DTCC

SHAREHOLDER DEMAND & DISSENT/APPRAISAL RIGHTS USER GUIDE FOR MYDTCC AND CA WEB

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SECTION 1 INTRODUCTION

The purpose of this User Guide is to familiarize DTC participants with the process of submitting Shareholder Demand and Dissent/Appraisal Rights requests to DTC via both the MyDTCC platform and the CA Web. The User Guide is not intended to serve as a legal document. No statement in this User Guide should be construed as a legally binding rule or regulation, or as creating an obligation on the part of DTCC or any person.

The MyDTCC platform provides participants with systemic tracking and reporting capabilities by use of unique case numbers. General inquiries pertaining to a Shareholder Demand or Dissent/Appraisal Rights should be directed to demandanddissent@dtcc.com or to DTC's Asset Services and Billing Support team at 888-382-2721, prompt #4 (Proxy), followed by prompt #5 (Demand & Dissent Letters). The following User Guide will provide a step-by-step walk through of the process from creation to conclusion of a Shareholder Demand or Dissent/Appraisal Rights request and withdrawal.

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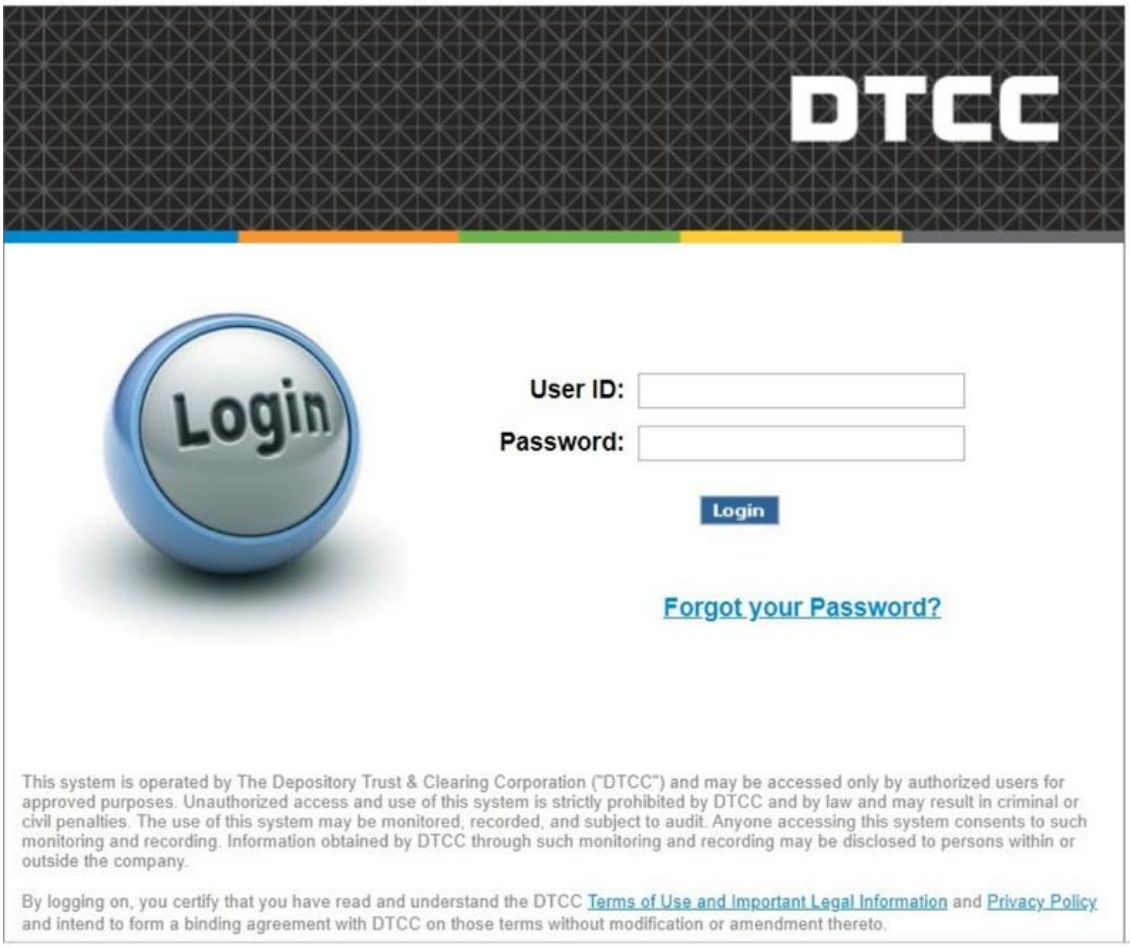
SECTION 2 SUBMITTING A REQUEST OR WITHDRAWAL

There are now two ways to submit an inquiry to DTC. The first method is via MyDTCC for unannounced events. The second method is via the CA Web for Corporation Action events that are already announced. All submitted requests and their statuses can be viewed within MyDTCC.

2.1 MYDTCC

To submit a Shareholder Demand or Dissent/Appraisal Rights request, log into the MyDTCC portal (https://portal.dtcc.com/) using your current credentials. If you need access provisioned to the MyDTCC portal, please contact your Super Access Coordinator. If you do not have your Super Access Coordinator's contact information, please email Entitlements@dtcc.com.



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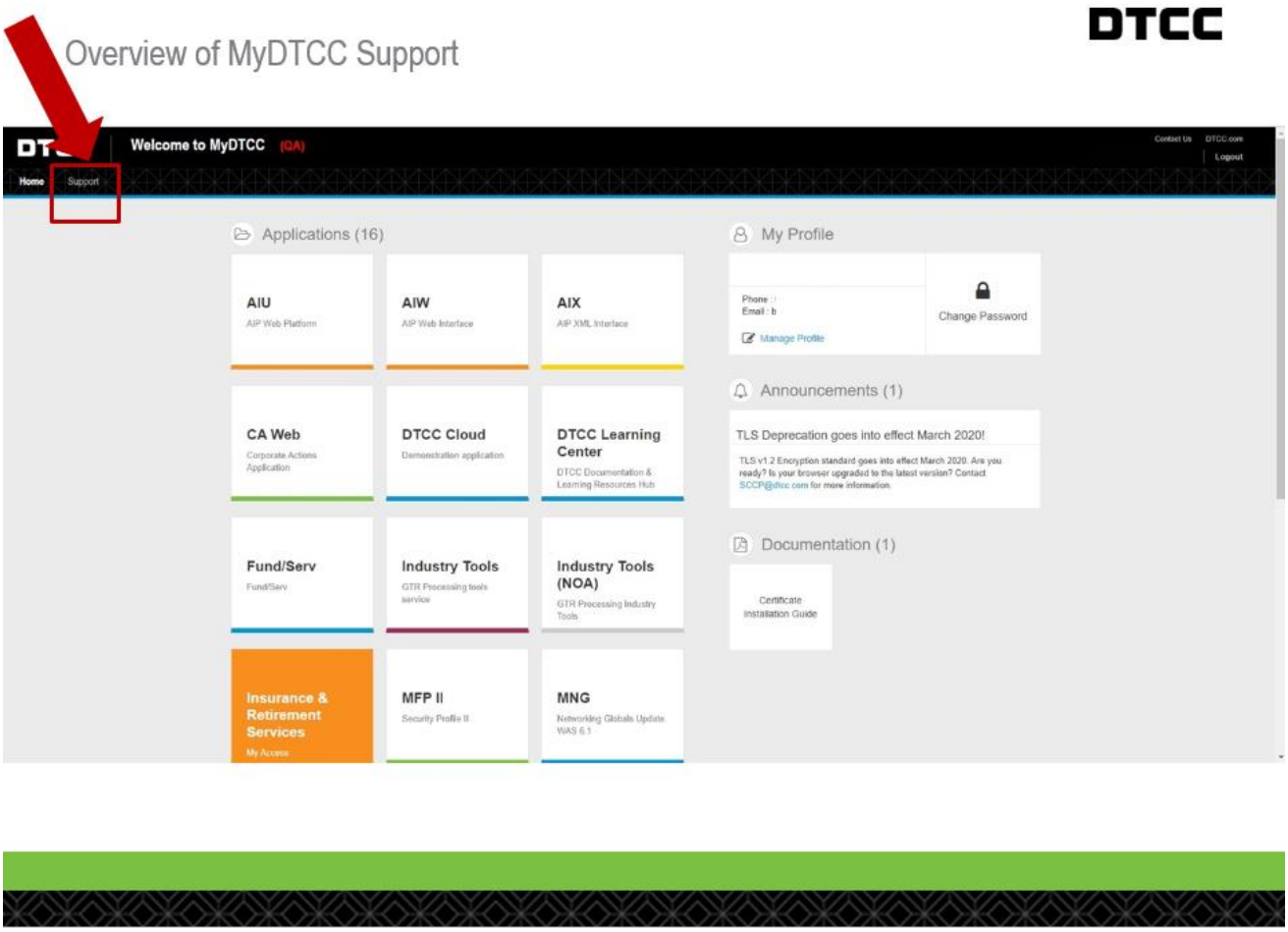
Once logged in, you are directed to the MyDTCC home page where you can access your applications. On the banner at the top left of the page, a “Support” tab has been added.



