply press Enter

The system removes the entries from the accounts specified. An audit file is created containing the deleted entries. The name of the file is FIXGL.L00, where 00 is the number of the report. Run the function three times, and three files would be created and named FIXGL.L00, FIXGL.L01 and FIXGL.L02.

After removing a dividend from the General Ledger, users may re-post it. Using the POSTDIVS or POSTGL functions enable users to re-post the dividend by reading in the file that is created when FIXGL is run.

```
DELETING 1 POSITION(S) FROM ACCOUNT REORG1  
Audit Trail of Entries Which Have Been Deleted Has Been Stored to : FIXGL.L00 FUNCTION COMPLETED, HIT  
RETURN TO CONTINUE...
```

Note: The file created by FIXGL can be read into POSTDIVS or POSTGL by using the **READFILE function. Contact your account manager for more information.

Removing entries based on description with FIXGLDES

Use the FIXGLDES function enables to select General Ledger entries for deletion by type, SACUS, trade date, and description.

To use FIXGLDES, follow these steps:

1. At the WHICH FUNCTION:? prompt, type **FIXGLDES and press Enter

Note: If a function not listed on the APL Expert menu is needed, type the characters ** before the name of the function. If this is not done, the system reads only the first few letters of the function. For example: To use FIXGLDES, type **FIXGLDES, otherwise the system only recognizes FIX and brings users into is FIXGL.

The following prompt will appear:

```
INCLUDE MSP TAG SEARCH ? N
```

2. Type Y or N as appropriate to include MSP tags. Allow split entries

```
ALLOW DELETION OF SPLIT ENTRIES: ?
```

3. This option enables users to reverse stock splits and stock dividends. To delete stock splits or stock dividends, type Y. To delete all other types of entries, type N. The following prompt will appear:

```
INCLUDE TICK SEARCH IN THE DELETION: ? Y
```

4. To narrow the search by ticker symbol, type YES and press Enter. If not type NO and press Enter. The line editor starts

```
ENTER SACUS AND XDATE TO BE REMOVED FROM THE SELECTED ACCOUNTS
```

```
(1) TYPE    SACUS    DATE    TICK    GL DESCRIPTION
(2) DIV     3783503    20051122 NFI    NOVASTAR FINL INC
```

5. Type the trade TYPE, SACUS number, payment DATE, and DESCRIPTION, each separated by a single space, on one line for each dividend or payment, and press Enter
6. After entering all the entries to be removed, type [Q and press Enter. The following prompt will appear:

```
SEARCH FOR WHAT? REORG1
```

7. Type the account selection and press Enter. The following prompt will appear:

```
NEXT OPERATION (HIT RETURN WHEN DONE, OR TYPE HELP):
```

8. To broaden or narrow a search, enter the appropriate commands and press Enter, or simply press Enter

The system removes the entries from the specified accounts. An audit file is created containing the deleted entries. The name of the file is FIXGL.L00, where 00 is the number of the report. Run the function three times, and three files would be created: FIXGL.L00, FIXGL.L01, and FIXGL.L02.

After removing a dividend from the General Ledger, use the POSTDIVS function to re-post the dividend by reading in the file that is created when FIXGL is run.

```
1624 ACCOUNTS CURRENTLY ON FILE
SEARCH FOR WHAT?DELETING 1 POSITION(S) FROM ACCOUNT REORG1
Audit Trail of Entries Which Have Been Deleted Has Been Stored to : FIXGL.L02
```

Audit Trail of Entries Which Have Been Deleted Has Been Stored to : FIXGL.L02

Note: The file created by FIXGLDES can be read into POSTDIVS or POSTGL by using the **READFILE function. Contact your account manager for more information.

6.3 Posting return of principle distributions with POSTROP

The function POSTROP allows for the processing a return of principal transactions. The transactions are stored in files that can be read into other programs as well as into TRADESNEW.

1. Type POSTROP and press Enter. Enter the information needed for processing
2. Using the TAB key, move to each column and type the information needed
3. Press F10 to continue after entering the required data
4. Select N and press Enter to not process the changes. Select Enter and press Enter to save the changes

- If N is selected, user will be returned to the data entry screen to make changes. Make changes and press F10 to continue. This must be done to continue with the function
- If Y is selected, the following screen will appear, type the account identifiers of the accounts for which you are processing the return of principal and press F10 The following messages appear on the screen:

```
In Case of Problems, the Following Files Have been Created:  
Batch Containing Deletes of Positions Bought Before Ex-Date and Sold After Ex-Date : DELETES.sav  
Batch Containing Delivers and Receives for Return of Principal : ROP1.sav  
Batch Containing Re-Posting of Positions Bought Before Ex-Date and Sold After Ex-Date : CLOS.sav
```

6.4 Posting conversions by percent with POSTSECPERCENT

POSTSECPERCENT processes conversions by percent allowing users to convert only a percentage of the original holding to the new position.

1. Type POSTSECPERCENT and press Enter. The following will appear:

```
X-REF FOR OLD SECURITY (ENTER SACUS, TICK, CUSIP): 039380209
```

2. Type the security identifier of the appropriate security press Enter. The following will appear:

```
X-REF FOR NEW SECURITY (ENTER SACUS, TICK, CUSIP): 039380100
```

3. Type the security identifier of the new security and press Enter. The following will appear:

```
AS OF DATE (MM/DD/YY) - HIT ENTER FOR 02/17/06 : 12/30/05
```

4. Type the record date for the tender and press Enter. The following will appear:

```
SEARCH FOR WHAT? REORG1 1 RECORDS FOUND  
NEXT OPERATION (HIT RETURN WHEN DONE, OR TYPE HELP):
```

5. Type the account selection and press Enter. The following will appear:

```
ENTER PRICE (market value of old security on ex-date): 196.38
```

6. Enter the last available price before the ex-date and press Enter. The following will appear:

```
ENTER CONVERSION DATE:  
- HIT ENTER FOR 02/17/06 : 12/31/05
```

7. Enter the conversion date. This date will appear in EDPORT as the deliver and receive dates. The following will appear:

```
ENTER NUMBER OF OLD SHARES: 500
```

8. Enter the number of shares being converted. The following will appear:

ENTER NUMBER OF NEW SHARES: 1195

9. Enter the amount of shares received per share amount in prompt eight. For example, for every one old share, enter two new shares. Press Enter

Note: Please refer to the Reorganization Information Center to determine the number of new shares being added to the account.

10. Enter a multiple share amount to convert. For example, multiple is 10 and account has 46 total shares, 40 will be delivered out and converted. Press Enter. In the example here, the multiple is 1
11. A batch is created

```
TRADESNEW
(0) HDR 0 2 22 2006
(0) HDR 0 2 22 2006
(1) CLO      500.0000 9302178P196.3800 REORG1 20051231      0 Z0 REORG
(2) DES DLV VP20050301
(3) OPE      1195.0000 3648060      45050.00 REORG1 20050301      0 Z0 REORG (4) DES RD20051231
RV98190.00
(5) TRL      1      1      0
(6) [Q TOTALS OK
```

Note: The transactions will have no effect on the portfolios until the batch is posted. For details on posting the batch, please refer to [“Posting a TRADESNEW batch as part of a corporate action function”](#).

Removing entries based on description with FIXGLDES

Use the FIXGLDES function enables to select General Ledger entries for deletion by type, SACUS, trade date, and description.

To use FIXGLDES, follow these steps:

1. At the WHICH FUNCTION:? prompt, type **FIXGLDES and press Enter

Note: If a function not listed on the APL Expert menu is needed, type the characters ** before the name of the function. If this is not done, the system reads only the first few letters of the function. For example: To use FIXGLDES, type **FIXGLDES, otherwise the system only recognizes FIX and brings users into is FIXGL.

The following prompt will appear:

```
INCLUDE MSP TAG SEARCH ? N
```

2. Type Y or N as appropriate to include MSP tags. Allow split entries

```
ALLOW DELETION OF SPLIT ENTRIES: ?
```

3. This option enables users to reverse stock splits and stock dividends. To delete stock splits or stock dividends, type Y. To delete all other types of entries, type N. The following prompt will appear:

```
INCLUDE TICK SEARCH IN THE DELETION: ? Y
```

4. To narrow the search by ticker symbol, type YES and press Enter. If not type NO and press Enter. The line editor starts

```
ENTER SACUS AND XDATE TO BE REMOVED FROM THE SELECTED ACCOUNTS
```

```
(1) TYPESACUSDATETICKGL DESCRIPTION
```

```
(2) DIV3783503 20051122 NFINOVASTAR FINL INC
```

5. Type the trade TYPE, SACUS number, payment DATE, and DESCRIPTION, each separated by a single space, on one line for each dividend or payment, and press Enter
6. After entering all the entries to be removed, type [Q and press Enter. The following prompt will appear:

```
SEARCH FOR WHAT? REORG1
```

7. Type the account selection and press Enter. The following prompt will appear:

```
NEXT OPERATION (HIT RETURN WHEN DONE, OR TYPE HELP) :
```

8. To broaden or narrow a search, enter the appropriate commands and press Enter, or simply press Enter

The system removes the entries from the specified accounts. An audit file is created containing the deleted entries. The name of the file is FIXGL.L00, where 00 is the number of the report. Run the function three times, and three files would be created: FIXGL.L00, FIXGL.L01, and FIXGL.L02.

After removing a dividend from the General Ledger, use the POSTDIVS function to re-post the dividend by reading in the file that is created when FIXGL is run.

```
1624 ACCOUNTS CURRENTLY ON FILE
```

```
SEARCH FOR WHAT?
```

```
DELETING 1 POSITION(S) FROM ACCOUNT REORG1
```

Audit Trail of Entries Which Have Been Deleted Has Been Stored to : FIXGL.L02

Note: The file created by FIXGLDES can be read into POSTDIVS or POSTGL by using the **READFILE function. Contact your account manager for more information.

6.5 Posting return of principle distributions with POSTROP

The function POSTROP allows for the processing a return of principal transactions. The transactions are stored in files that can be read into other programs as well as into TRADESNEW.

1. Type POSTROP and press Enter. Enter the information needed for processing
2. Using the TAB key, move to each column and type the information needed
3. Press F10 to continue after entering the required data
4. Select N and press Enter to not process the changes. Select Enter and press Enter to save the changes
 - If N is selected, user will be returned to the data entry screen to make changes. Make changes and press F10 to continue. This must be done to continue with the function
 - If Y is selected, the following screen will appear, type the account identifiers of the accounts for which you are processing the return of principal and press F10 The following messages appear on the screen:

In Case of Problems, the Following Files Have been Created:

Batch Containing Deletes of Positions Bought Before Ex-Date and Sold After Ex-Date : DELETES.sav

Batch Containing Delivers and Receives for Return of Principal : ROP1.sav

Batch Containing Re-Posting of Positions Bought Before Ex-Date and Sold After Ex-Date : CLOS.sav

6.6 Posting conversions by percent with POSTSECPERCENT

POSTSECPERCENT processes conversions by percent allowing users to convert only a percentage of the original holding to the new position.

