

**Bold and underlined** text indicates proposed additions.

**~~Bold and strikethrough~~** text indicates proposed deletions.

**DTC Corporate Actions  
Redemptions Service Guide**

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**IMPORTANT LEGAL INFORMATION**

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## PARTIAL CALLS

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### Lottery Results

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### Partial Calls When Participant Positions Are Not Divisible by the Issue's Incremental Value

**From time to time, Participants may hold positions that are not within the stated increments of the security (odd lot). For issues where the incremental value is \$5,000 or less, each Participant that has position that is not divisible by the incremental value will have their lottery position rounded down to the nearest value that is divisible by the minimum incremental value. These rounded positions will be indicated as adjusted positions within the entitlement screens and will be used as the position that will be included in performing the lottery. No adjustments will be made for any securities that have minimal incremental values greater than \$5,000.**

#### Example (incremental value of 5,000):

<u>Participant</u>	<u>Position</u>	<u>Adjusted Position</u>
<u>1</u>	<u>105,000</u>	<u>105,000 (no adjustment)</u>
<u>2</u>	<u>151,000</u>	<u>150,000</u>
<u>3</u>	<u>194,000</u>	<u>190,000</u>

### Lottery Cancellations/ Reversals

When DTC receives a notice of lottery cancellation, Participants are notified via CA Web, PTS/PBS (RIPS), CCF file transmissions, ISO 20022 messaging and SMART/Search. DTC will reverse the call by reinstating Participants' positions and reversing the funds allocation (if funds have been allocated).

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