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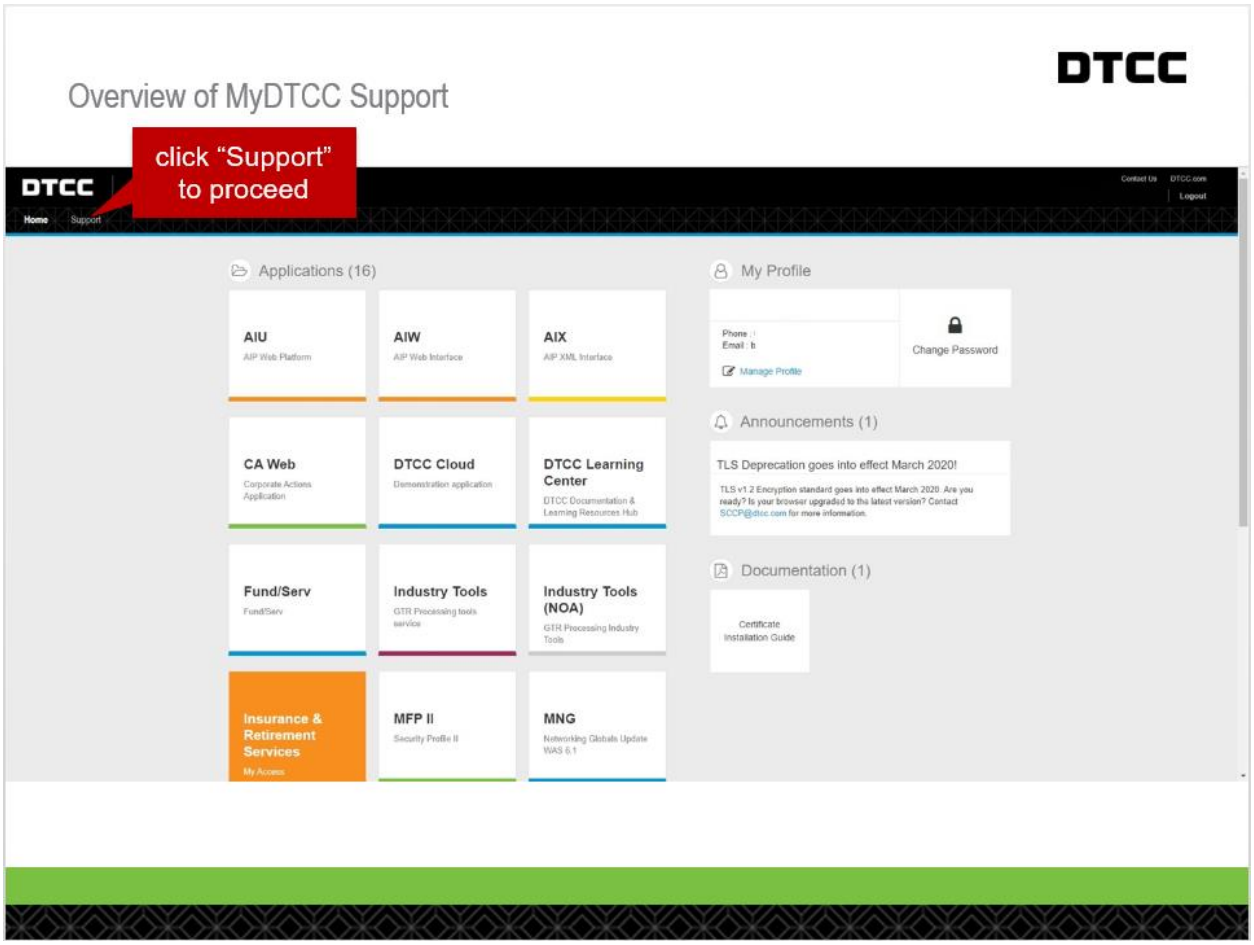
Click “Support” to go directly to Support at MyDTCC.



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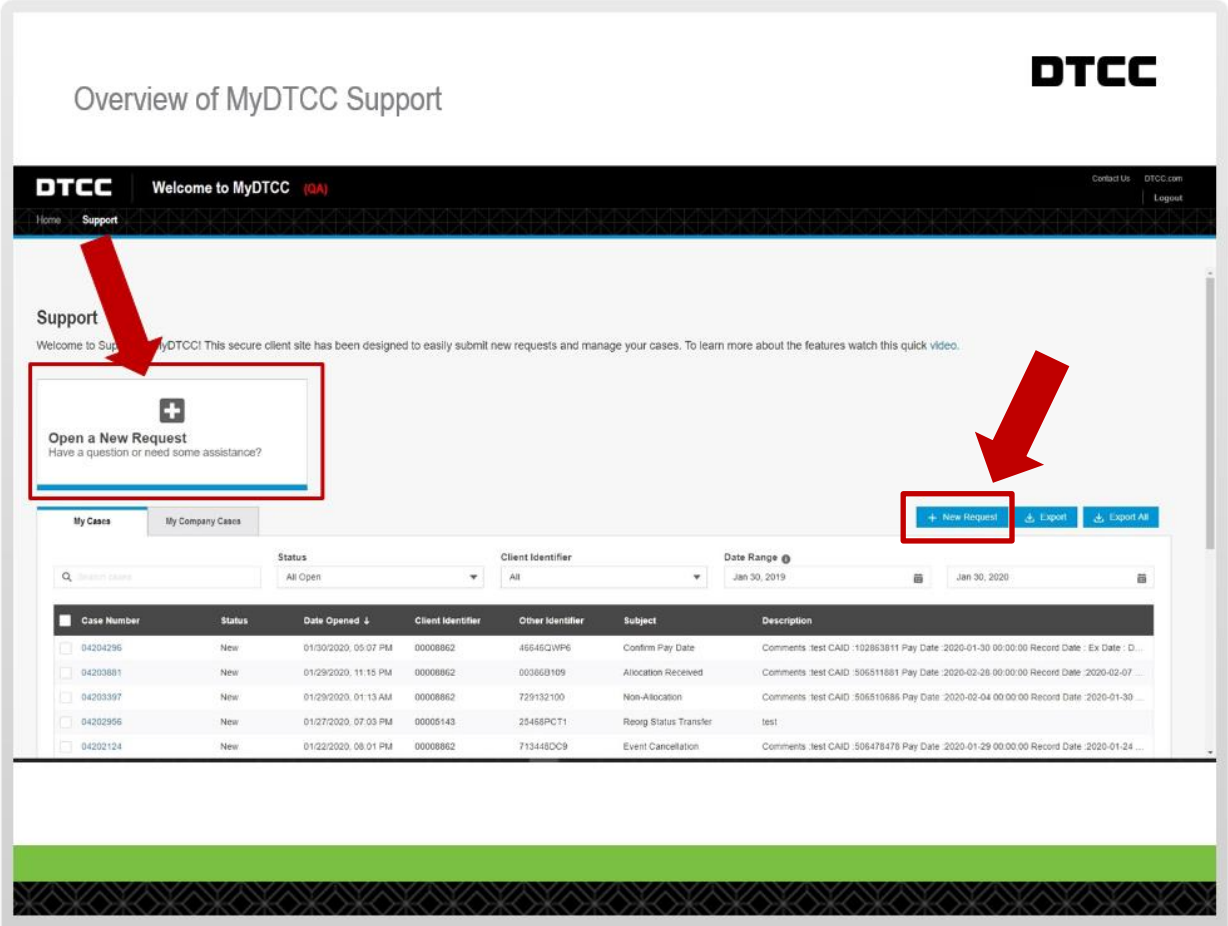
From the MyDTCC Support page, you can open a new Shareholder Demand or Dissent/Appraisal Rights request by selecting the “Open a New Request” button on the left side of the page or the “+ New Request” button on the right side of the page.



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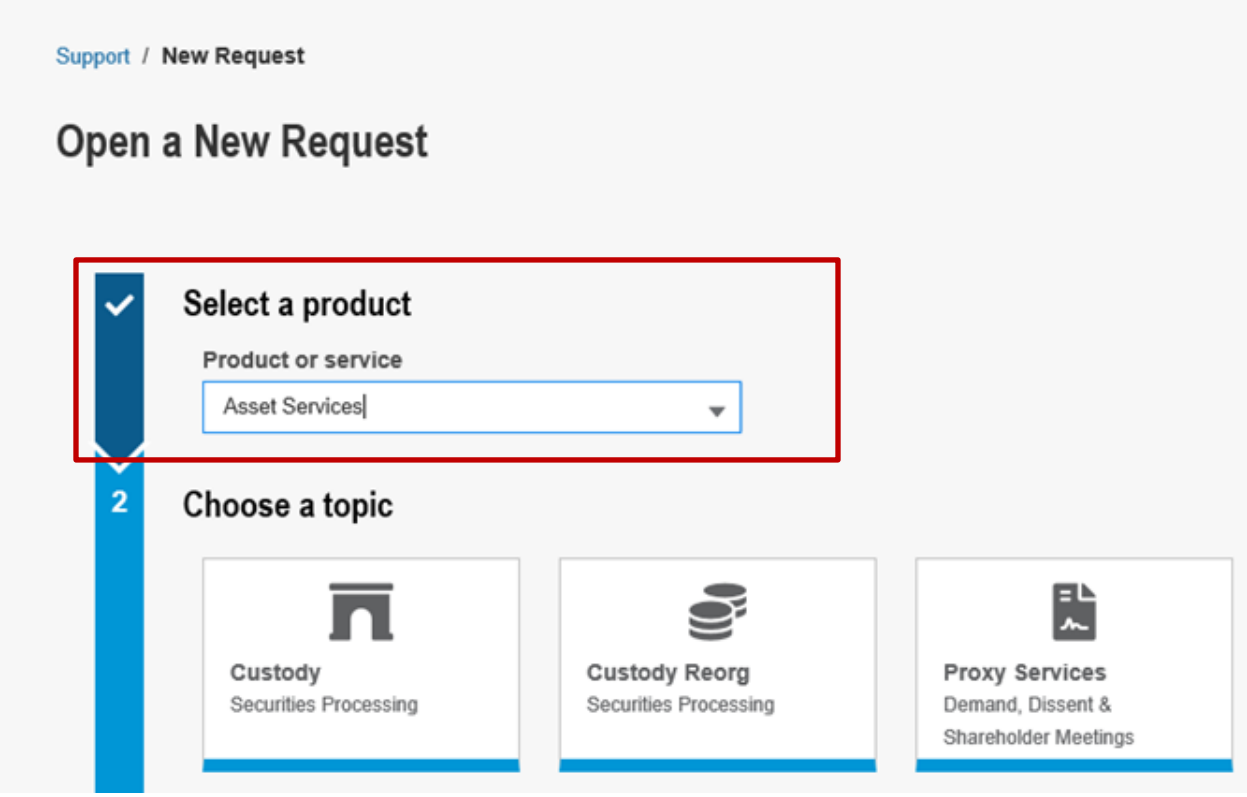
The “Open a New Request” screen will appear, and you will populate fields within four categories. First, in the “Select a product” category, select “**Asset Services”** from the Product or service dropdown list.



