



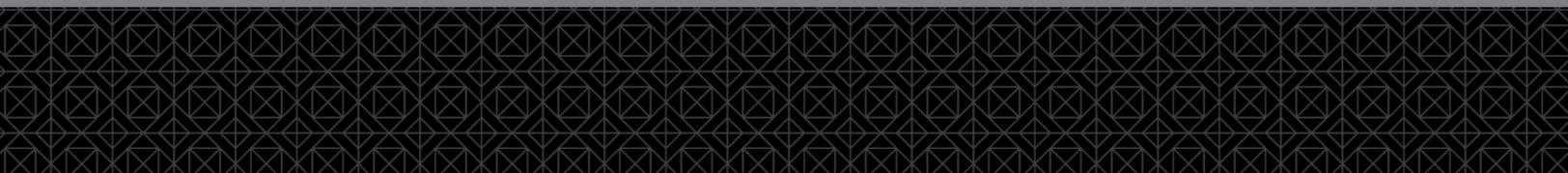
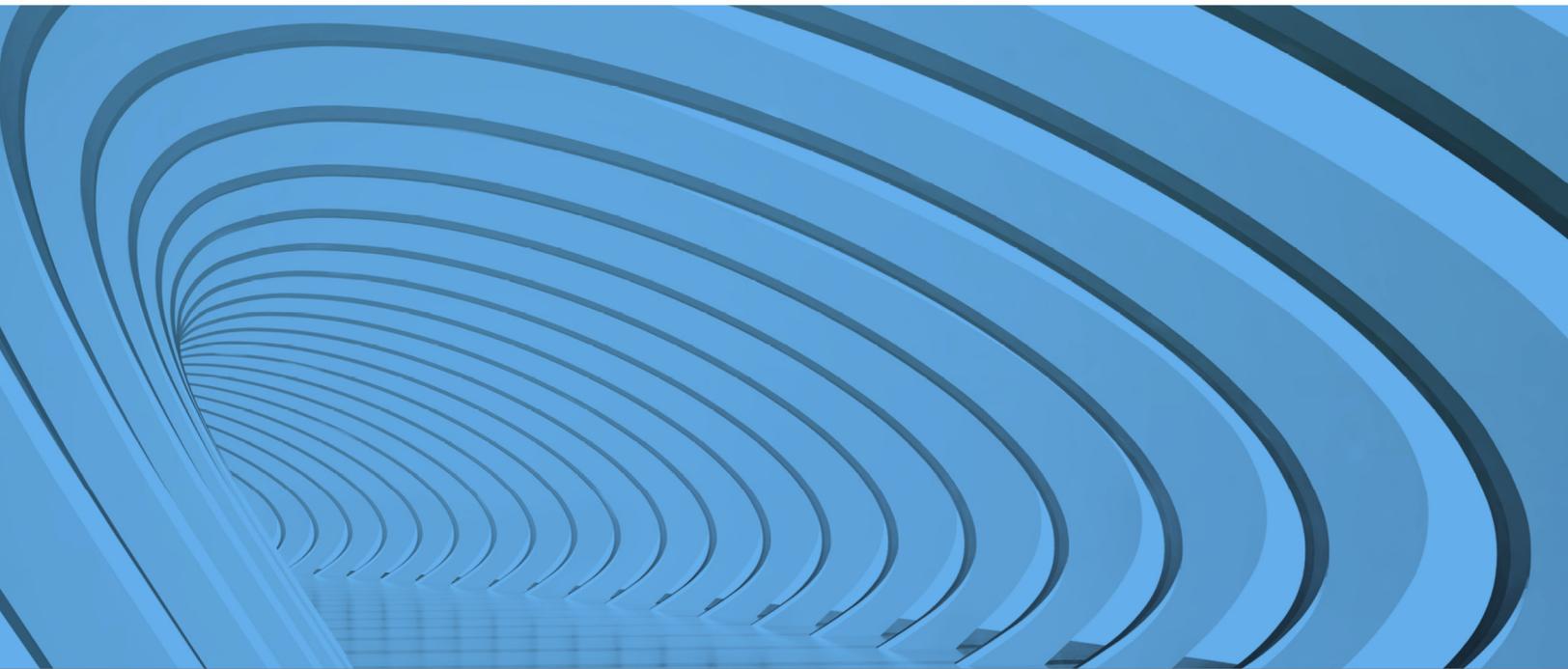
Securing Today. Shaping Tomorrow.®