1. Type POSTSECPERCENT and press Enter. The following will appear:

```
X-REF FOR OLD SECURITY (ENTER SACUS, TICK, CUSIP) : 039380209
```

2. Type the security identifier of the appropriate security press Enter. The following will appear:

```
X-REF FOR NEW SECURITY (ENTER SACUS, TICK, CUSIP) : 039380100
```

3. Type the security identifier of the new security and press Enter. The following will appear:

```
AS OF DATE (MM/DD/YY) - HIT ENTER FOR 09/11/17 : 12/30/05
```

4. Type the record date for the tender and press Enter. The following will appear:

```
SEARCH FOR WHAT? REORG1 1 RECORDS FOUND  
NEXT OPERATION (HIT RETURN WHEN DONE, OR TYPE HELP) :
```

5. Type the account selection and press Enter. The following will appear:

```
ENTER PRICE (market value of old security on ex-date): 196.38
```

6. Enter the last available price before the ex-date and press Enter. The following will appear:

```
ENTER CONVERSION DATE :  
- HIT ENTER FOR 09/11/17 : 12/31/05
```

7. Enter the conversion date. This date will appear in EDPORT as the deliver and receive dates. The following will appear:

```
ENTER NUMBER OF OLD SHARES: 500
```

8. Enter the number of shares being converted. The following will appear:

```
ENTER NUMBER OF NEW SHARES: 1195
```

9. Enter the amount of shares received per share amount in prompt eight. For example, for every one old share, enter two new shares. Press Enter

Note: Please refer to the Reorganization Information Center to determine the number of new shares being added to the account.

10. Enter a multiple share amount to convert. For example, multiple is 10 and account has 46 total shares, 40 will be delivered out and converted. Press Enter. In the example here, the multiple is 1
11. A batch is created

```
TRADESNEW  
(0)HDR 0 2 22 2006  
(0)HDR 0 2 22 2006  
(1)CLO500.0000 9302178P196.3800 REORG1 200512310 Z0 REORG  
(2)DES DLV VP20050301
```

```
(3)OPE1195.0000 364806045050.00 REORG1 200503010 Z0 REORG (4)DES RD20051231  
RV98190.00
```

```
(5)TRL110
```

```
(6) [Q TOTALS OK
```

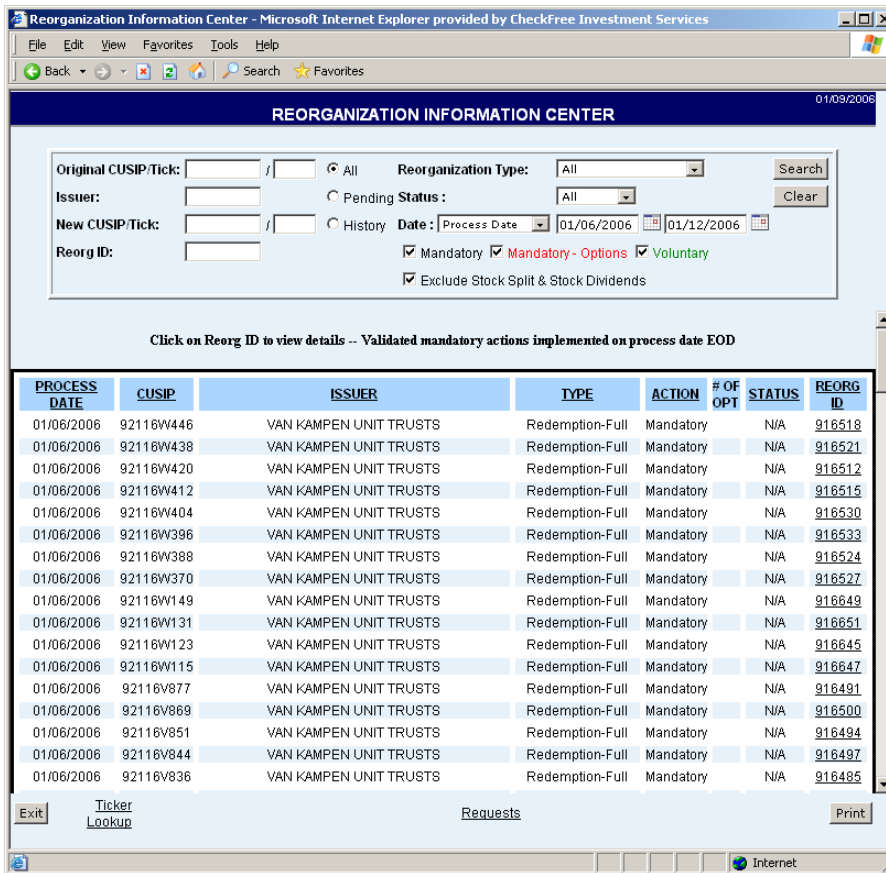
Note: The transactions will have no effect on the portfolios until the batch is posted. For details on posting the batch, please refer to [“Posting a TRADESNEW batch as part of a corporate action function”](#).

Chapter 7: Reorganization Information Center

RIC is an on-line capital changes Web site that provides details on reorganizations. It is designed so that clients can verify information for owned securities.

Important: The URL (Web address) for RIC has changed. Please replace any browser bookmarks you may have created. (April 2018)

The URL (Web address) for this Web site is: <http://reorgcenter-prv.checkfreeinvsvcs.com/cgi-bin/reorg1> (or <http://198.137.40.51>)



In addition to the information center, we provide daily reports showing upcoming reorganizations.

Please open a Service Center ticket and assign the ticket to Capital Changes/Reorg to receive either of the following:

- A user ID and password to the Reorganization Information Center
- Daily reorg reports regarding upcoming reorganizations

7.1 Initial screen fields and subsequent screens

Use the top level information center screen allows to review all forthcoming reorganizations that are listed in the system. Refine the list through searches. The following table contains a list of all possible field names used to narrow searches.

Column	Description
Original CUSIP/Tick	Search for the reorg using the original CUSIP or ticker of the security.
Issuer	Search for the reorg using the name of the company or corporation issuing the security.
New CUSIP/Tick	Search for the reorg using the new security.
Reorg ID	Search for the reorg using the REORG ID number.
All	Include all reorganizations in the search.
Pending	Search among pending reorganizations only.
History	Search among past reorganizations only.
Reorganization Type	<ul style="list-style-type: none"> • All: Include all reorg types in the search result • Conversion: One type of security may be converted into, or exchanged for, another type of security or for cash • CUSIP # Change: A municipality refunds a portion of an issue and the CUSIP Service Bureau assigns new numbers for both the refunded and non-refunded portions of the issue • Distribution: The target company makes a cash or stock distribution. If the stock is being distributed, the CUSIP for the distributed security is reported • Exchange: An issue of a target company is exchanged for another security or multiple securities. The new security, or securities, may be from the target company or the initiating company. An exchange can either be mandatory or voluntary • Information: This notification type reports a corporate action that does not fit any of the other notification types • Merger: A combination of two or more companies. A target company announces its definitive agreement to merge with another company

Column	Description
	<ul style="list-style-type: none"> • Merger Election: A target company enters into a definitive agreement to merge with another company. Shareholders have several options to choose in exchange for shares of the target company • Name Change: A company changes its corporate name • New Offer: A target company receives an amended offer from the same initiating company after receiving an initial offer • Odd Lot Tender: A company offers to purchase odd lots of stock from shareholders usually less than 100 shares • Offer to Buy: A target company receives for the first time an offer to be acquired by an initiating company • Recapitalize: A corporation changes its original capital structure • Tender Offer: A public offer to buy securities from existing security holders of one public corporation by another company or organization under specified terms. Security holders are asked to tender (surrender) their holdings for a stated value, usually at a premium above the current market price • Reclassified: A security is re categorized as another type of security. For example, common stock is reclassified to Class A common • Redemption-Full: The issuer redeems all of the outstanding securities in advance of their original maturity. The call provision and the related call price are established when the securities are issued • Redemption-Partial: The issuer redeems a portion of the outstanding securities in advance of their original maturity. The call provision and the related call price are established when the securities are issued • Reverse Stock Split: A company announces a stock split that reduces the number of outstanding shares • Rights Plan-Adoption: A company adopts a shareholders rights plan to avoid takeover attempts. (Poison Pill.) • Rights Plan Execution: A company issues rights to current shareholders giving them the opportunity to purchase additional securities • Spin-off: The separation of a subsidiary or division of a corporation from its parent through the issuing of shares in a new corporate entity. Shareholders in the parent company receive securities in the new entity in proportion to their original holding and the total value remains the same on the ex-date • Stock Dividend: A dividend paid in securities rather than cash • Stock Split: The division of outstanding shares of a corporation into a larger number of shares. A 2-for-1 split by a company with 1 million shares outstanding results in 2 million shares outstanding
<p>Status</p>	<ul style="list-style-type: none"> • All • New • Updated

Column	Description
	<ul style="list-style-type: none"> • Pending • Validated • Unowned • N/A
Date	<ul style="list-style-type: none"> • Process Date • Entry Date • Expiration Date • Effective Date
Mandatory	A corporate action that CIS will process automatically if we have two valid sources corroborating the information.
Mandatory - Options	A corporate action that CIS will not process automatically due to the options. Instruct CIS as to which option to choose.
Voluntary	A corporate action that is processed by request on a per account basis depending on whether the account holder agrees to take part in the action.
Exclude Stock Split & Stock Dividends	Exclude stock splits and stock dividends from the search results.

7.2 Conversion Screen

To access the screen related to a particular conversion, select its REORG ID from the initial Reorganization Information Center screen.

Field name	Description
Process Date	The date the transaction processes. I.e. the ex-date on the trading exchanges.
Cash	The U.S. or Canadian dollar rate of cash received per share of the original issue.
Original CUSIP	The CUSIP from which the action originates.
Original CUSIP Rate	The share rate of the original CUSIP expressed in decimal terms. Normally the rate is 1.0.

Field name	Description
New CUSIP	The CUSIP of the new issue(s) being received.
New CUSIP Rate	The distribution rate in shares of the new CUSIP being received per the original issue shares
Issue Type	The security type of the original issue: common stock, preferred stock, ADR, units, rights, municipal bonds, corporate bonds, CMOs, government obligations, foreign common stock, etc.
Ex-Date	Ex-date on the trading exchanges. Effective date of the action.
Entry Date	The date the record was created in the Reorganization Information Center files.
Status:	<p>Status of the Reorganization Information Center notice:</p> <ul style="list-style-type: none"> Validated when going to post Unowned if applicable New when first received from the vendor Updated if relevant N/A for items CIS does not process Terminated, deleted, or rejected if applicable
Effective Date	The company's declaration date of the action.
Entry By	How the notice record was created.
Activity:	<p>The type of action:</p> <ul style="list-style-type: none"> Mandatory Voluntary Not applicable, etc
Validation Date	The date the action was validated for posting.
Last Modified By	Last record change source. If marked as N/A, the record has not changed since its creation.

Additional information regarding a particular capital change may be found in the notes section of the screen.

7.3 CUSIP # Change Screen

To access the screen related to a particular CUSIP #, select its REORG ID from the initial Reorganization Information Center screen.