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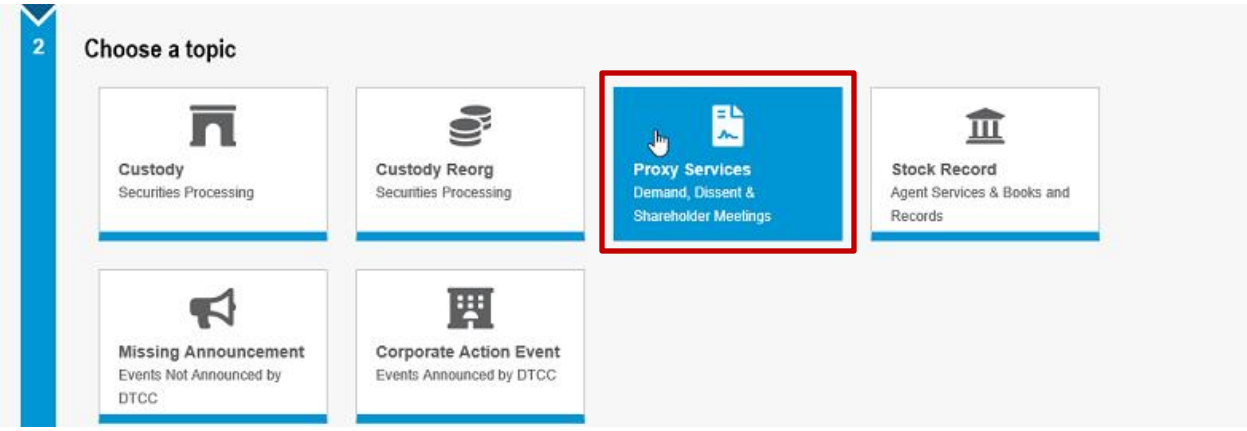
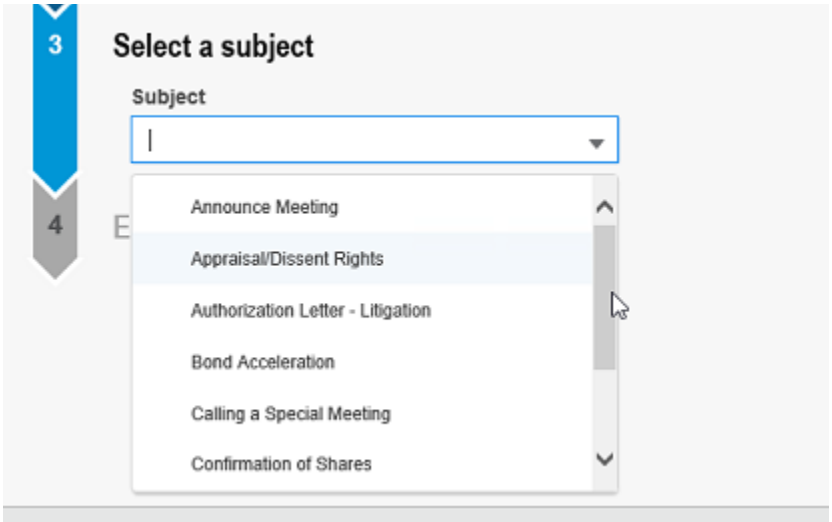
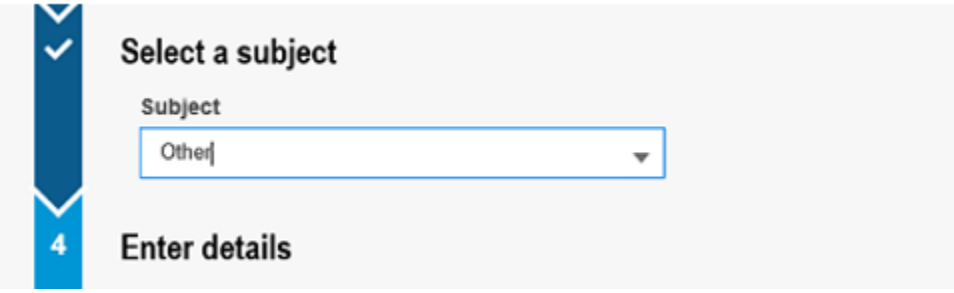
Next, in the “Choose a topic” category, select “**Proxy Services**”.



Next, in the “Select a subject” category, in the Subject dropdown list select either “Appraisal/Dissent Rights” or the specific type of Shareholder Demand applicable to your request.



If none of the subjects in the dropdown list apply to your request type, select “Other”.



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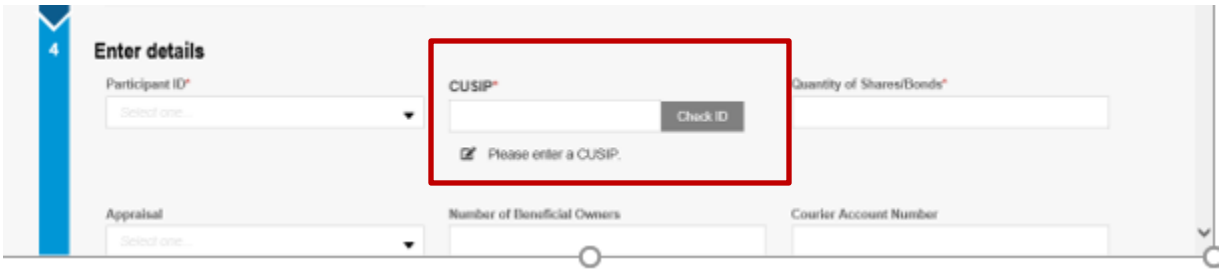
Finally, in the “Enter details” category, populate each of the listed fields. Note: the required fields are specific to the subject selected in the “Select a Subject” category (above) and will change based on your selection.

The Participant ID dropdown list is prepopulated with the participant ID(s) you are authorized to act upon.

Next, enter the CUSIP number for your request and select “Check ID”. The CUSIP is validated against DTCC’s Security Master File. Once validated, the Issuer Name appears beneath the CUSIP. Note: Shareholder Demand or Dissent/Appraisal Rights requests cannot be submitted for CUSIPs that are not DTCC eligible.



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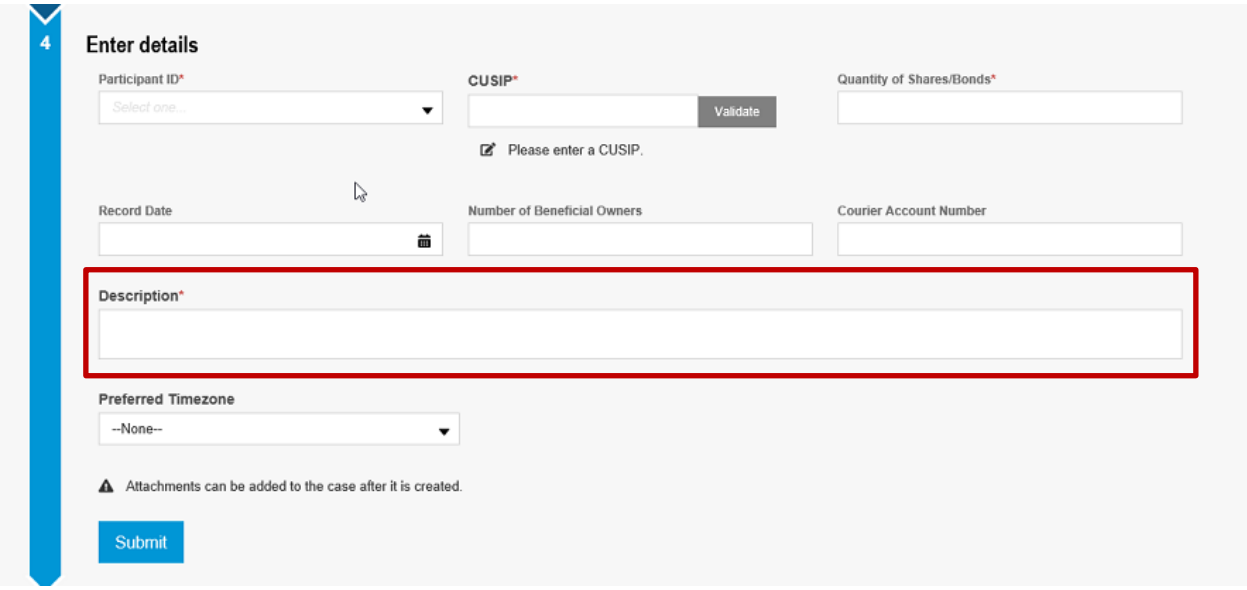
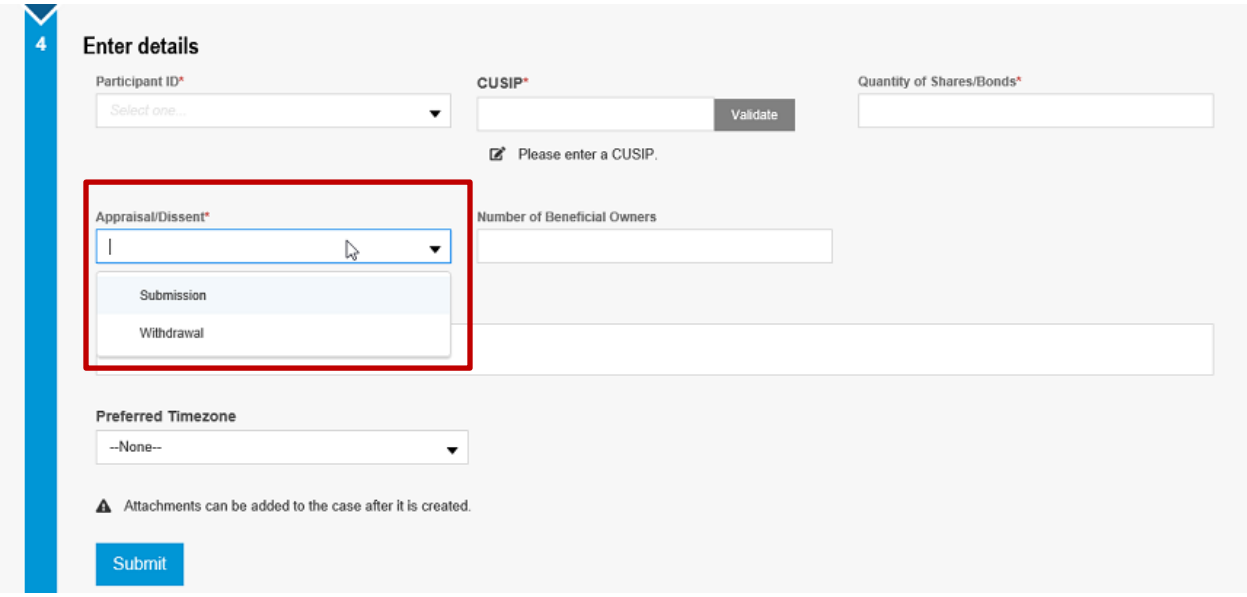
Continue to populate the fields with the details of your request. Use the “Description” field to enter any additional information you wish to include with your request.