CA 20022 SERVICE

A DTCC DATA SERVICES OFFERING

EVENT TYPES

WEDNESDAY, APRIL 17, 2019



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Service: CA 20022 Service

Title: Event Types

CORPORATE ACTIONS BY EVENT TYPE

Event Code	Event Type	Event Type Name	Event Description	2018 - # of Unique CA IDs
INTR	Interest	Interest Payment	The payment of an obligation that the issuer agrees to make to holders of an interest-bearing security. The payment is usually, the payment is made in cash and on a scheduled basis.	3,815,544
PRED	Principal Payment	Partial Redemption Without Nominal Value Reduction	A cash payment that represents a reduction of the principal in the security.	1,406,667
REDM	Maturity	Final Maturity	The final repayment, usually in cash, by an issuer for the entire issue; or the remaining outstanding securities of a specific security on a specified date.	379,555
DVCA	Cash Dividend	Cash Dividend	A distribution of cash to shareholders, paid by the issuer, usually based upon current earnings and/or accumulated profits as declared by the board of directors. There are separate events for Dividends with Options and Stock Dividends.	85,047
DRIP	Income Distribution/UIT	Dividend Reinvestment	A mandatory event for which the dividend payment is paid only in additional shares of the same security. This event type will predominantly be used for US securities and differs from the Dividend Reinvestment option (a voluntary portion of the event that applies to non-US securities). DRIP also appears as an option under relevant events (for example, Cash Dividend).	62,246

Event Code	Event Type	Event Type Name	Event Description	2018 - # of Unique CA IDs
DRAW	Partial Call Redemption	Drawing	Securities are redeemed by the issuer for cash, in part, before their scheduled maturity date. The outstanding amount of securities will be proportionally reduced based on a specific percentage of holding. A lottery may be run where pooled securities are held.	45,329
MCAL	Full Call	Full Call	The security is redeemed for cash in its entirety on a date that is prior to the maturity date, and for which the holders receive the principal amount of the security.	36,962
PDEF	Partial Call Redemption	Prefunding	Similar to a Full Prerefunding, a partial prerefunding is the exercise of a privilege by the issuer to repay, in part, any debt security prior to maturity when the issuer deposits assets in trust. This irrevocably restricts their use to satisfaction of the debt. New securities are issued for the portion prerefunded.	33,249
CAPI	Principal Payment	Capitalisation	A cash payment that represents a reduction of the principal in the security.	30,252
EXOF	Exchange - Voluntary	Exchange	An offer to surrender securities in exchange for other securities or a combination of securities and cash. The exchange may also include a consent solicitation.	10,536
GMET		Annual General Meeting (Proxy Message)	A meeting of a company's share or bond holders to address resolutions put forth by the issuer.	10,405
BPUT	Put - Mandatory	Put Redemption	A feature of a bond that entitles the holder to elect to surrender the bond for cash during a predetermined time period, with a predetermined payable date.	8,579

Event Code	Event Type	Event Type Name	Event Description	2018 - # of Unique CA IDs
OTHR	Special Dividend	Other Event	A cash payment to shareholders that represents an extra or non-regular payment. There are separate events for Cash Dividends, Dividends with Options, and Stock Dividends.	4,955
EXWA	Warrants Exercise	Warrant Exercise	A feature of a security that permits the holder to exercise an option to exchange the security into another form (usually, warrants into shares). The exercise will commonly require a payment based upon a pre-determined value and time.	2,696
LIQU	Liquidation	Liquidation Dividend	A company reports its intentions to dismantle its business, paying off debts in order of priority and distributing the remaining assets in cash and/or securities to the owners of the securities. The payment of proceeds may require the presentation of securities.	1,862
CONS	Consent	Consent	Solicitation to security holders for their agreement (consent) to proposed changes in the terms of the security, usually without a formal general meeting. A fee may be paid to the security holder.	1,571
CHAN	Name Change	Change	The issuer changes its name or the name of its security/securities. This change may involve surrendering physical securities. A new security identifier may be assigned to the new name, especially if new securities are issued.	1,211
SOFF	Spinoff - Mandatory	Spin-Off	A distribution of subsidiary securities to the shareholders of the parent company without a surrender of securities or payment. A spin-off represents a form of divestiture resulting in an independent company.	991