7.4 Distribution Screen

To access the screen related to a particular distribution, select its REORG ID from the initial Reorganization Information Center screen.

Field name	Description
Process Date	The date the transaction processes. I.e. the ex-date on the trading exchanges.
Cash	The U.S. or Canadian rate per share of the original issue of cash received.
Original CUSIP	The CUSIP from which the action originates.
Original CUSIP Rate	The share rate of the original CUSIP expressed in decimal terms. Normally the rate is 1.0.
New CUSIP	The CUSIP of the new issue(s) being received.
New CUSIP Rate	The distribution rate in shares of the new CUSIP being received per the original issue shares.
Issue Type	The security type of the original issue: common stock, preferred stock, ADR, units, rights, municipal bonds, corporate bonds, CMOs, government obligations, foreign common stock, etc.
Ex-Date	Ex-date on the trading exchanges. Effective date of the action.
Entry Date	The date the record was created in the Reorganization Information Center files.
Status	<p>Status of the Reorganization Information Center notice:</p> <ul style="list-style-type: none"> ▪ Validated when going to post ▪ Unowned if applicable ▪ New when first received from the vendor ▪ Updated if relevant ▪ N/A for items CIS does not process ▪ Terminated, deleted, or rejected if applicable

Effective Date	The company's declaration date of the action.
Entry By	How the notice record was created.
Activity	The type of action: <ul style="list-style-type: none"> ▪ Mandatory ▪ Voluntary ▪ Not applicable, etc.
Validation Date	The date the action was validated for posting.
Last Modified By	Last record change source. If marked as N/A, the record has not changed since its creation.
Taxable	Yes, if checked, otherwise and normally, No.
Final Cost	Checked only if we have received the final cost allocation
Docap Name	The internal reference number assigned to the action in the Reorganization Information Center for processing purposes. Normally, this is the CUSIP number of the originating issue, but it may be followed by an alpha character.

Additional information regarding a particular capital change may be found in the notes section of the screen.

7.5 Exchange Screen

To access the screen related to a particular exchange, select its REORG ID from the initial Reorganization Information Center screen.

Field name	Description
Process Date	The date the transaction processes. I.e. the ex-date on the trading exchanges.
Cash	The U.S. or Canadian rate per share of the original issue of cash received.
Original CUSIP	The CUSIP from which the action originates.
Original CUSIP Rate	The share rate of the original CUSIP expressed in decimal terms. Normally the rate is 1.0.

Field name	Description
New CUSIP	The CUSIP of the new issue(s) being received.
New CUSIP Rate	The distribution rate in shares of the new CUSIP being received per the original issue shares.
Issue Type	The security type of the original issue: common stock, preferred stock, ADR, units, rights, municipal bonds, corporate bonds, CMOs, government obligations, foreign common stock, etc.
Ex-Date	Ex-date on the trading exchanges. Effective date of the action.
Entry Date	The date the record was created in the Reorganization Information Center files.
Status	Status of the Reorganization Information Center notice: <ul style="list-style-type: none"> Validated when going to post Unowned if applicable New when first received from the vendor Updated if relevant N/A for items CIS does not process Terminated, deleted, or rejected if applicable
Effective Date	The company's declaration date of the action.
Entry By	How the notice record was created.
Activity	The type of action: <ul style="list-style-type: none"> Mandatory Voluntary Not applicable, etc
Validation Date	The date the action was validated for posting.
Last Modified By	Last record change source. If marked as N/A, the record has not changed since its creation.

Additional information regarding a particular capital change may be found in the notes section of the screen.

7.6 Information Screen

To access the screen related to a particular information listing, select its REORG ID from the initial Reorganization Information Center screen.

Field name	Description
Process Date	The date the transaction processes. I.e. the ex-date on the trading exchanges.
Cash	The U.S. or Canadian rate per share of the original issue of cash received.
Original CUSIP	The CUSIP from which the action originates.
Original CUSIP Rate	The share rate of the original CUSIP expressed in decimal terms. Normally the rate is 1.0.
New CUSIP	The CUSIP of the new issue(s) being received.
New CUSIP Rate	The distribution rate in shares of the new CUSIP being received per the original issue shares.
Issue Type	The security type of the original issue: common stock, preferred stock, ADR, units, rights, municipal bonds, corporate bonds, CMOs, government obligations, foreign common stock, etc.
Ex-Date	Ex-date on the trading exchanges. Effective date of the action.
Entry Date	The date the record was created in the Reorganization Information Center files.
Status	<p>Status of the Reorganization Information Center notice:</p> <ul style="list-style-type: none"> Validated when going to post Unowned if applicable New when first received from the vendor Updated if relevant N/A for items CIS does not process Terminated, deleted, or rejected if applicable
Effective Date	The company's declaration date of the action.
Entry By	How the notice record was created.

Field name	Description
Activity	The type of action: <ul style="list-style-type: none"> • Mandatory • Voluntary • Not applicable, etc
Validation Date	The date the action was validated for posting.
Last Modified By	Last record change source. If marked as N/A, the record has not changed since its creation.

Additional information regarding a particular capital change may be found in the notes section of the screen.

7.7 Merger Screen

To access the screen related to a particular merger, select its REORG ID from the initial Reorganization Information Center screen.

Field name	Description
Process Date	The date the transaction processes. I.e. the ex-date on the trading exchanges.
Cash	The U.S. or Canadian rate per share of the original issue of cash received.
Original CUSIP	The CUSIP from which the action originates.
Original CUSIP Rate	The share rate of the original CUSIP expressed in decimal terms. Normally the rate is 1.0.
New CUSIP	The CUSIP of the new issue(s) being received.
New CUSIP Rate	The distribution rate in shares of the new CUSIP being received per the original issue shares.
Issue Type	The security type of the original issue: common stock, preferred stock, ADR, units, rights, municipal bonds, corporate bonds, CMOs, government obligations, foreign common stock, etc.
Ex-Date	Ex-date on the trading exchanges. Effective date of the action.

Field name	Description
Entry Date	The date the record was created in the Reorganization Information Center files.
Status	<p>Status of the Reorganization Information Center notice:</p> <ul style="list-style-type: none"> Validated when going to post Unowned if applicable New when first received from the vendor Updated if relevant N/A for items CIS does not process Terminated, deleted, or rejected if applicable
Effective Date	The company's declaration date of the action.
Entry By	How the notice record was created.
Activity	<p>The type of action:</p> <ul style="list-style-type: none"> Mandatory Voluntary Not applicable, etc
Validation Date	The date the action was validated for posting.
Last Modified By	Last record change source. If marked as N/A, the record has not changed since its creation.
Docap Name	The internal reference number assigned to the action in the Reorganization Information Center for processing purposes. Normally, this is the CUSIP number of the originating issue, but it may be followed by an alpha character.

Additional information regarding a particular capital change may be found in the notes section of the screen.

7.8 Merger Election Screen

To access the screen related to a particular merger election, select its REORG ID from the initial Reorganization Information Center screen. Each merger election announcement indicates that there are two or more options available to shareholders. The number of options is listed at the indicator code IND: in the notes of the screen. Each option will have its own distinct notes screen. To differentiate between options, look for the OPT:NN line, where NN is a distinct number, such as 01 or 02.

If the company requires shareholders to choose one of the options by the election date, this date will be reported in the text portion of the announcement and in the Expiration Date field.

Field name	Description
Process Date	The date the transaction processes. I.e. the ex-date on the trading exchanges.
Cash	The U.S. or Canadian rate per share of the original issue of cash received.
Original CUSIP	The CUSIP from which the action originates.
Original CUSIP Rate	The share rate of the original CUSIP expressed in decimal terms. Normally the rate is 1.0.
New CUSIP	The CUSIP of the new issue(s) being received.
New CUSIP Rate	The distribution rate in shares of the new CUSIP being received per the original issue shares.
Issue Type	The security type of the original issue: common stock, preferred stock, ADR, units, rights, municipal bonds, corporate bonds, CMOs, government obligations, foreign common stock, etc.
Ex-Date	Ex-date on the trading exchanges. Effective date of the action.
Entry Date	The date the record was created in the Reorganization Information Center files.
Status	<p>Status of the Reorganization Information Center notice:</p> <ul style="list-style-type: none"> Validated when going to post Unowned if applicable New when first received from the vendor Updated if relevant N/A for items CIS does not process Terminated, deleted, or rejected if applicable
Effective Date	The company's declaration date of the action.
Entry By	How the notice record was created.
Activity	<p>The type of action:</p> <ul style="list-style-type: none"> Mandatory Voluntary

Field name	Description
	<ul style="list-style-type: none"> • Not applicable, etc
Validation Date	The date the action was validated for posting.
Last Modified By	Last record change source. If marked as N/A, the record has not changed since its creation.

Additional information regarding a particular capital change may be found in the notes section of the screen.

7.9 Name Change Screen

To access the screen related to a particular name change, select its REORG ID from the initial Reorganization Information Center screen.

Note: Fields on Name Change Screens can vary.

Field name	Description
Process Date	The date the transaction processes. I.e. the ex-date on the trading exchanges.
Cash	The U.S. or Canadian rate per share of the original issue of cash received.
Original CUSIP	The CUSIP from which the action originates.
Original CUSIP Rate	The share rate of the original CUSIP expressed in decimal terms. Normally the rate is 1.0.
New CUSIP	The CUSIP of the new issue(s) being received.
New CUSIP Rate	The distribution rate in shares of the new CUSIP being received per the original issue shares.
Issue Type	The security type of the original issue: common stock, preferred stock, ADR, units, rights, municipal bonds, corporate bonds, CMOs, government obligations, foreign common stock, etc.
Ex-Date	Ex-date on the trading exchanges. Effective date of the action.
Entry Date	The date the record was created in the Reorganization Information Center files.

Field name	Description
	Status of the Reorganization Information Center notice: <ul style="list-style-type: none"> Validated when going to post Unowned if applicable
Status	<ul style="list-style-type: none"> New when first received from the vendor Updated if relevant N/A for items CIS does not process Terminated, deleted, or rejected if applicable
Effective Date	The company's declaration date of the action.
Entry By	How the notice record was created.
Activity	The type of action: <ul style="list-style-type: none"> Mandatory Voluntary Not applicable, etc
Validation Date	The date the action was validated for posting.
Last Modified By	Last record change source. If marked as N/A, the record has not changed since its creation.

Additional information regarding a particular capital change may be found in the notes section of the screen.

7.10 New Offer Screen

To access the screen related to a particular new offer, select its REORG ID from the initial Reorganization Information Center screen.

7.11 Odd Lot Tender Screen

To access the screen related to a particular odd lot tender, select its REORG ID from the initial Reorganization Information Center screen.