If your request is for a withdrawal of a Dissent/Appraisal Rights previously submitted, in the “Enter details” category, select “Withdrawal” in the “Appraisal/Dissent” dropdown list. Otherwise, select “Submission” from the dropdown list.



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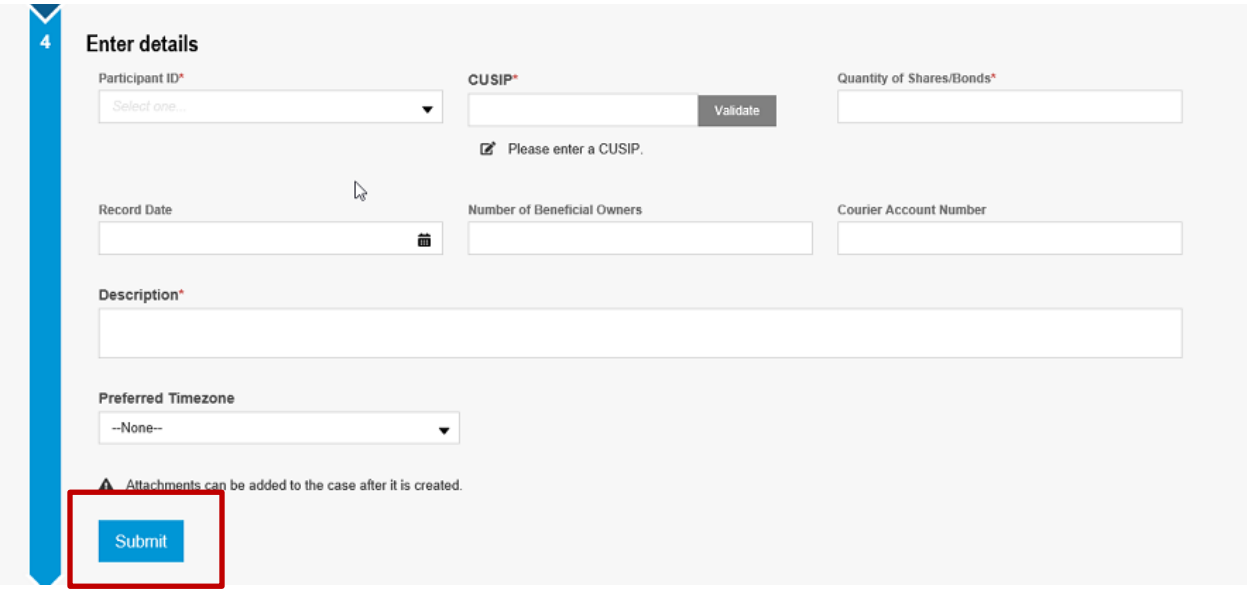
You will be able to attach your Shareholder Demand or Dissent/Appraisal Rights letters to the request once your case has been created. Templates for the letters are available at http://www.dtcc.com/settlement-and-asset-services/issuer-services/proxy-documentation.

To create your case, select “Submit”.



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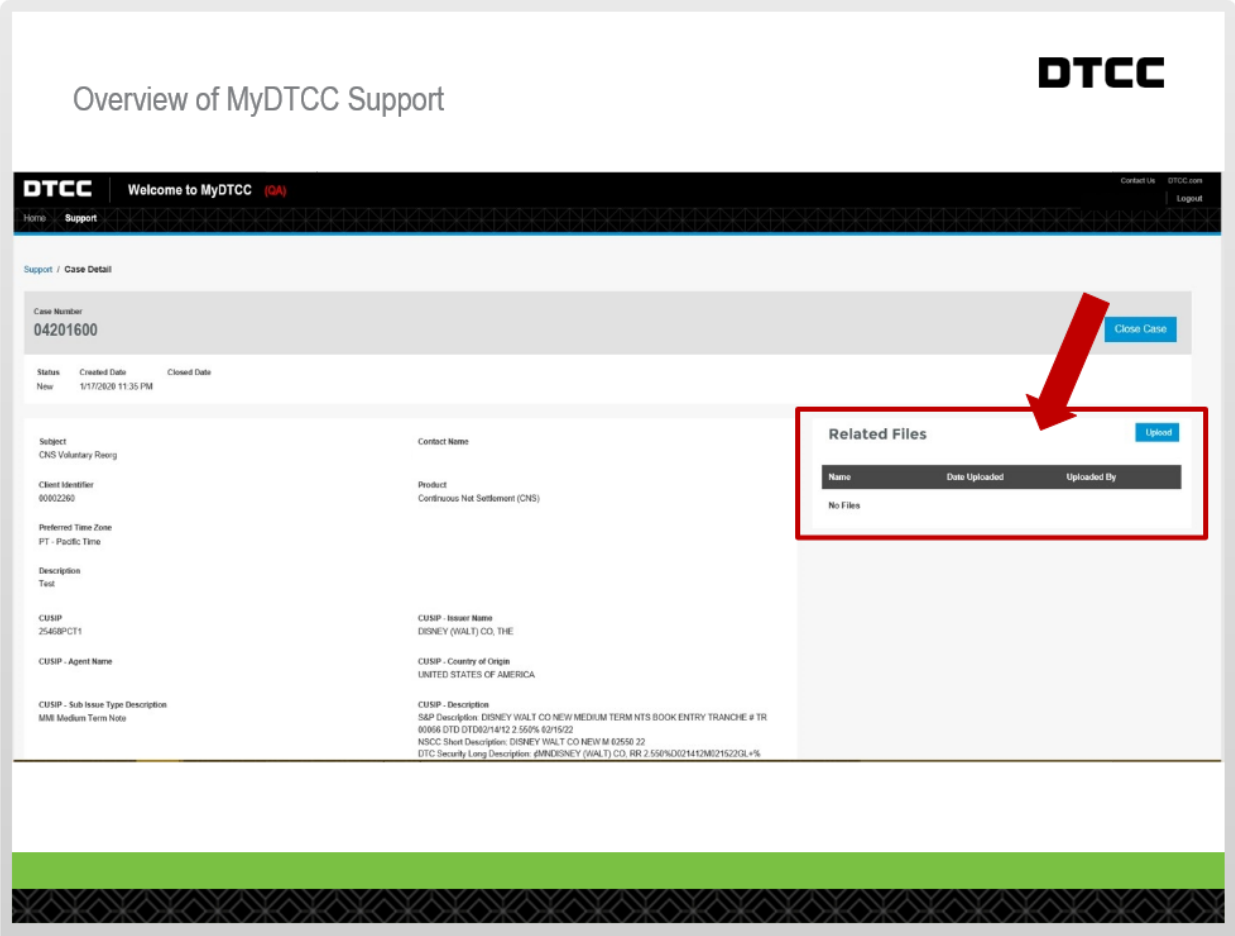
Once the request is submitted, a case is created and the unique case number is displayed. Click “Case Detail” to go to the next page to review the details. Although your case has already been created, it is important to navigate to the next page to attach the Shareholder Demand or Dissent/Appraisal Rights letters for your request. On the next page, select “Upload” to search for your file within your folders. Add your file and select “Save” and your file will be added to the case. **Please take note that files cannot be deleted once they are uploaded.** In this section, you can also see files the DTCC Support Team has added to the case. They will display in the “Related Files” section.