Event Code	Event Type	Event Type Name	Event Description	2018 - # of Unique CA IDs
BIDS	Tender Offer	Tender Repurchase Offer	An offer made to security holders, normally by a third party, requesting them to sell (tender) their securities for a specified price (usually at a premium over prevailing market prices). Generally, the objective of a tender offer is to take control of the target company.	955
SPLR	Reverse Stock Split	Reverse Stock Split	The exchange of a company's security for the same company's new security at a preset rate. This corporate action reduces the number of shares outstanding.	928
CONV	Conversion - Mandatory	Conversion	Conversion of securities (generally convertible bonds or preferred shares) into another form of securities (usually common shares) at a pre-stated price or rate.	921
SPCL		Special Meeting (Proxy Message)		847
MRGR	Merger - Mandatory	Merger	The exchange of one company's security for another company's security, cash, or a combination of cash and securities.	831
CAPG	Cash Dividend	Capital Gains Distribution	A distribution of cash that the issuer has determined will be declared as income financed from capital gains and not as ordinary income.	575
WRTH		Worthless	DTCC advising its participants that their positions in that security will be taken down. The announcement is created when DTC receives a formal letter advising that securities held are worthless.	510
BRUP	Bankruptcy	Bankruptcy		498

Event Code	Event Type	Event Type Name	Event Description	2018 - # of Unique CA IDs
TEND	Tender Offer	Tender	An offer made to security holders, normally by a third party, requesting them to sell (tender) their securities for a specified price (usually at a premium over prevailing market prices). Generally, the objective of a tender offer is to take control of the target company.	482
PINK	Payment in Kind	Payment in Kind	Income on interest-bearing securities, where the payment is made in additional securities rather than cash.	420
TREC		Tax Reclaim		341
DFLT	Default	Bond Default	A notice of failure by the issuer to honor commitments made within the terms of the issued security. It usually relates to making timely payments of interest and principal as they come due. A payment may be made in lieu of re-instituting the original payments.	301
DVSE		Stock Dividend	A dividend paid to shareholders in the form of shares of stock in either the issuing company or in another company. There are separate events for Cash Dividends, Dividends with Options, and Special Dividends.	183
SPLF	Stock Split	Stock Split	The increase in a company's number of outstanding shares of stock without any change in the shareholder's equity or the aggregate market value at the time of the split. The share price is normally reduced. Forward split events are included here.	166
TNDP	Tax Event	Tax Event	Tax Event announcements are information-only announcements. They are regarding taxable events that may give rise to information and/or withholding obligations which occur even in the absence of an actual distribution of dividend and interest payments (Tax Events).	161

Event Code	Event Type	Event Type Name	Event Description	2018 - # of Unique CA IDs
XMET		Extraordinary Meeting (Proxy Message)		145
CAPD	Return of Capital	Capital Distribution	A distribution of cash resulting from the sale of a capital asset or securities, or any other transaction unrelated to retained earnings. Security holders may have to adjust the 'cost basis' of their holding to account for the payment.	133
DVOP	Stock/Cash Opt.Dividend	Dividend Option	A distribution of a dividend to shareholders with the choice of payment method. The shareholder has the option to choose the form of payment (for example, securities, cash, or both). There are separate events for Cash Dividends, Stock Dividends, and Dividends with Options.	131
RHDI	Rights Distribution	Rights Issue	Securities distributed to common stock holders of a company that grant the option to purchase new or additional securities of the same company during a predetermined time period at a predetermined price. A Rights Distribution is accompanied by a corresponding Rights Subscription, which provides the details related to exercising the rights. In some cases, DTC will allocate rights that are not issued by the company to process a subscription offer.	104
EXRI	Rights Subscription	Call on Intermediate Securities	A privilege granted to holders of rights to purchase new or additional securities. Rights are often tradeable in a secondary market.	94
PLAC	Change in Domicile		An event where the issuer is announcing a change in company or security details.	63

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DTCH	Tender Offer	Dutch Auction	A tender event in which the corporation offers to purchase up to a certain amount of securities within a price range. Holders must submit a specific price within that range that they would be willing to accept. The actual tender price is not determined until the end of the offer.	61
DRCA	Return of Capital	Capital Distribution	A distribution of cash resulting from the sale of a capital asset or securities, or any other transaction unrelated to retained earnings. Security holders may have to adjust the 'cost basis' of their holding to account for the payment.	54
NOOF	Tender Offer	Tender	An offer made to security holders, normally by a third party, requesting them to sell (tender) their securities for a specified price (usually at a premium over prevailing market prices). Generally, the objective of a tender offer is to take control of the target company.	47
DETI	Unit Split	Detachment		28
ODLT	Tender Offer	Odd Sale Purchase	A tender offer event made by the corporation or its agent to purchase shares from odd-lot shareholders. An odd-lot shareholder typically refers to a holder of less than 100 shares of stock.	12
Total Unique Corporate Actions Events:				5,946,648

FOR MORE INFORMATION

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