Field name	Description
Process Date	The date the transaction processes. I.e. the ex-date on the trading exchanges.
Cash	The U.S. or Canadian rate per share of the original issue of cash received.
Original CUSIP	The CUSIP from which the action originates.
Original CUSIP Rate	The share rate of the original CUSIP expressed in decimal terms. Normally the rate is 1.0.
New CUSIP	The CUSIP of the new issue(s) being received.
New CUSIP Rate	The distribution rate in shares of the new CUSIP being received per the original issue shares.
Issue Type	The security type of the original issue: common stock, preferred stock, ADR, units, rights, municipal bonds, corporate bonds, CMOs, government obligations, foreign common stock, etc.
Ex-Date	Ex-date on the trading exchanges. Effective date of the action.
Entry Date	The date the record was created in the Reorganization Information Center files.
Status	Status of the Reorganization Information Center notice: <ul style="list-style-type: none"> Validated when going to post Unowned if applicable New when first received from the vendor Updated if relevant N/A for items CIS does not process Terminated, deleted, or rejected if applicable
Effective Date	The company's declaration date of the action.
Entry By	How the notice record was created.
Activity	The type of action: <ul style="list-style-type: none"> Mandatory

Field name	Description
	<ul style="list-style-type: none"> • Voluntary • Not applicable, etc
Validation Date	The date the action was validated for posting.
Last Modified By	Last record change source. If marked as N/A, the record has not changed since its creation.

Additional information regarding a particular capital change may be found in the notes section of the screen.

7.12 Offer To Buy Screen

To access the screen related to a particular offer to buy, select its REORG ID from the initial Reorganization Information Center screen.

7.13 Recapitalize Screen

To access the screen related to a particular recapitalization, select its REORG ID from the initial Reorganization Information Center screen.

Field name	Description
Process Date	The date the transaction processes. I.e. the ex-date on the trading exchanges.
Cash	The U.S. or Canadian rate per share of the original issue of cash received.
Original CUSIP	The CUSIP from which the action originates.
Original CUSIP Rate	The share rate of the original CUSIP expressed in decimal terms. Normally the rate is 1.0.
New CUSIP	The CUSIP of the new issue(s) being received.
New CUSIP Rate	The distribution rate in shares of the new CUSIP being received per the original issue shares.
Issue Type	The security type of the original issue: common stock, preferred stock, ADR, units, rights, municipal bonds, corporate bonds, CMOs, government obligations, foreign common stock, etc.

Field name	Description
Ex-Date	Ex-date on the trading exchanges. Effective date of the action.
Entry Date	The date the record was created in the Reorganization Information Center files.
Status	Status of the Reorganization Information Center notice: <ul style="list-style-type: none"> Validated when going to post Unowned if applicable New when first received from the vendor Updated if relevant N/A for items CIS does not process Terminated, deleted, or rejected if applicable
Effective Date	The company's declaration date of the action.
Entry By	How the notice record was created.
Activity	The type of action: <ul style="list-style-type: none"> Mandatory Voluntary Not applicable, etc
Validation Date	The date the action was validated for posting.
Last Modified By	Last record change source. If marked as N/A, the record has not changed since its creation.

Additional information regarding a particular capital change may be found in the notes section of the screen.

7.14 Reclassified Screen

To access the screen related to a particular reclassification, select its REORG ID from the initial Reorganization Information Center screen.

Field name	Description
Process Date	The date the transaction processes. I.e. the ex-date on the trading exchanges.
Cash	The U.S. or Canadian rate per share of the original issue of cash received.
Original CUSIP	The CUSIP from which the action originates.
Original CUSIP Rate	The share rate of the original CUSIP expressed in decimal terms. Normally the rate is 1.0.
New CUSIP	The CUSIP of the new issue(s) being received.
New CUSIP Rate	The distribution rate in shares of the new CUSIP being received per the original issue shares.
Issue Type	The security type of the original issue: common stock, preferred stock, ADR, units, rights, municipal bonds, corporate bonds, CMOs, government obligations, foreign common stock, etc.
Ex-Date	Ex-date on the trading exchanges. Effective date of the action.
Entry Date	The date the record was created in the Reorganization Information Center files.
Status	<p>Status of the Reorganization Information Center notice:</p> <ul style="list-style-type: none"> Validated when going to post Unowned if applicable New when first received from the vendor Updated if relevant N/A for items CIS does not process Terminated, deleted, or rejected if applicable
Effective Date	The company's declaration date of the action.
Entry By	How the notice record was created.
Activity	<p>The type of action:</p> <ul style="list-style-type: none"> Mandatory

Field name	Description
	<ul style="list-style-type: none"> • Voluntary • Not applicable, etc
Validation Date	The date the action was validated for posting.
Last Modified By	Last record change source. If marked as N/A, the record has not changed since its creation.

Additional information regarding a particular capital change may be found in the notes section of the screen.

7.15 Redemption-full Screen

To access the screen related to a particular full redemption, select its REORG ID from the initial Reorganization Information Center screen.

Field name	Description
Process Date	The date the transaction processes. I.e. the ex-date on the trading exchanges.
Cash	The U.S. or Canadian rate per share of the original issue of cash received.
Original CUSIP	The CUSIP from which the action originates.
Original CUSIP Rate	The share rate of the original CUSIP expressed in decimal terms. Normally the rate is 1.0.
New CUSIP	The CUSIP of the new issue(s) being received.
New CUSIP Rate	The distribution rate in shares of the new CUSIP being received per the original issue shares.
Issue Type	The security type of the original issue: common stock, preferred stock, ADR, units, rights, municipal bonds, corporate bonds, CMOs, government obligations, foreign common stock, etc.
Ex-Date	Ex-date on the trading exchanges. Effective date of the action.
Entry Date	The date the record was created in the Reorganization Information Center files.
Status	Status of the Reorganization Information Center notice:

Field name	Description
	<ul style="list-style-type: none"> Validated when going to post Unowned if applicable New when first received from the vendor Updated if relevant N/A for items CIS does not process Terminated, deleted, or rejected if applicable
Effective Date	The company's declaration date of the action.
Entry By	How the notice record was created.
Activity	<p>The type of action:</p> <ul style="list-style-type: none"> Mandatory Voluntary Not applicable, etc
Validation Date	The date the action was validated for posting.
Last Modified By	Last record change source. If marked as N/A, the record has not changed since its creation.

Additional information regarding a particular capital change may be found in the notes section of the screen.

7.16 Redemption-partial Screen

To access the screen related to a particular partial redemption, select its REORG ID from the initial Reorganization Information Center screen.

Field name	Description
Process Date	The date the transaction processes. I.e. the ex-date on the trading exchanges.
Cash	The U.S. or Canadian rate per share of the original issue of cash received.
Original CUSIP	The CUSIP from which the action originates.

Field name	Description
Original CUSIP Rate	The share rate of the original CUSIP expressed in decimal terms. Normally the rate is 1.0.
New CUSIP	The CUSIP of the new issue(s) being received.
New CUSIP Rate	The distribution rate in shares of the new CUSIP being received per the original issue shares.
Issue Type	The security type of the original issue: common stock, preferred stock, ADR, units, rights, municipal bonds, corporate bonds, CMOs, government obligations, foreign common stock, etc.
Ex-Date	Ex-date on the trading exchanges. Effective date of the action.
Entry Date	The date the record was created in the Reorganization Information Center files.
Status	Status of the Reorganization Information Center notice: <ul style="list-style-type: none"> Validated when going to post Unowned if applicable New when first received from the vendor Updated if relevant N/A for items CIS does not process Terminated, deleted, or rejected if applicable
Effective Date	The company's declaration date of the action.
Entry By	How the notice record was created.
Activity	The type of action: <ul style="list-style-type: none"> Mandatory Voluntary Not applicable, etc
Validation Date	The date the action was validated for posting.
Last Modified By	Last record change source. If marked as N/A, the record has not changed since its creation.

Additional information regarding a particular capital change may be found in the notes section of the screen.

7.17 Reverse Stock Split Screen

To access the screen related to a particular reverse stock split, select its REORG ID from the initial Reorganization Information Center screen

Field name	Description
Process Date	The date the transaction processes. I.e. the ex-date on the trading exchanges.
Original CUSIP	The CUSIP from which the action originates.
Original CUSIP Rate	The share rate of the original CUSIP expressed in decimal terms. Normally the rate is 1.0.
Close Price	The closing price on the ex-date.
New CUSIP	The CUSIP of the new issue(s) being received.
New CUSIP Rate	The distribution rate in shares of the new CUSIP being received per the original issue shares.
Issue Type	The security type of the original issue: common stock, preferred stock, ADR, units, rights, municipal bonds, corporate bonds, CMOs, government obligations, foreign common stock, etc.
Ex-Date	Ex-date on the trading exchanges. Effective date of the action.
Entry Date	The date the record was created in the Reorganization Information Center files.
Status	<p>Status of the Reorganization Information Center notice:</p> <ul style="list-style-type: none"> Validated when going to post Unowned if applicable New when first received from the vendor Updated if relevant N/A for items CIS does not process Terminated, deleted, or rejected if applicable
Effective Date	The company's declaration date of the action.
Entry By	How the notice record was created.

Field name	Description
Activity	The type of action: <ul style="list-style-type: none"> • Mandatory • Voluntary • Not applicable, etc
Validation Date	The date the action was validated for posting.
Last Modified By	Last record change source. If marked as N/A, the record has not changed since its creation.
Docap Name	The internal reference number assigned to the action in the Reorganization Information Center for processing purposes. Normally, this is the CUSIP number of the originating issue, but it may be followed by an alpha character.

Additional information regarding a particular capital change may be found in the notes section of the screen.

7.18 Rights Plan Adoption Screen

To access the screen related to a particular rights plan adoption, select its REORG ID from the initial Reorganization Information Center screen.

Note: Fields on Rights Plan Adoption Screen can vary.

Field name	Description
Process Date	The date the transaction processes. I.e. the ex-date on the trading exchanges.
Cash	The U.S. or Canadian rate per share of the original issue of cash received.
Original CUSIP	The CUSIP from which the action originates.
Original CUSIP Rate	The share rate of the original CUSIP expressed in decimal terms. Normally the rate is 1.0.
New CUSIP	The CUSIP of the new issue(s) being received.
Close Price	The closing price on the ex-date.

Field name	Description
New CUSIP Rate	The distribution rate in shares of the new CUSIP being received per the original issue shares.
Issue Type	The security type of the original issue: common stock, preferred stock, ADR, units, rights, municipal bonds, corporate bonds, CMOs, government obligations, foreign common stock, etc.
Ex-Date	Ex-date on the trading exchanges. Effective date of the action.
Entry Date	The date the record was created in the Reorganization Information Center files.
Status	<p>Status of the Reorganization Information Center notice:</p> <ul style="list-style-type: none"> Validated when going to post Unowned if applicable New when first received from the vendor Updated if relevant N/A for items CIS does not process Terminated, deleted, or rejected if applicable
Effective Date	The company's declaration date of the action.
Entry By	How the notice record was created.
Activity	<p>The type of action:</p> <ul style="list-style-type: none"> Mandatory Voluntary Not applicable, etc
Validation Date	The date the action was validated for posting.
Last Modified By	Last record change source. If marked as N/A, the record has not changed since its creation.
Docap Name	The internal reference number assigned to the action in the Reorganization Information Center for processing purposes. Normally, this is the CUSIP number of the originating issue, but it may be followed by an alpha character.