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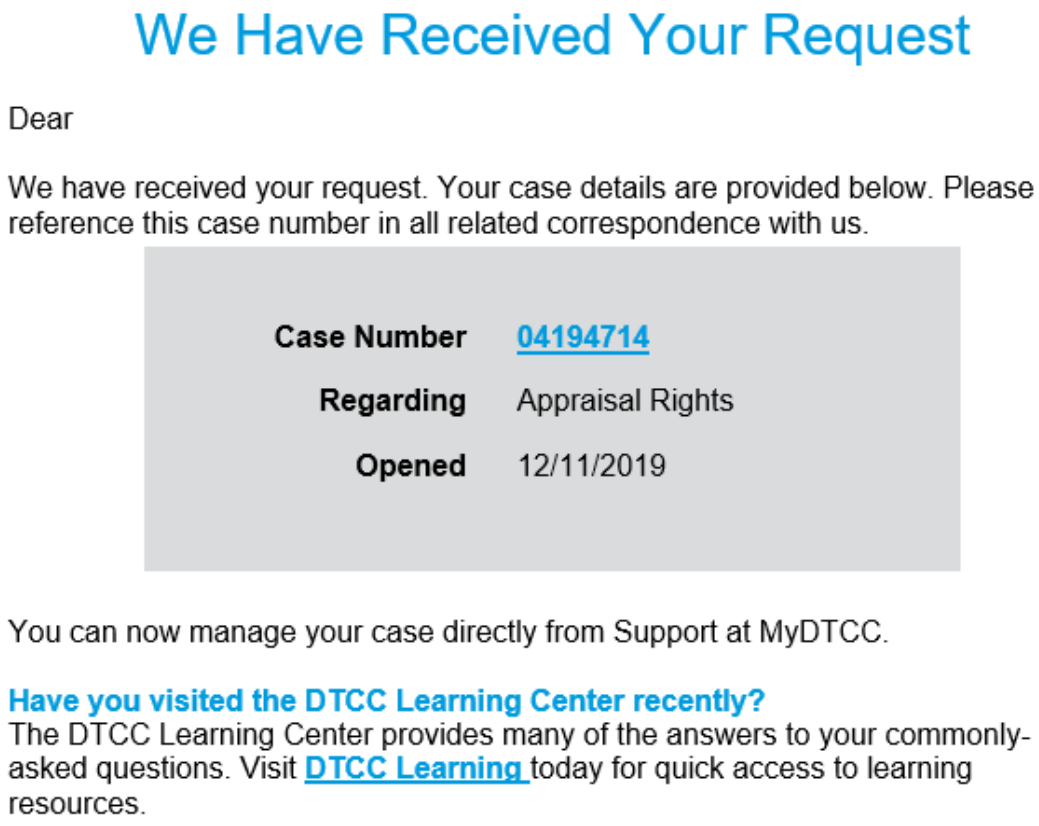
As the submitter of the case you will receive an email to your email address on file which will contain the case details.



We Have Received Your Request

Dear

We have received your request. Your case details are provided below. Please reference this case number in all related correspondence with us.

Case Number	04194714
Regarding	Appraisal Rights
Opened	12/11/2019

You can now manage your case directly from Support at MyDTCC.

Have you visited the DTCC Learning Center recently?
The DTCC Learning Center provides many of the answers to your commonly-asked questions. Visit DTCC Learning today for quick access to learning resources.

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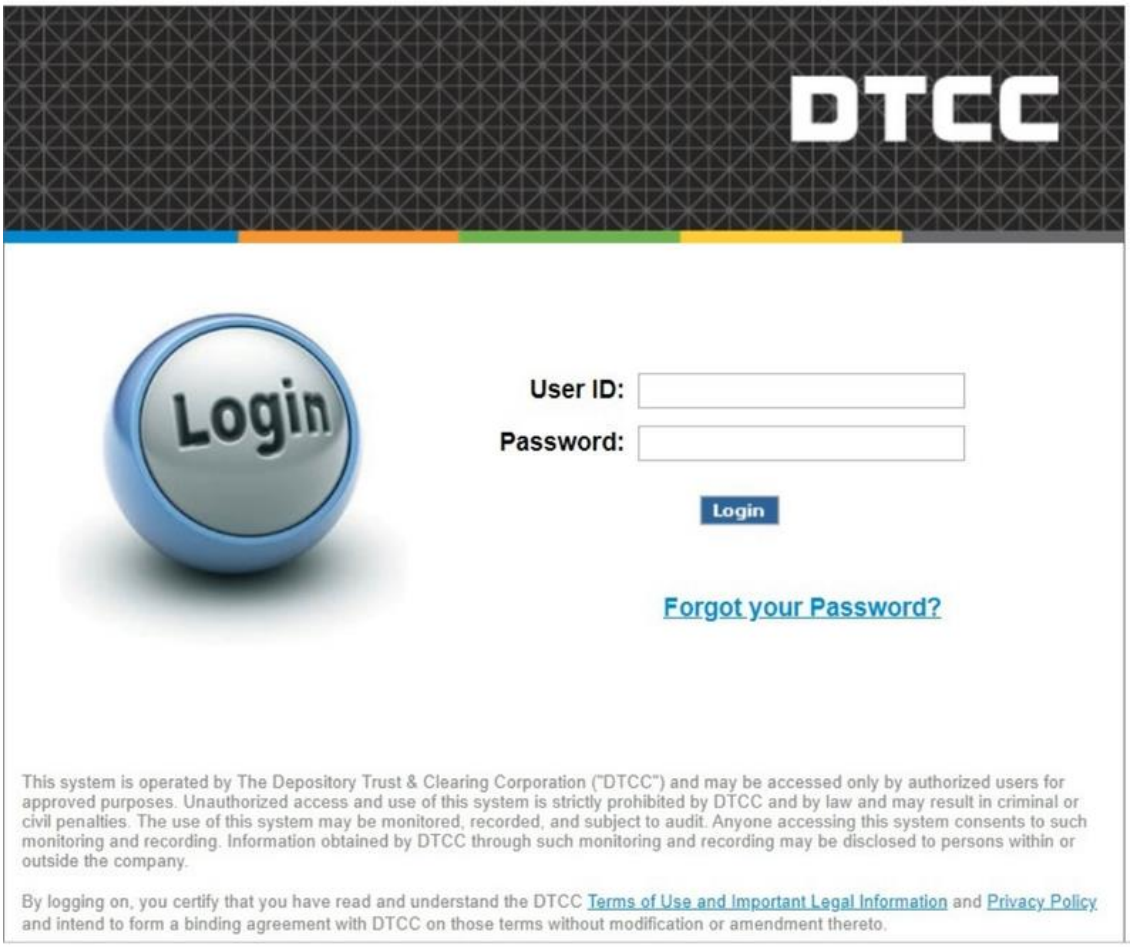
2.2 CA WEB

To submit a Dissent/Appraisal Rights request on a currently announced Corporate Action event, log into the MyDTCC portal (https://portal.dtcc.com/) using your current credentials. If you need access provisioned to the MyDTCC portal, please contact your Super Access Coordinator. If you do not have your Super Access Coordinator's contact information, please email Entitlements@dtcc.com.



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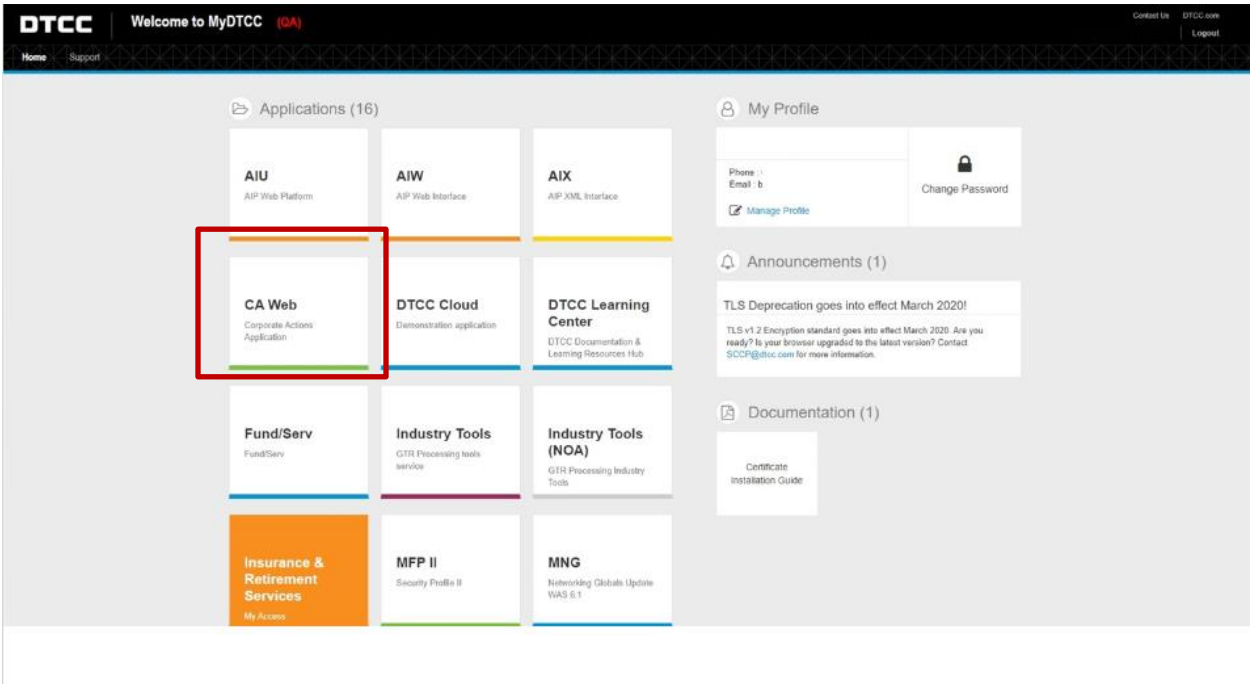
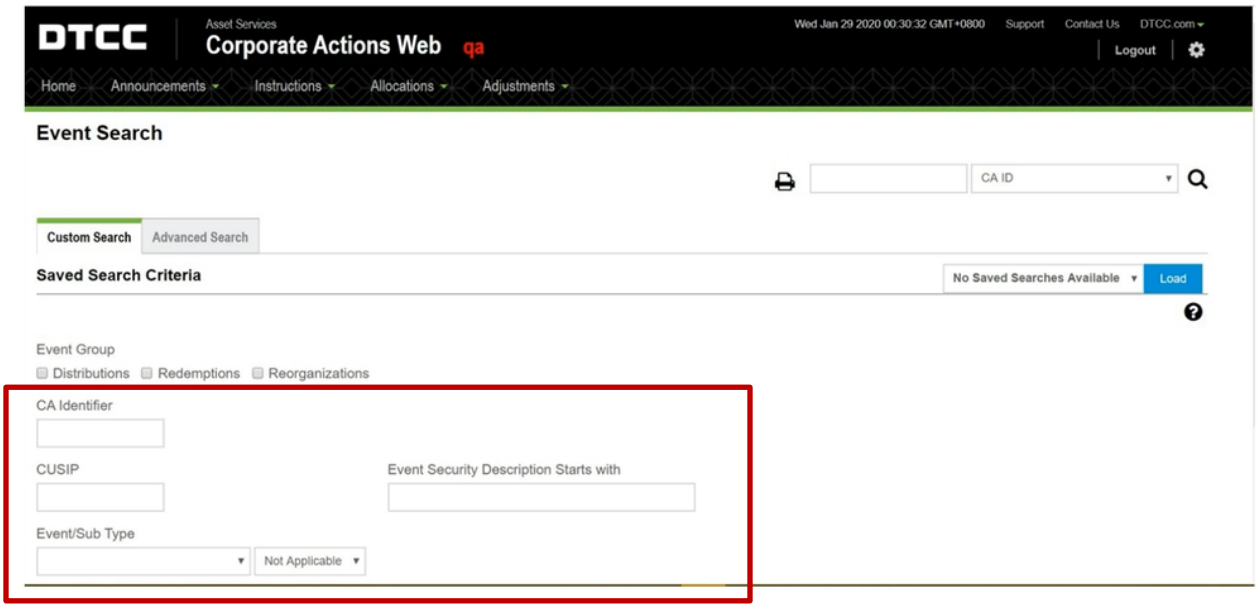
Once logged in, you are directed to the MyDTCC home page where you can access your applications. Select the “CA Web” tile.



From the CA Web main page, use the “Event Search” feature to enter the CA Web Event Identifier, CUSIP, Security Description and/or Event/Sub Type for the event you would like to submit a Dissent/Appraisal Rights request.



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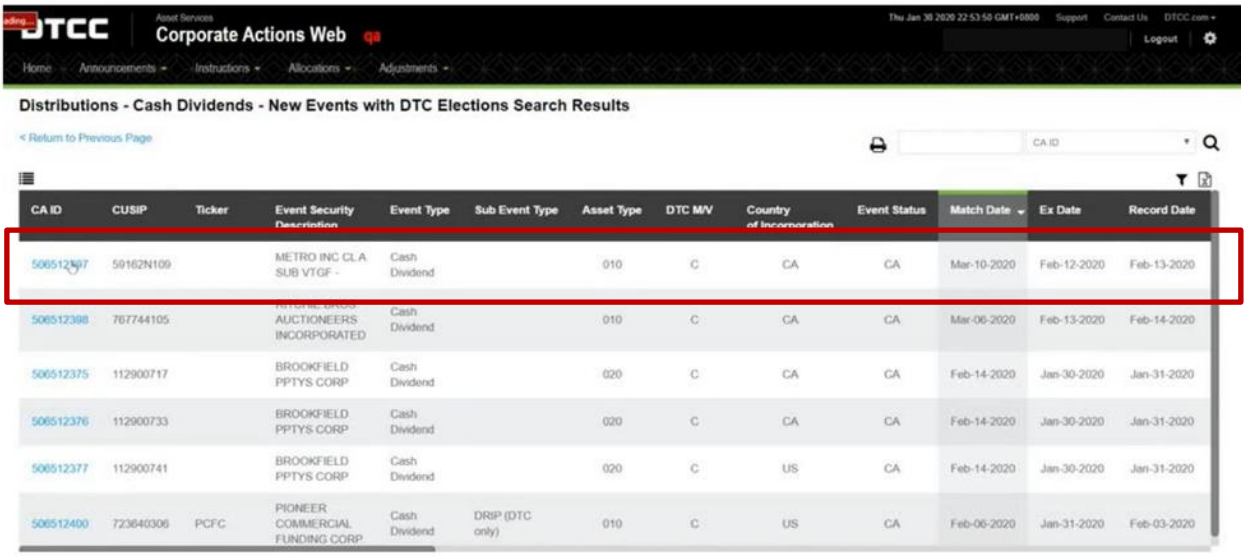
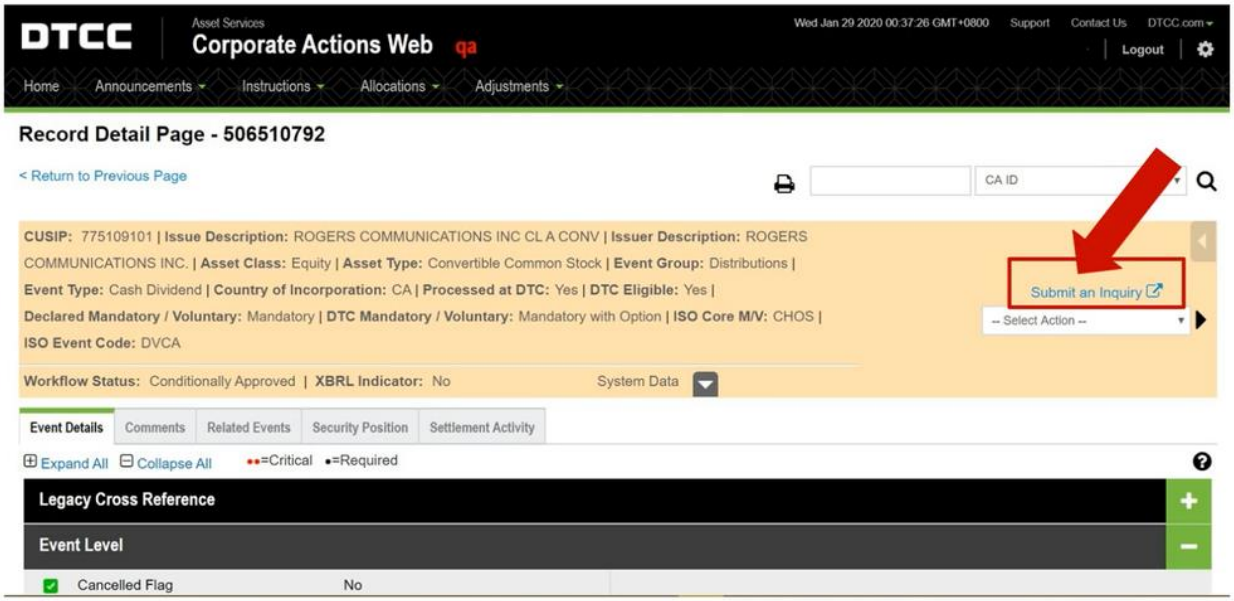
Find and select your event from the Search Results page.



From the Record Detail Page, select the “Submit an Inquiry” option, which is located on the right side of the screen.