Additional information regarding a particular capital change may be found in the notes section of the screen.

7.19 Rights Plan Execution Screen

To access the screen related to a particular rights plan execution, select its REORG ID from the initial Reorganization Information Center screen.

Note: Fields on Rights Plan Adoption Screen can vary.

Field name	Description
Process Date	The date the transaction processes. I.e. the ex-date on the trading exchanges.
Cash	The U.S. or Canadian rate per share of the original issue of cash received.
Original CUSIP	The CUSIP from which the action originates.
Original CUSIP Rate	The share rate of the original CUSIP expressed in decimal terms. Normally the rate is 1.0.
New CUSIP	The CUSIP of the new issue(s) being received.
Close Price	The closing price on the ex-date.
New CUSIP Rate	The distribution rate in shares of the new CUSIP being received per the original issue shares.
Issue Type	The security type of the original issue: common stock, preferred stock, ADR, units, rights, municipal bonds, corporate bonds, CMOs, government obligations, foreign common stock, etc.
Ex-Date	Ex-date on the trading exchanges. Effective date of the action.
Entry Date	The date the record was created in the Reorganization Information Center files.
Status	<p>Status of the Reorganization Information Center notice:</p> <ul style="list-style-type: none"> • Validated when going to post • Unowned if applicable • New when first received from the vendor • Updated if relevant • N/A for items CIS does not process • Terminated, deleted, or rejected if applicable

Field name	Description
Effective Date	The company's declaration date of the action.
Entry By	How the notice record was created.
Activity	The type of action: <ul style="list-style-type: none"> • Mandatory • Voluntary • Not applicable, etc
Validation Date	The date the action was validated for posting.
Last Modified By	Last record change source. If marked as N/A, the record has not changed since its creation.
Docap Name	The internal reference number assigned to the action in the Reorganization Information Center for processing purposes. Normally, this is the CUSIP number of the originating issue, but it may be followed by an alpha character.

Additional information regarding a particular capital change may be found in the notes section of the screen.

7.20 Spin-off Screen

To access the screen related to a particular spin-off, select its REORG ID from the initial Reorganization Information Center screen.

Note: Fields on Rights Plan Adoption Screen can vary.

Field name	Description
Process Date	The date the transaction processes. I.e. the ex-date on the trading exchanges.
Cash	The U.S. or Canadian rate per share of the original issue of cash received.
Original CUSIP	The CUSIP from which the action originates.
Original CUSIP Rate	The share rate of the original CUSIP expressed in decimal terms. Normally the rate is 1.0.

Field name	Description
Close Price	The close price of the original security on the day before the ex-date.
%Cost to Original CUSIP	The decimal percentage of the original cost basis assigned to the original security, i.e. 96% = .96. The field values are calculated based on the securities close price fields.
New CUSIP	The CUSIP of the new issue(s) being received.
New CUSIP Rate	The distribution rate in shares of the new CUSIP being received per the original issue shares.
Close Price	Closing price on the ex-date.
%Cost to New CUSIP	The decimal percentage of the new cost basis assigned to the original security, i.e. 96% = .96. The field values are calculated based on the securities close price fields.
Issue Type	The security type of the original issue: common stock, preferred stock, ADR, units, rights, municipal bonds, corporate bonds, CMOs, government obligations, foreign common stock, etc.
Ex-Date	Ex-date on the trading exchanges. Effective date of the action.
Entry Date	The date the record was created in the Reorganization Information Center files.
Status	Status of the Reorganization Information Center notice: <ul style="list-style-type: none"> Validated when going to post Unowned if applicable New when first received from the vendor Updated if relevant N/A for items CIS does not process Terminated, deleted, or rejected if applicable
Effective Date	The company's declaration date of the action.
Entry By	How the notice record was created.
Activity	The type of action: The type of action: <ul style="list-style-type: none"> Mandatory Voluntary Not applicable, etc

Field name	Description
Validation Date	The date the action was validated for posting.
Last Modified By	Last record change source. If marked as N/A, the record has not changed since its creation.
Taxable	Yes, if checked, otherwise and normally, No.
Final Cost	Checked only if CIS has received the final cost allocation.
Docap Name	The internal reference number assigned to the action in the Reorganization Information Center for processing purposes. Normally, this is the CUSIP number of the originating issue, but it may be followed by an alpha character.

Additional information regarding a particular capital change may be found in the notes section of the screen.

7.21 Stock Dividend Screen

To access the screen related to a particular stock dividend, select its REORG ID from the initial Reorganization Information Center screen.

Note: The rate of the stock dividend is found in the text portion of the announcement.

Field name	Description
Process Date	The date the transaction processes. I.e. the ex-date on the trading exchanges.
Original CUSIP	The CUSIP from which the action originates.
Original CUSIP Rate	The share rate of the original CUSIP expressed in decimal terms. Normally the rate is 1.0.
New CUSIP	The CUSIP of the new issue(s) being received.
New CUSIP Rate	The distribution rate in shares of the new CUSIP being received per the original issue shares.
Issue Type	The security type of the original issue: common stock, preferred stock, ADR, units, rights, municipal bonds, corporate bonds, CMOs, government obligations, foreign common stock, etc.

Field name	Description
Ex-Date	Ex-date on the trading exchanges. Effective date of the action.
Entry Date	The date the record was created in the Reorganization Information Center files.
Status	<p>Status of the Reorganization Information Center notice:</p> <ul style="list-style-type: none"> Validated when going to post Unowned if applicable New when first received from the vendor Updated if relevant N/A for items CIS does not process Terminated, deleted, or rejected if applicable
Effective Date	The company's declaration date of the action.
Entry By	How the notice record was created.
Activity	<p>The type of action:</p> <ul style="list-style-type: none"> Mandatory Voluntary Not applicable, etc
Validation Date	The date the action was validated for posting.
Last Modified By	Last record change source. If marked as N/A, the record has not changed since its creation.

Additional information regarding a particular capital change may be found in the notes section of the screen.

7.22 Stock Split Screen

To access the screen related to a particular stock split, select its REORG ID from the initial Reorganization Information Center screen.

Field name	Description
Process Date	The date the transaction processes. I.e. the ex-date on the trading exchanges.

Field name	Description
Original CUSIP	The CUSIP from which the action originates.
Original CUSIP Rate	The share rate of the original CUSIP expressed in decimal terms. Normally the rate is 1.0.
New CUSIP	The CUSIP of the new issue(s) being received.
New CUSIP Rate	The distribution rate in shares of the new CUSIP being received per the original issue shares.
Issue Type	The security type of the original issue: common stock, preferred stock, ADR, units, rights, municipal bonds, corporate bonds, CMOs, government obligations, foreign common stock, etc.
Ex-Date	Ex-date on the trading exchanges. Effective date of the action.
Entry Date	The date the record was created in the Reorganization Information Center files.
Status	<p>Status of the Reorganization Information Center notice;</p> <ul style="list-style-type: none"> Validated when going to post Unowned if applicable New when first received from the vendor Updated if relevant N/A for items CIS does not process Terminated, deleted, or rejected if applicable
Effective Date	The company's declaration date of the action.
Entry By	How the notice record was created.
Activity	<p>The type of action:</p> <ul style="list-style-type: none"> Mandatory Voluntary Not applicable, etc
Validation Date	The date the action was validated for posting.
Last Modified By	Last record change source. If marked as N/A, the record has not changed since its creation.

Additional information regarding a particular capital change may be found in the notes section of the screen.

7.23 Tender Offer Screen

To access the screen related to a particular tender offer, select its REORG ID from the initial Reorganization Information Center screen.

Field name	Description
Process Date	The date the transaction processes. I.e. the ex-date on the trading exchanges.
Cash	The U.S. or Canadian rate per share of the original issue of cash received.
Original CUSIP	The CUSIP from which the action originates.
Original CUSIP Rate	The share rate of the original CUSIP expressed in decimal terms. Normally the rate is 1.0.
New CUSIP	The CUSIP of the new issue(s) being received.
New CUSIP Rate	The distribution rate in shares of the new CUSIP being received per the original issue shares.
Issue Type	The security type of the original issue: common stock, preferred stock, ADR, units, rights, municipal bonds, corporate bonds, CMOs, government obligations, foreign common stock, etc.
Ex-Date	Ex-date on the trading exchanges. Effective date of the action.
Entry Date	The date the record was created in the Reorganization Information Center files.
Status	<p>Status of the Reorganization Information Center notice:</p> <ul style="list-style-type: none"> Validated when going to post Unowned if applicable New when first received from the vendor Updated if relevant N/A for items CIS does not process Terminated, deleted, or rejected if applicable
Effective Date	The company's declaration date of the action.

Field name	Description
Entry By	How the notice record was created.
Activity	<p>The type of action:</p> <ul style="list-style-type: none"> • Mandatory • Voluntary • Not applicable, etc
Validation Date	The date the action was validated for posting.
Last Modified By	Last record change source. If marked as N/A, the record has not changed since its creation.

Additional information regarding a particular capital change may be found in the notes section of the screen.

7.24 Ticker Lookup Screen

Use the Ticker screen allows to sort reorganizations based on information related to a specific security or group of securities. To access the Ticker screen select the “Ticker” link from bottom of the initial Reorganization Information Center screen.

When specifying search criteria, use the “begins with” or “contains” radio boxes to indicate whether the results should begin with the designated search string or simply be part of the string.

Field options include:

Field	Description
Ticker	Find capital change information using the ticker, or part of the ticker, of a security.
Issuer Name	Entity offering securities for sale to investors.
Security	<p>Narrow the search results to include a particular type of security. Choices include:</p> <ul style="list-style-type: none"> • All • Asset backed securities • Mortgage backed securities and CMOs • Bonds • Equities • Money Market/Mutual Funds

Field	Description
	<ul style="list-style-type: none"> • Municipal Bonds • Not Defined Yet • Options
Issue Type	<p>Narrow the search according to issue type. Choices include:</p> <ul style="list-style-type: none"> • All • American Depository Receipt • Asset Backed Securities (ABS) • Asset-backed security or CMO • Certificate • Collateralized Mortgage Obligation • Commodity or financial future • Common or ordinary stock • Convertible fund • Convertible preferred Stock • Corporate or government bond • Currency, futures, or future • Federal National Mortgage Association • Equity or Index Option Equity or index option • Exchange Traded Funds (ETF) • Export import • FFNMA for generic • FHLMC debenture for generic • Farmers Home Loan Administration • Federal Home Loan Bank • Federal Land Bank • GNMA generic coupon pricing • General Service Administration

Field	Description
	<ul style="list-style-type: none">• Inflation Protected Security• Money Market mutual fund• Municipal for select• Mutual or investment trust• Other Government/Agency: U.S• Preferred or preference stock• Small business Administration• Special stock• Stripped Issue Thirteen Banks for Cooperative• Twelve Federal International• Twelve Federal Land Bank• U.S. Treasury Bill• U.S. Treasury Bond• U.S. Treasury Note• Unit• Unit Investment Trust (UIT)• Warrant or Right• Zero coupon issue
Exchange	Narrow the search based on the exchange a security trades on.

7.25 Client Reorg Request Screen

Please disregard and do not use this screen.

7.26 Distribution Screen

To access the screen related to a particular distribution, select its REORG ID from the initial Reorganization Information Center screen.

Field name	Description
Process Date	The date the transaction processes. I.e. the ex-date on the trading exchanges.
Cash	The U.S. or Canadian rate per share of the original issue of cash received.
Original CUSIP	The CUSIP from which the action originates.
Original CUSIP Rate	The share rate of the original CUSIP expressed in decimal terms. Normally the rate is 1.0.
New CUSIP	The CUSIP of the new issue(s) being received.
New CUSIP Rate	The distribution rate in shares of the new CUSIP being received per the original issue shares.
Issue Type	The security type of the original issue: common stock, preferred stock, ADR, units, rights, municipal bonds, corporate bonds, CMOs, government obligations, foreign common stock, etc.
Ex-Date	Ex-date on the trading exchanges. Effective date of the action.
Entry Date	The date the record was created in the Reorganization Information Center files.
Status	Status of the Reorganization Information Center notice: <ul style="list-style-type: none"> Validated when going to post Unowned if applicable New when first received from the vendor Updated if relevant N/A for items CIS does not process Terminated, deleted, or rejected if applicable
Effective Date	The company's declaration date of the action.
Entry By	How the notice record was created.

Field name	Description
Activity	The type of action: <ul style="list-style-type: none"> • Mandatory • Voluntary • Not applicable, etc
Validation Date	The date the action was validated for posting.
Last Modified By	Last record change source. If marked as N/A, the record has not changed since its creation.
Taxable	Yes, if checked, otherwise and normally, No.
Final Cost	Checked only if we have received the final cost allocation
Docap Name	The internal reference number assigned to the action in the Reorganization Information Center for processing purposes. Normally, this is the CUSIP number of the originating issue, but it may be followed by an alpha character.

Additional information regarding a particular capital change may be found in the notes section of the screen.

7.27 Exchange Screen

To access the screen related to a particular exchange, select its REORG ID from the initial Reorganization Information Center screen.

Field name	Description
Process Date	The date the transaction processes. I.e. the ex-date on the trading exchanges.
Cash	The U.S. or Canadian rate per share of the original issue of cash received.
Original CUSIP	The CUSIP from which the action originates.
Original CUSIP Rate	The share rate of the original CUSIP expressed in decimal terms. Normally the rate is 1.0.
New CUSIP	The CUSIP of the new issue(s) being received.

Field name	Description
New CUSIP Rate	The distribution rate in shares of the new CUSIP being received per the original issue shares.
Issue Type	The security type of the original issue: common stock, preferred stock, ADR, units, rights, municipal bonds, corporate bonds, CMOs, government obligations, foreign common stock, etc.
Ex-Date	Ex-date on the trading exchanges. Effective date of the action.
Entry Date	The date the record was created in the Reorganization Information Center files.
Status	<p>Status of the Reorganization Information Center notice:</p> <ul style="list-style-type: none"> Validated when going to post Unowned if applicable New when first received from the vendor Updated if relevant N/A for items CIS does not process Terminated, deleted, or rejected if applicable
Effective Date	The company's declaration date of the action.
Entry By	How the notice record was created.
Activity	<p>The type of action:</p> <ul style="list-style-type: none"> Mandatory Voluntary Not applicable, etc
Validation Date	The date the action was validated for posting.
Last Modified By	Last record change source. If marked as N/A, the record has not changed since its creation.

Additional information regarding a particular capital change may be found in the notes section of the screen.

7.28 Information Screen

To access the screen related to a particular information listing, select its REORG ID from the initial Reorganization Information Center screen.

Field name	Description
Process Date	The date the transaction processes. I.e. the ex-date on the trading exchanges.
Cash	The U.S. or Canadian rate per share of the original issue of cash received.
Original CUSIP	The CUSIP from which the action originates.
Original CUSIP Rate	The share rate of the original CUSIP expressed in decimal terms. Normally the rate is 1.0.
New CUSIP	The CUSIP of the new issue(s) being received.
New CUSIP Rate	The distribution rate in shares of the new CUSIP being received per the original issue shares.
Issue Type	The security type of the original issue: common stock, preferred stock, ADR, units, rights, municipal bonds, corporate bonds, CMOs, government obligations, foreign common stock, etc.
Ex-Date	Ex-date on the trading exchanges. Effective date of the action.
Entry Date	The date the record was created in the Reorganization Information Center files.
Status	Status of the Reorganization Information Center notice: <ul style="list-style-type: none"> Validated when going to post Unowned if applicable New when first received from the vendor Updated if relevant N/A for items CIS does not process Terminated, deleted, or rejected if applicable
Effective Date	The company's declaration date of the action.
Entry By	How the notice record was created.
Activity	The type of action: <ul style="list-style-type: none"> Mandatory Voluntary Not applicable, etc

Field name	Description
Validation Date	The date the action was validated for posting.
Last Modified By	Last record change source. If marked as N/A, the record has not changed since its creation.

Additional information regarding a particular capital change may be found in the notes section of the screen.

7.29 Merger Screen

To access the screen related to a particular merger, select its REORG ID from the initial Reorganization Information Center screen.

Field name	Description
Process Date	The date the transaction processes. I.e. the ex-date on the trading exchanges.
Cash	The U.S. or Canadian rate per share of the original issue of cash received.
Original CUSIP	The CUSIP from which the action originates.
Original CUSIP Rate	The share rate of the original CUSIP expressed in decimal terms. Normally the rate is 1.0.
New CUSIP	The CUSIP of the new issue(s) being received.
New CUSIP Rate	The distribution rate in shares of the new CUSIP being received per the original issue shares.
Issue Type	The security type of the original issue: common stock, preferred stock, ADR, units, rights, municipal bonds, corporate bonds, CMOs, government obligations, foreign common stock, etc.
Ex-Date	Ex-date on the trading exchanges. Effective date of the action.
Entry Date	The date the record was created in the Reorganization Information Center files.
Status	Status of the Reorganization Information Center notice: <ul style="list-style-type: none"> Validated when going to post Unowned if applicable

Field name	Description
	<ul style="list-style-type: none"> • New when first received from the vendor • Updated if relevant • N/A for items CIS does not process • Terminated, deleted, or rejected if applicable
Effective Date	The company's declaration date of the action.
Entry By	How the notice record was created.
Activity	<p>The type of action:</p> <ul style="list-style-type: none"> • Mandatory • Voluntary • Not applicable, etc
Validation Date	The date the action was validated for posting.
Last Modified By	Last record change source. If marked as N/A, the record has not changed since its creation.
Docap Name	The internal reference number assigned to the action in the Reorganization Information Center for processing purposes. Normally, this is the CUSIP number of the originating issue, but it may be followed by an alpha character.

Additional information regarding a particular capital change may be found in the notes section of the screen.

7.30 Merger Election Screen

To access the screen related to a particular merger election, select its REORG ID from the initial Reorganization Information Center screen. Each merger election announcement indicates that there are two or more options available to shareholders. The number of options is listed at the indicator code IND: in the notes of the screen. Each option will have its own distinct notes screen. To differentiate between options, look for the OPT:NN line, where NN is a distinct number, such as 01 or 02.

If the company requires shareholders to choose one of the options by the election date, this date will be reported in the text portion of the announcement and in the Expiration Date field.

Field name	Description
Process Date	The date the transaction processes. I.e. the ex-date on the trading exchanges.
Cash	The U.S. or Canadian rate per share of the original issue of cash received.
Original CUSIP	The CUSIP from which the action originates.
Original CUSIP Rate	The share rate of the original CUSIP expressed in decimal terms. Normally the rate is 1.0.
New CUSIP	The CUSIP of the new issue(s) being received.
New CUSIP Rate	The distribution rate in shares of the new CUSIP being received per the original issue shares.
Issue Type	The security type of the original issue: common stock, preferred stock, ADR, units, rights, municipal bonds, corporate bonds, CMOs, government obligations, foreign common stock, etc.
Ex-Date	Ex-date on the trading exchanges. Effective date of the action.
Entry Date	The date the record was created in the Reorganization Information Center files.
Status	Status of the Reorganization Information Center notice: <ul style="list-style-type: none"> Validated when going to post Unowned if applicable New when first received from the vendor Updated if relevant N/A for items CIS does not process Terminated, deleted, or rejected if applicable
Effective Date	The company's declaration date of the action.
Entry By	How the notice record was created.
Activity	The type of action: <ul style="list-style-type: none"> Mandatory Voluntary Not applicable, etc

Field name	Description
Validation Date	The date the action was validated for posting.
Last Modified By	Last record change source. If marked as N/A, the record has not changed since its creation.

Additional information regarding a particular capital change may be found in the notes section of the screen.

7.31 Name Change Screen

To access the screen related to a particular name change, select its REORG ID from the initial Reorganization Information Center screen.

Note: Fields on Name Change Screens can vary.

Field name	Description
Process Date	The date the transaction processes. I.e. the ex-date on the trading exchanges.
Cash	The U.S. or Canadian rate per share of the original issue of cash received.
Original CUSIP	The CUSIP from which the action originates.
Original CUSIP Rate	The share rate of the original CUSIP expressed in decimal terms. Normally the rate is 1.0.
New CUSIP	The CUSIP of the new issue(s) being received.
New CUSIP Rate	The distribution rate in shares of the new CUSIP being received per the original issue shares.
Issue Type	The security type of the original issue: common stock, preferred stock, ADR, units, rights, municipal bonds, corporate bonds, CMOs, government obligations, foreign common stock, etc.
Ex-Date	Ex-date on the trading exchanges. Effective date of the action.
Entry Date	The date the record was created in the Reorganization Information Center files.
Status	Status of the Reorganization Information Center notice:

Field name	Description
	<ul style="list-style-type: none"> Validated when going to post Unowned if applicable New when first received from the vendor Updated if relevant N/A for items CIS does not process Terminated, deleted, or rejected if applicable
Effective Date	The company's declaration date of the action.
Entry By	How the notice record was created.
Activity	<p>The type of action:</p> <ul style="list-style-type: none"> Mandatory Voluntary Not applicable, etc
Validation Date	The date the action was validated for posting.
Last Modified By	Last record change source. If marked as N/A, the record has not changed since its creation.

Additional information regarding a particular capital change may be found in the notes section of the screen.

7.32 New Offer Screen

To access the screen related to a particular new offer, select its REORG ID from the initial Reorganization Information Center screen.

7.33 Odd Lot Tender Screen

To access the screen related to a particular odd lot tender, select its REORG ID from the initial Reorganization Information Center screen.