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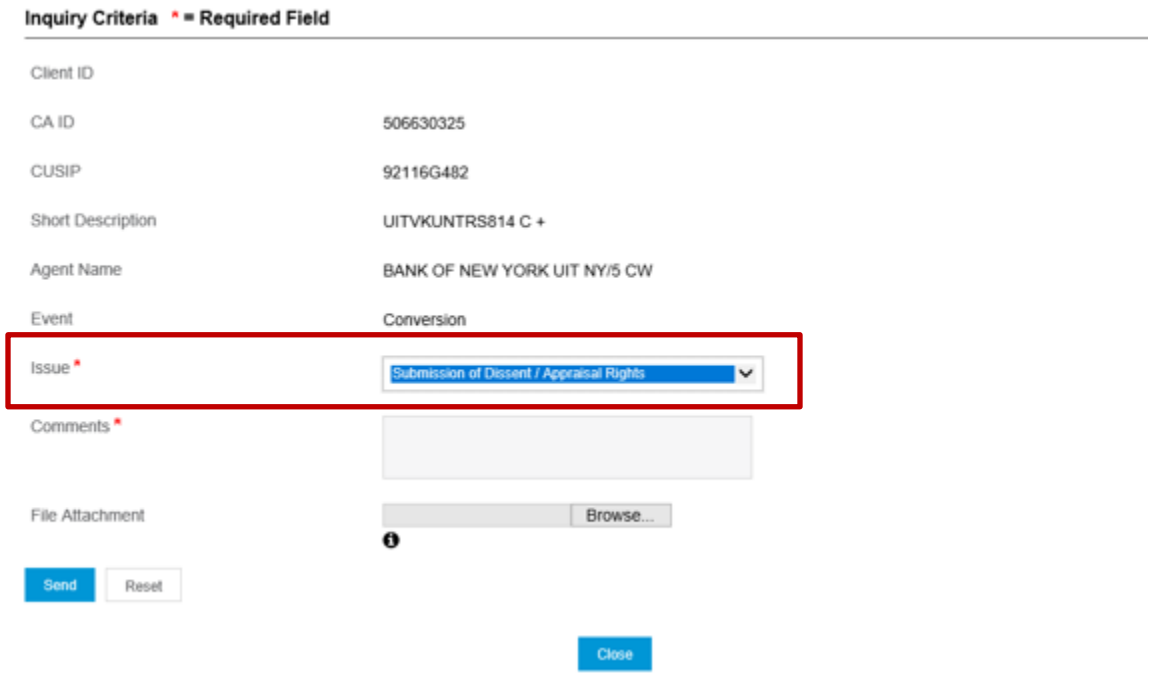
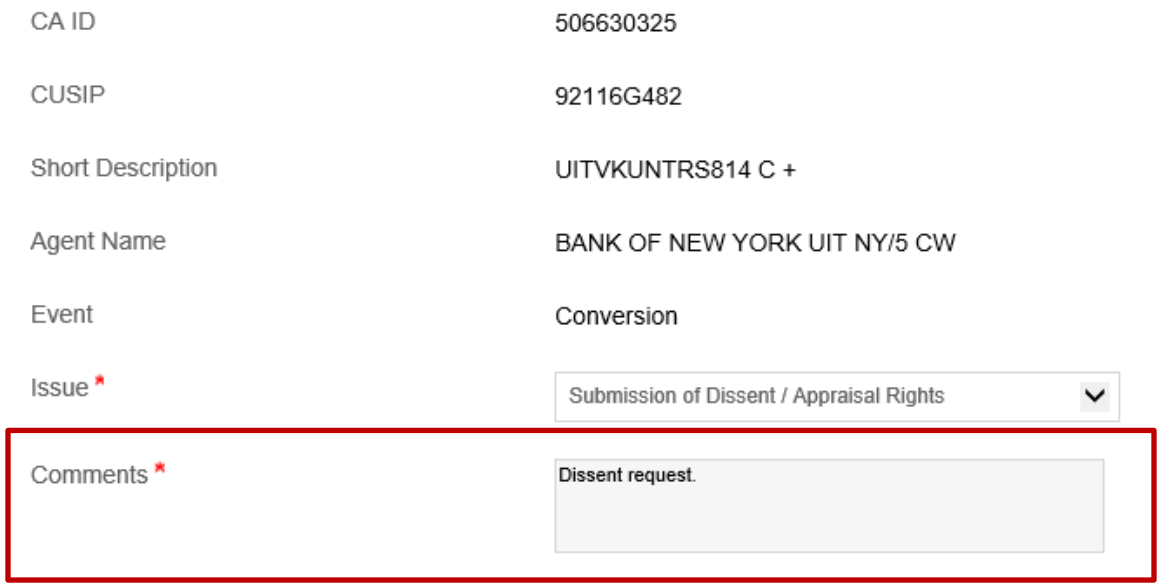
Upon clicking the link, you are directed to the “Open a New Request” window. Important information such as your Client ID, CA ID, CUSIP, Short Description, Agent Name, and Event Type are prepopulated based on the Corporate Action event selected in the previous steps.

To begin, select “Submission of Dissent/Appraisal Rights” from the Issue dropdown list.



In the “Comments” field, enter any additional information you wish to include with your request.



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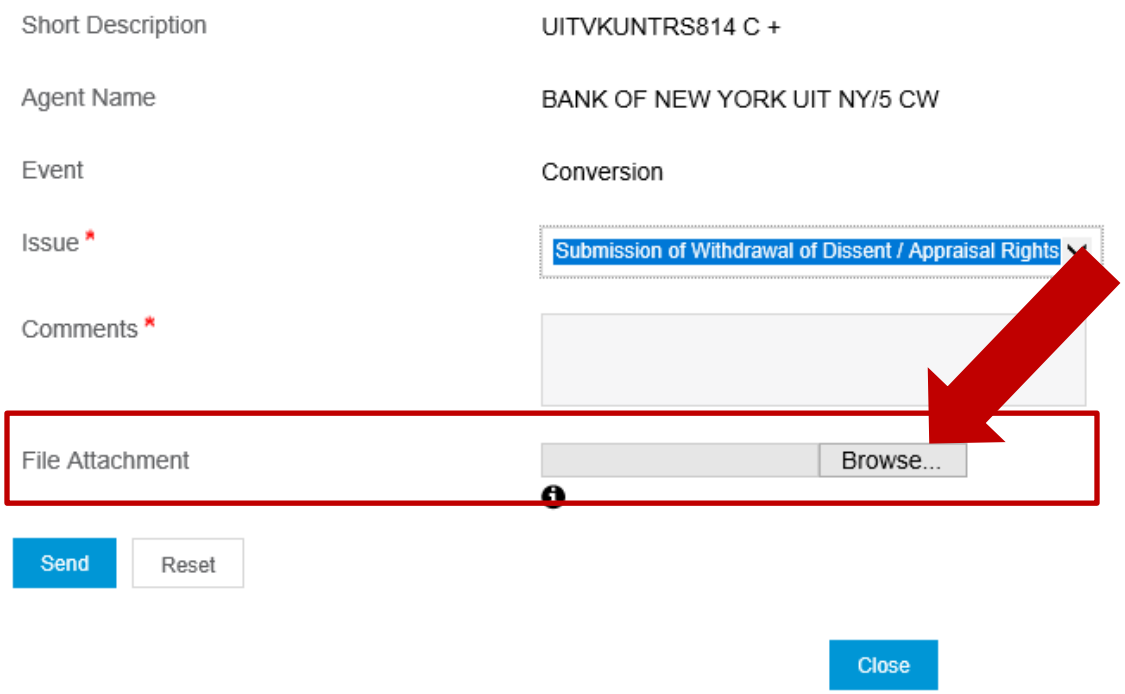
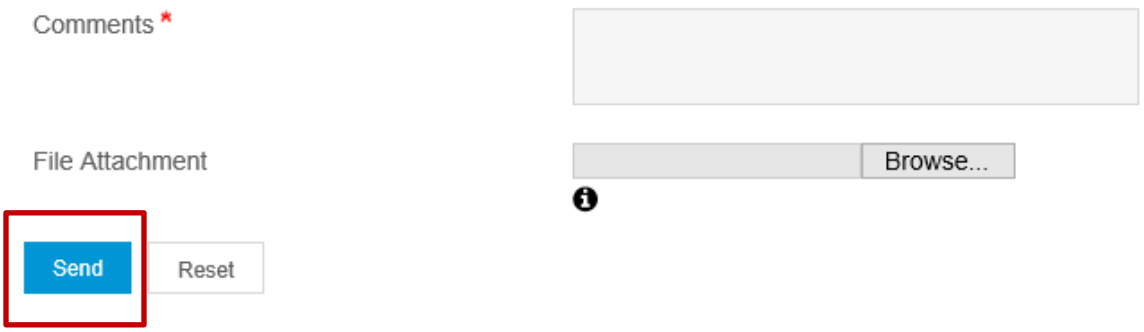
Select the “Browse” button within the File Attachment field to attach the Dissent/Appraisal Rights letters to your request. Templates for the letters are available at http://www.dtcc.com/settlement-and-asset-services/issuer-services/proxy-documentation. **Please take note that files cannot be deleted once they are uploaded**.



Once all mandatory fields have been populated and your file has been attached, submit your request by clicking “Send”.



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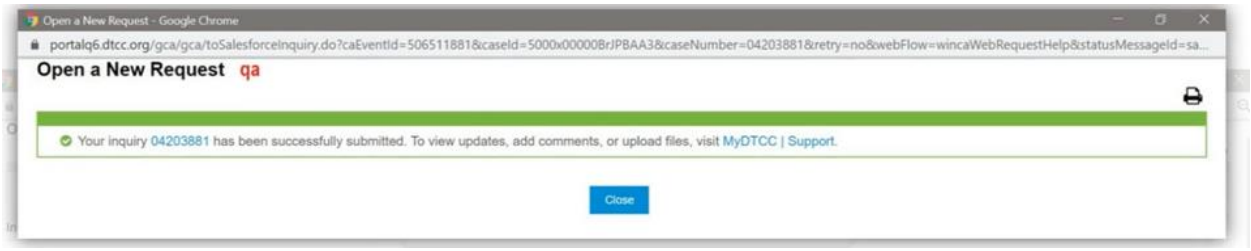
Click “OK” when prompted to confirm your submission.

Once submitted, a confirmation message appears which contains a unique case number for your request.



An email confirmation will be sent to your email address on file which will also contain the case number. The status of all cases can be viewed within the MyDTCC platform. Steps to review the status of your cases is outlined in the “Status” section of this User Guide.

We Have Received Your Request

Dear

We have received your request. Your case details are provided below. Please reference this case number in all related correspondence with us.

Case Number	04194714
Regarding	Appraisal Rights
Opened	12/11/2019

You can now manage your case directly from Support at MyDTCC.