Field name	Description
Process Date	The date the transaction processes. I.e. the ex-date on the trading exchanges.
Cash	The U.S. or Canadian rate per share of the original issue of cash received.
Original CUSIP	The CUSIP from which the action originates.
Original CUSIP Rate	The share rate of the original CUSIP expressed in decimal terms. Normally the rate is 1.0.
New CUSIP	The CUSIP of the new issue(s) being received.
New CUSIP Rate	The distribution rate in shares of the new CUSIP being received per the original issue shares.
Issue Type	The security type of the original issue: common stock, preferred stock, ADR, units, rights, municipal bonds, corporate bonds, CMOs, government obligations, foreign common stock, etc.
Ex-Date	Ex-date on the trading exchanges. Effective date of the action.
Entry Date	The date the record was created in the Reorganization Information Center files.
Status	Status of the Reorganization Information Center notice: <ul style="list-style-type: none"> Validated when going to post Unowned if applicable New when first received from the vendor Updated if relevant N/A for items CIS does not process Terminated, deleted, or rejected if applicable
Effective Date	The company's declaration date of the action.
Entry By	How the notice record was created.
Activity	The type of action: <ul style="list-style-type: none"> Mandatory

Field name	Description
	<ul style="list-style-type: none"> • Voluntary • Not applicable, etc
Validation Date	The date the action was validated for posting.
Last Modified By	Last record change source. If marked as N/A, the record has not changed since its creation.

Additional information regarding a particular capital change may be found in the notes section of the screen.

7.34 Offer To Buy Screen

To access the screen related to a particular offer to buy, select its REORG ID from the initial Reorganization Information Center screen.

7.35 Recapitalize Screen

To access the screen related to a particular recapitalization, select its REORG ID from the initial Reorganization Information Center screen.

Field name	Description
Process Date	The date the transaction processes. I.e. the ex-date on the trading exchanges.
Cash	The U.S. or Canadian rate per share of the original issue of cash received.
Original CUSIP	The CUSIP from which the action originates.
Original CUSIP Rate	The share rate of the original CUSIP expressed in decimal terms. Normally the rate is 1.0.
New CUSIP	The CUSIP of the new issue(s) being received.
New CUSIP Rate	The distribution rate in shares of the new CUSIP being received per the original issue shares.
Issue Type	The security type of the original issue: common stock, preferred stock, ADR, units, rights, municipal bonds, corporate bonds, CMOs, government obligations, foreign common stock, etc.

Field name	Description
Ex-Date	Ex-date on the trading exchanges. Effective date of the action.
Entry Date	The date the record was created in the Reorganization Information Center files.
Status	Status of the Reorganization Information Center notice: <ul style="list-style-type: none"> Validated when going to post Unowned if applicable New when first received from the vendor Updated if relevant N/A for items CIS does not process Terminated, deleted, or rejected if applicable
Effective Date	The company's declaration date of the action.
Entry By	How the notice record was created.
Activity	The type of action: <ul style="list-style-type: none"> Mandatory Voluntary Not applicable, etc
Validation Date	The date the action was validated for posting.
Last Modified By	Last record change source. If marked as N/A, the record has not changed since its creation.

Additional information regarding a particular capital change may be found in the notes section of the screen.

7.36 Reclassified Screen

To access the screen related to a particular reclassification, select its REORG ID from the initial Reorganization Information Center screen.

Field name	Description
Process Date	The date the transaction processes. I.e. the ex-date on the trading exchanges.
Cash	The U.S. or Canadian rate per share of the original issue of cash received.
Original CUSIP	The CUSIP from which the action originates.
Original CUSIP Rate	The share rate of the original CUSIP expressed in decimal terms. Normally the rate is 1.0.
New CUSIP	The CUSIP of the new issue(s) being received.
New CUSIP Rate	The distribution rate in shares of the new CUSIP being received per the original issue shares.
Issue Type	The security type of the original issue: common stock, preferred stock, ADR, units, rights, municipal bonds, corporate bonds, CMOs, government obligations, foreign common stock, etc.
Ex-Date	Ex-date on the trading exchanges. Effective date of the action.
Entry Date	The date the record was created in the Reorganization Information Center files.
Status	<p>Status of the Reorganization Information Center notice:</p> <ul style="list-style-type: none"> Validated when going to post Unowned if applicable New when first received from the vendor Updated if relevant N/A for items CIS does not process Terminated, deleted, or rejected if applicable
Effective Date	The company's declaration date of the action.
Entry By	How the notice record was created.
Activity	<p>The type of action:</p> <ul style="list-style-type: none"> Mandatory

Field name	Description
	<ul style="list-style-type: none"> • Voluntary • Not applicable, etc
Validation Date	The date the action was validated for posting.
Last Modified By	Last record change source. If marked as N/A, the record has not changed since its creation.

Additional information regarding a particular capital change may be found in the notes section of the screen.

7.37 Redemption-full Screen

To access the screen related to a particular full redemption, select its REORG ID from the initial Reorganization Information Center screen.

Field name	Description
Process Date	The date the transaction processes. I.e. the ex-date on the trading exchanges.
Cash	The U.S. or Canadian rate per share of the original issue of cash received.
Original CUSIP	The CUSIP from which the action originates.
Original CUSIP Rate	The share rate of the original CUSIP expressed in decimal terms. Normally the rate is 1.0.
New CUSIP	The CUSIP of the new issue(s) being received.
New CUSIP Rate	The distribution rate in shares of the new CUSIP being received per the original issue shares.
Issue Type	The security type of the original issue: common stock, preferred stock, ADR, units, rights, municipal bonds, corporate bonds, CMOs, government obligations, foreign common stock, etc.
Ex-Date	Ex-date on the trading exchanges. Effective date of the action.
Entry Date	The date the record was created in the Reorganization Information Center files.
Status	Status of the Reorganization Information Center notice:

Field name	Description
	<ul style="list-style-type: none"> Validated when going to post Unowned if applicable New when first received from the vendor Updated if relevant N/A for items CIS does not process Terminated, deleted, or rejected if applicable
Effective Date	The company's declaration date of the action.
Entry By	How the notice record was created.
Activity	<p>The type of action:</p> <ul style="list-style-type: none"> Mandatory Voluntary Not applicable, etc
Validation Date	The date the action was validated for posting.
Last Modified By	Last record change source. If marked as N/A, the record has not changed since its creation.

Additional information regarding a particular capital change may be found in the notes section of the screen.

7.38 Redemption-partial Screen

To access the screen related to a particular partial redemption, select its REORG ID from the initial Reorganization Information Center screen.

Field name	Description
Process Date	The date the transaction processes. I.e. the ex-date on the trading exchanges.
Cash	The U.S. or Canadian rate per share of the original issue of cash received.
Original CUSIP	The CUSIP from which the action originates.

Field name	Description
Original CUSIP Rate	The share rate of the original CUSIP expressed in decimal terms. Normally the rate is 1.0.
New CUSIP	The CUSIP of the new issue(s) being received.
New CUSIP Rate	The distribution rate in shares of the new CUSIP being received per the original issue shares.
Issue Type	The security type of the original issue: common stock, preferred stock, ADR, units, rights, municipal bonds, corporate bonds, CMOs, government obligations, foreign common stock, etc.
Ex-Date	Ex-date on the trading exchanges. Effective date of the action.
Entry Date	The date the record was created in the Reorganization Information Center files.
Status	<p>Status of the Reorganization Information Center notice:</p> <ul style="list-style-type: none"> Validated when going to post Unowned if applicable New when first received from the vendor Updated if relevant N/A for items CIS does not process Terminated, deleted, or rejected if applicable
Effective Date	The company's declaration date of the action.
Entry By	How the notice record was created.
Activity	<p>The type of action:</p> <ul style="list-style-type: none"> Mandatory Voluntary Not applicable, etc
Validation Date	The date the action was validated for posting.
Last Modified By	Last record change source. If marked as N/A, the record has not changed since its creation.

Additional information regarding a particular capital change may be found in the notes section of the screen.

7.39 Reverse Stock Split Screen

To access the screen related to a particular reverse stock split, select its REORG ID from the initial Reorganization Information Center screen

Field name	Description
Process Date	The date the transaction processes. I.e. the ex-date on the trading exchanges.
Original CUSIP	The CUSIP from which the action originates.
Original CUSIP Rate	The share rate of the original CUSIP expressed in decimal terms. Normally the rate is 1.0.
Close Price	The closing price on the ex-date.
New CUSIP	The CUSIP of the new issue(s) being received.
New CUSIP Rate	The distribution rate in shares of the new CUSIP being received per the original issue shares.
Issue Type	The security type of the original issue: common stock, preferred stock, ADR, units, rights, municipal bonds, corporate bonds, CMOs, government obligations, foreign common stock, etc.
Ex-Date	Ex-date on the trading exchanges. Effective date of the action.
Entry Date	The date the record was created in the Reorganization Information Center files.
Status	<p>Status of the Reorganization Information Center notice:</p> <ul style="list-style-type: none"> Validated when going to post Unowned if applicable New when first received from the vendor Updated if relevant N/A for items CIS does not process Terminated, deleted, or rejected if applicable
Effective Date	The company's declaration date of the action.
Entry By	How the notice record was created.

Field name	Description
Activity	The type of action: <ul style="list-style-type: none"> • Mandatory • Voluntary • Not applicable, etc
Validation Date	The date the action was validated for posting.
Last Modified By	Last record change source. If marked as N/A, the record has not changed since its creation.
Docap Name	The internal reference number assigned to the action in the Reorganization Information Center for processing purposes. Normally, this is the CUSIP number of the originating issue, but it may be followed by an alpha character.

Additional information regarding a particular capital change may be found in the notes section of the screen.

7.40 Rights Plan Adoption Screen

To access the screen related to a particular rights plan adoption, select its REORG ID from the initial Reorganization Information Center screen.

Note: Fields on Rights Plan Adoption Screen can vary.

Field name	Description
Process Date	The date the transaction processes. I.e. the ex-date on the trading exchanges.
Cash	The U.S. or Canadian rate per share of the original issue of cash received.
Original CUSIP	The CUSIP from which the action originates.
Original CUSIP Rate	The share rate of the original CUSIP expressed in decimal terms. Normally the rate is 1.0.
New CUSIP	The CUSIP of the new issue(s) being received.
Close Price	The closing price on the ex-date.

Field name	Description
New CUSIP Rate	The distribution rate in shares of the new CUSIP being received per the original issue shares.
Issue Type	The security type of the original issue: common stock, preferred stock, ADR, units, rights, municipal bonds, corporate bonds, CMOs, government obligations, foreign common stock, etc.
Ex-Date	Ex-date on the trading exchanges. Effective date of the action.
Entry Date	The date the record was created in the Reorganization Information Center files.
Status	Status of the Reorganization Information Center notice: <ul style="list-style-type: none"> Validated when going to post Unowned if applicable New when first received from the vendor Updated if relevant N/A for items CIS does not process Terminated, deleted, or rejected if applicable
Effective Date	The company's declaration date of the action.
Entry By	How the notice record was created.
Activity	The type of action: <ul style="list-style-type: none"> Mandatory Voluntary Not applicable, etc
Validation Date	The date the action was validated for posting.
Last Modified By	Last record change source. If marked as N/A, the record has not changed since its creation.
Docap Name	The internal reference number assigned to the action in the Reorganization Information Center for processing purposes. Normally, this is the CUSIP number of the originating issue, but it may be followed by an alpha character.

Additional information regarding a particular capital change may be found in the notes section of the screen.

7.41 Rights Plan Execution Screen

To access the screen related to a particular rights plan execution, select its REORG ID from the initial Reorganization Information Center screen.

Note: Fields on Rights Plan Adoption Screen can vary.

Field name	Description
Process Date	The date the transaction processes. I.e. the ex-date on the trading exchanges.
Cash	The U.S. or Canadian rate per share of the original issue of cash received.
Original CUSIP	The CUSIP from which the action originates.
Original CUSIP Rate	The share rate of the original CUSIP expressed in decimal terms. Normally the rate is 1.0.
New CUSIP	The CUSIP of the new issue(s) being received.
Close Price	The closing price on the ex-date.
New CUSIP Rate	The distribution rate in shares of the new CUSIP being received per the original issue shares.
Issue Type	The security type of the original issue: common stock, preferred stock, ADR, units, rights, municipal bonds, corporate bonds, CMOs, government obligations, foreign common stock, etc.
Ex-Date	Ex-date on the trading exchanges. Effective date of the action.
Entry Date	The date the record was created in the Reorganization Information Center files.
Status	<p>Status of the Reorganization Information Center notice:</p> <ul style="list-style-type: none"> Validated when going to post Unowned if applicable New when first received from the vendor Updated if relevant N/A for items CIS does not process Terminated, deleted, or rejected if applicable

Field name	Description
Effective Date	The company's declaration date of the action.
Entry By	How the notice record was created.
Activity	The type of action: <ul style="list-style-type: none"> • Mandatory • Voluntary • Not applicable, etc
Validation Date	The date the action was validated for posting.
Last Modified By	Last record change source. If marked as N/A, the record has not changed since its creation.
Docap Name	The internal reference number assigned to the action in the Reorganization Information Center for processing purposes. Normally, this is the CUSIP number of the originating issue, but it may be followed by an alpha character.

Additional information regarding a particular capital change may be found in the notes section of the screen.

7.42 Spin-off Screen

To access the screen related to a particular spin-off, select its REORG ID from the initial Reorganization Information Center screen.

Note: Fields on Rights Plan Adoption Screen can vary.

Field name	Description
Process Date	The date the transaction processes. I.e. the ex-date on the trading exchanges.
Cash	The U.S. or Canadian rate per share of the original issue of cash received.
Original CUSIP	The CUSIP from which the action originates.
Original CUSIP Rate	The share rate of the original CUSIP expressed in decimal terms. Normally the rate is 1.0.

Field name	Description
Close Price	The close price of the original security on the day before the ex-date.
%Cost to Original CUSIP	The decimal percentage of the original cost basis assigned to the original security, i.e. 96% = .96. The field values are calculated based on the securities close price fields.
New CUSIP	The CUSIP of the new issue(s) being received.
New CUSIP Rate	The distribution rate in shares of the new CUSIP being received per the original issue shares.
Close Price	Closing price on the ex-date.
%Cost to New CUSIP	The decimal percentage of the new cost basis assigned to the original security, i.e. 96% = .96. The field values are calculated based on the securities close price fields.
Issue Type	The security type of the original issue: common stock, preferred stock, ADR, units, rights, municipal bonds, corporate bonds, CMOs, government obligations, foreign common stock, etc.
Ex-Date	Ex-date on the trading exchanges. Effective date of the action.
Entry Date	The date the record was created in the Reorganization Information Center files.
Status	Status of the Reorganization Information Center notice: <ul style="list-style-type: none"> Validated when going to post Unowned if applicable New when first received from the vendor Updated if relevant N/A for items CIS does not process Terminated, deleted, or rejected if applicable
Effective Date	The company's declaration date of the action.
Entry By	How the notice record was created.
Activity	The type of action: The type of action: <ul style="list-style-type: none"> Mandatory Voluntary Not applicable, etc

Field name	Description
Validation Date	The date the action was validated for posting.
Last Modified By	Last record change source. If marked as N/A, the record has not changed since its creation.
Taxable	Yes, if checked, otherwise and normally, No.
Final Cost	Checked only if CIS has received the final cost allocation.
Docap Name	The internal reference number assigned to the action in the Reorganization Information Center for processing purposes. Normally, this is the CUSIP number of the originating issue, but it may be followed by an alpha character.

Additional information regarding a particular capital change may be found in the notes section of the screen.

7.43 Stock Dividend Screen

To access the screen related to a particular stock dividend, select its REORG ID from the initial Reorganization Information Center screen.

Note: The rate of the stock dividend is found in the text portion of the announcement.

Field name	Description
Process Date	The date the transaction processes. I.e. the ex-date on the trading exchanges.
Original CUSIP	The CUSIP from which the action originates.
Original CUSIP Rate	The share rate of the original CUSIP expressed in decimal terms. Normally the rate is 1.0.
New CUSIP	The CUSIP of the new issue(s) being received.
New CUSIP Rate	The distribution rate in shares of the new CUSIP being received per the original issue shares.
Issue Type	The security type of the original issue: common stock, preferred stock, ADR, units, rights, municipal bonds, corporate bonds, CMOs, government obligations, foreign common stock, etc.

Field name	Description
Ex-Date	Ex-date on the trading exchanges. Effective date of the action.
Entry Date	The date the record was created in the Reorganization Information Center files.
Status	<p>Status of the Reorganization Information Center notice:</p> <ul style="list-style-type: none"> Validated when going to post Unowned if applicable New when first received from the vendor Updated if relevant N/A for items CIS does not process Terminated, deleted, or rejected if applicable
Effective Date	The company's declaration date of the action.
Entry By	How the notice record was created.
Activity	<p>The type of action:</p> <ul style="list-style-type: none"> Mandatory Voluntary Not applicable, etc
Validation Date	The date the action was validated for posting.
Last Modified By	Last record change source. If marked as N/A, the record has not changed since its creation.

Additional information regarding a particular capital change may be found in the notes section of the screen.

7.44 Stock Split Screen

To access the screen related to a particular stock split, select its REORG ID from the initial Reorganization Information Center screen.

Field name	Description
Process Date	The date the transaction processes. I.e. the ex-date on the trading exchanges.

Field name	Description
Original CUSIP	The CUSIP from which the action originates.
Original CUSIP Rate	The share rate of the original CUSIP expressed in decimal terms. Normally the rate is 1.0.
New CUSIP	The CUSIP of the new issue(s) being received.
New CUSIP Rate	The distribution rate in shares of the new CUSIP being received per the original issue shares.
Issue Type	The security type of the original issue: common stock, preferred stock, ADR, units, rights, municipal bonds, corporate bonds, CMOs, government obligations, foreign common stock, etc.
Ex-Date	Ex-date on the trading exchanges. Effective date of the action.
Entry Date	The date the record was created in the Reorganization Information Center files.
Status	Status of the Reorganization Information Center notice; <ul style="list-style-type: none"> Validated when going to post Unowned if applicable New when first received from the vendor Updated if relevant N/A for items CIS does not process Terminated, deleted, or rejected if applicable
Effective Date	The company's declaration date of the action.
Entry By	How the notice record was created.
Activity	The type of action: <ul style="list-style-type: none"> Mandatory Voluntary Not applicable, etc
Validation Date	The date the action was validated for posting.
Last Modified By	Last record change source. If marked as N/A, the record has not changed since its creation.

Additional information regarding a particular capital change may be found in the notes section of the screen.

7.45 Tender Offer Screen

To access the screen related to a particular tender offer, select its REORG ID from the initial Reorganization Information Center screen.

Field name	Description
Process Date	The date the transaction processes. I.e. the ex-date on the trading exchanges.
Cash	The U.S. or Canadian rate per share of the original issue of cash received.
Original CUSIP	The CUSIP from which the action originates.
Original CUSIP Rate	The share rate of the original CUSIP expressed in decimal terms. Normally the rate is 1.0.
New CUSIP	The CUSIP of the new issue(s) being received.
New CUSIP Rate	The distribution rate in shares of the new CUSIP being received per the original issue shares.
Issue Type	The security type of the original issue: common stock, preferred stock, ADR, units, rights, municipal bonds, corporate bonds, CMOs, government obligations, foreign common stock, etc.
Ex-Date	Ex-date on the trading exchanges. Effective date of the action.
Entry Date	The date the record was created in the Reorganization Information Center files.
Status	<p>Status of the Reorganization Information Center notice:</p> <ul style="list-style-type: none"> Validated when going to post Unowned if applicable New when first received from the vendor Updated if relevant N/A for items CIS does not process Terminated, deleted, or rejected if applicable
Effective Date	The company's declaration date of the action.

Field name	Description
Entry By	How the notice record was created.
Activity	<p>The type of action:</p> <ul style="list-style-type: none"> • Mandatory • Voluntary • Not applicable, etc
Validation Date	The date the action was validated for posting.
Last Modified By	Last record change source. If marked as N/A, the record has not changed since its creation.

Additional information regarding a particular capital change may be found in the notes section of the screen.

7.46 Ticker Lookup Screen

Use the Ticker screen allows to sort reorganizations based on information related to a specific security or group of securities. To access the Ticker screen select the “Ticker” link from bottom of the initial Reorganization Information Center screen.

When specifying search criteria, use the “begins with” or “contains” radio boxes to indicate whether the results should begin with the designated search string or simply be part of the string.

Field options include:

Field	Description
Ticker	Find capital change information using the ticker, or part of the ticker, of a security.
Issuer Name	Entity offering securities for sale to investors.
Security	<p>Narrow the search results to include a particular type of security. Choices include:</p> <ul style="list-style-type: none"> • All • Asset backed securities • Mortgage backed securities and CMOs • Bonds • Equities • Money Market/Mutual Funds

Field	Description
	<ul style="list-style-type: none"> • Municipal Bonds • Not Defined Yet • Options
Issue Type	<p>Narrow the search according to issue type. Choices include:</p> <ul style="list-style-type: none"> • All • American Depository Receipt • Asset Backed Securities (ABS) • Asset-backed security or CMO • Certificate • Collateralized Mortgage Obligation • Commodity or financial future • Common or ordinary stock • Convertible fund • Convertible preferred Stock • Corporate or government bond • Currency, futures, or future • Federal National Mortgage Association • Equity or Index Option Equity or index option • Exchange Traded Funds (ETF) • Export import • FFNMA for generic • FHLMC debenture for generic • Farmers Home Loan Administration • Federal Home Loan Bank • Federal Land Bank • GNMA generic coupon pricing • General Service Administration

Field	Description
	<ul style="list-style-type: none">• Inflation Protected Security• Money Market mutual fund• Municipal for select• Mutual or investment trust• Other Government/Agency: U.S• Preferred or preference stock• Small business Administration• Special stock• Stripped Issue Thirteen Banks for Cooperative• Twelve Federal International• Twelve Federal Land Bank• U.S. Treasury Bill• U.S. Treasury Bond• U.S. Treasury Note• Unit• Unit Investment Trust (UIT)• Warrant or Right• Zero coupon issue
Exchange	Narrow the search based on the exchange a security trades on.

7.47 Client Reorg Request Screen

Please disregard and do not use this screen.