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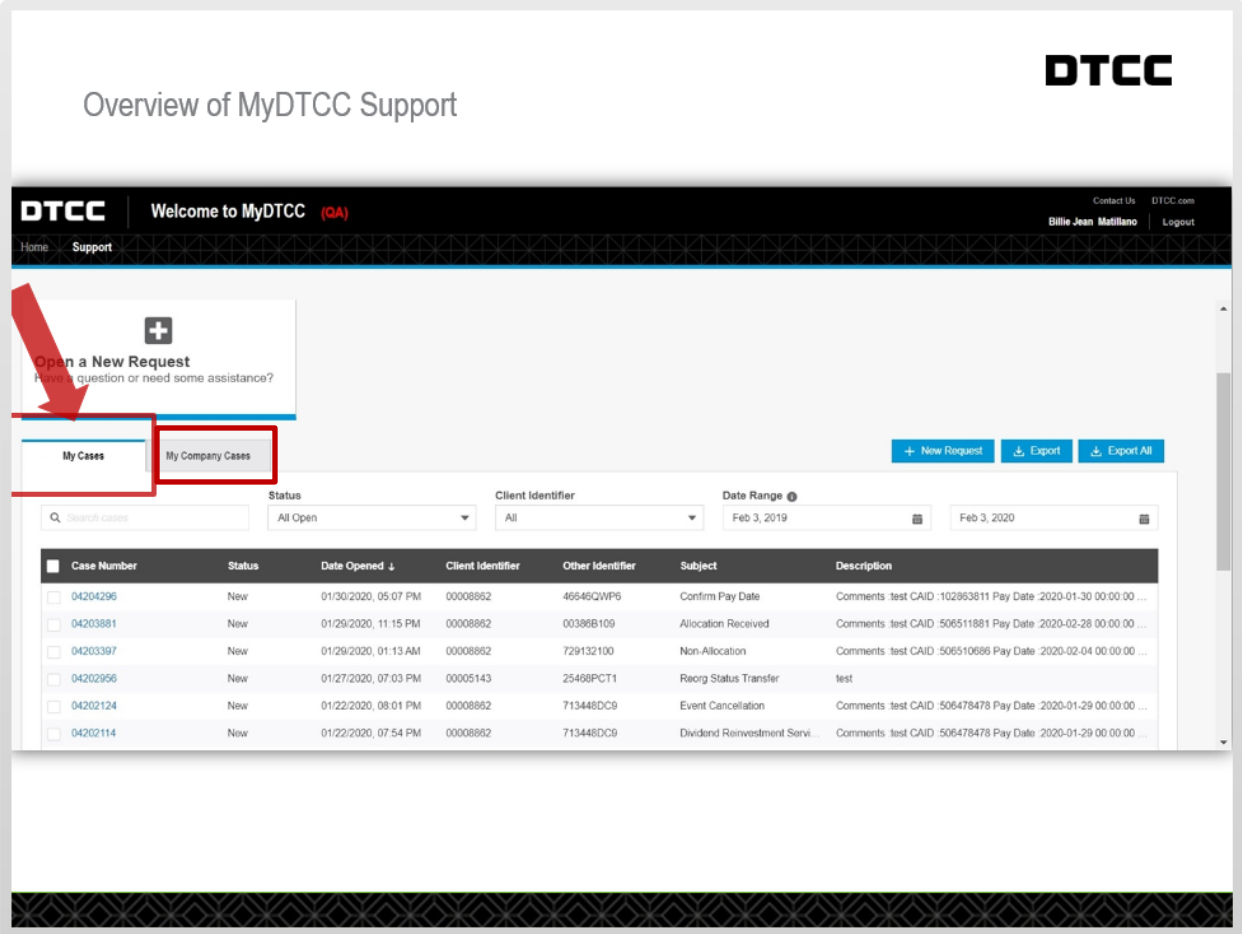
SECTION 3 MONITORING SHAREHOLDER DEMAND OR DISSENT/APPRAISAL RIGHTS REQUESTS

3.1 STATUS

From the MyDTCC main page, your open cases can be viewed within the “My Cases” Tab. This will allow you to see the status of each ticket you have submitted. You can also view all cases opened by your company in the “My Company Cases” tab.



3.2 VIEWING A NEW RESPONSE

When an update to your case has been added by a DTCC Support Team Member, you will receive an email to your email address on file to notify you that an update is available in your case. The response can be viewed within the MyDTCC case by selecting the Case Number and navigating down in the case to review the comments added.

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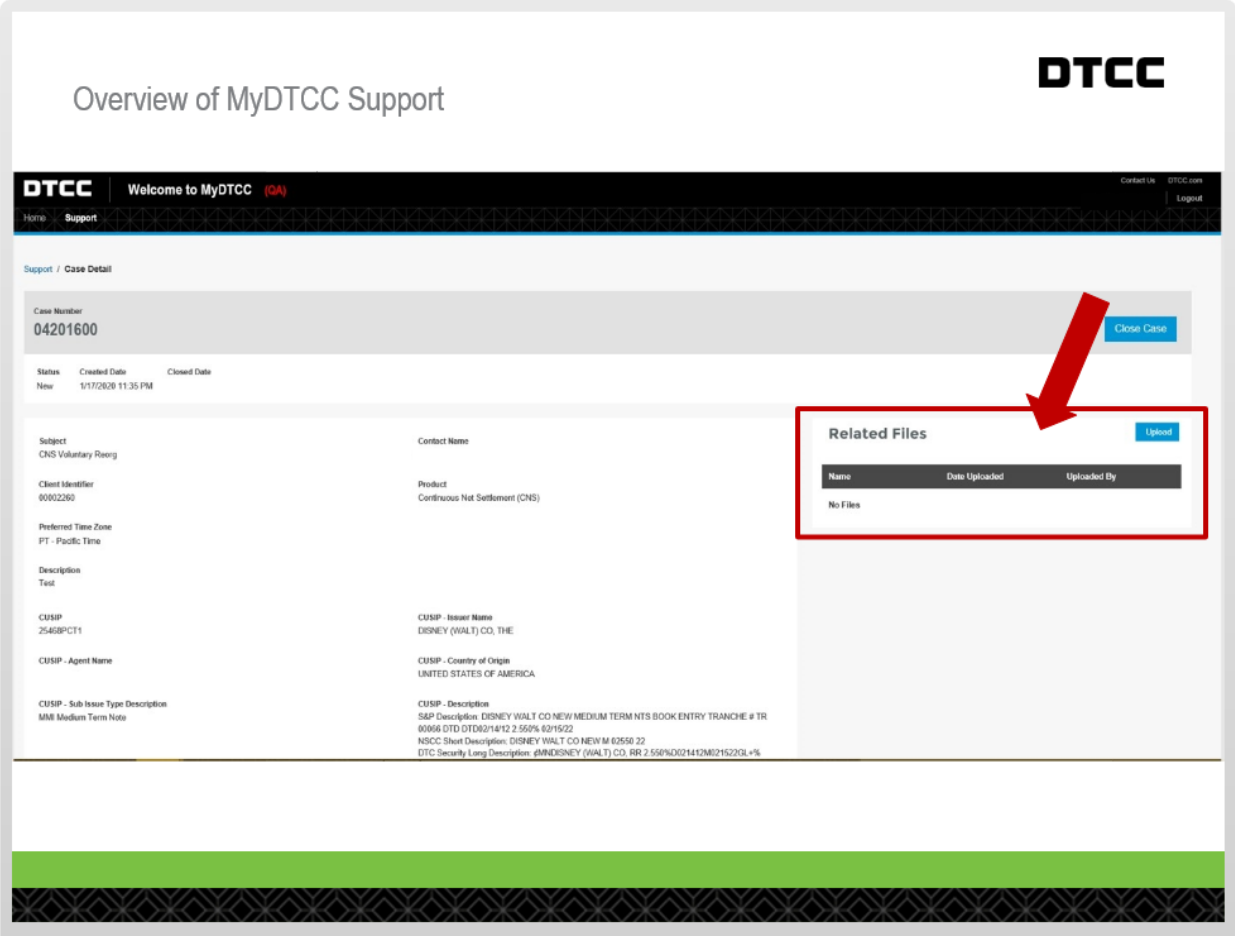
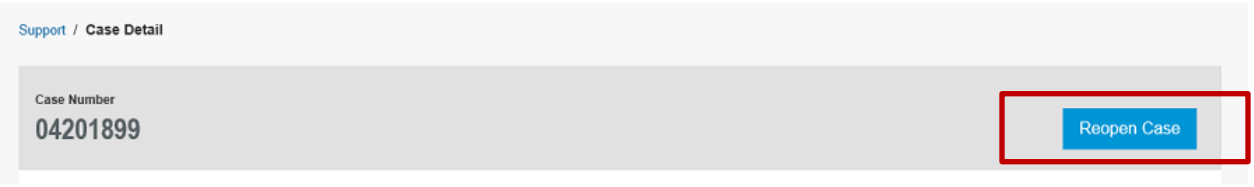
3.3 VIEWING ATTACHMENTS

When a DTCC Support Team Member has added a file to your case, it can be viewed within the “Related Files” section within the case. Once a case is open, you can add attachments as needed by selecting the “Upload” button.



3.4 REOPENING A SHAREHOLDER DEMAND INQUIRY

Following the closure of a case by the DTCC Suport Team, if you need to reopen your case, navigate to your case from the MyDTCC “My Cases” tab and within the case, select “Reopen Case”.



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SECTION 4 GENERAL INFORMATION

4.1 CONTACT INFORMATION

General questions concerning Shareholder Demand or Dissent/Appraisal Rights requests can be sent to demandanddissent@dtcc.com. Urgent questions should be directed to DTC's Asset Services and Billing Support team.

Call: 888-382-2721

→ Select prompt #4 (Proxy)

→ Select prompt #5 (Demand & Dissent Letters)

4.2 SHAREHOLDER DEMANDS REQUIREMENTS AND TEMPLATE

Additional information pertaining to DTC's Proxy Services including templates of the various Shareholder Demand and Dissent/Appraisal Rights letters is available at:

http://www.dtcc.com/settlement-and-asset-services/issuer-services/proxy-services

http://www.dtcc.com/settlement-and-asset-services/issuer-services/proxy-documentation

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