



Asset Services

REORG RIGHTS OVER SUBSCRIPTION VIA CCF AND CCF2 (RTOSUB): FUNCTION USER'S GUIDE 8.17

JUNE 22, 2026

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OVERVIEW

This document describes DTC's RTOSUB function which allows Subscription Agents to process Rights Exercise Transactions submitted through the PSOP function which contain Over Subscription requests via DTF, DTC's Data Transmission Facility.

THE RTOSUB FUNCTION

Participants submit Rights Exercises via the PSOP function. A Rights Exercise may contain an Over Subscription provision. After the submission period has expired, the Over Subscription portion of a Rights Exercise will undergo a proration process. The proration process is defined by the Subscription Agent.

The RTOSUB function will allow the Subscription Agent to receive transaction details, via CCF, for Exercises for which the Participants have selected the Over Subscription provision. The Subscription Agent will perform the proration process and transmit the results back to DTC via CCF. The prorated transactions will then undergo final processing by DTC via the DSOP function.

Availability of RTOSUB

The RTOSUB function will be available for CCF input between 8:00 am and 3:00 pm. A DTF output file for Subscription Agents will be produced daily around 19:00 when the last run of the ROG Traffic Cop completes.

Holiday Processing

The function is available every day that DTC is open.

RTOSUB RECORD FORMAT

The RTOSUB file is available via CCF. Users requesting RTOSUB via CCF will normally receive a file of CCF records comprised of CCF Sort Prefix, CCF Header information and RTOSUB Detail information.

The CCF Header information and the RTOSUB record are described herein:

| RTOSUB Detail Record | | | | |
|----------------------|--------|-----------|-------------------------------|---|
| Position | Length | Format | Field Name | Transaction Header Field Description |
| 1 | 1 | Character | Feedback Indicator | Type indicator used to indicate if this is an output message. Value "*". |
| 2 | 1 | Character | Test/ Production Indicator | "P" = Production "T" = Test |
| 3 | 6 | Character | Record Type | Value "RTOSUB". |
| 9 | 2 | Numeric | Record Suffix | Used to indicate the "Record #" on single and multiple data records within a transaction. |
| 11 | 2 | Numeric | Version Number | Use to indicate which version. Value "01". |
| 13 | 6 | Character | User Reference Number | Used by the transmitting party to uniquely identify the transaction. Used as filler. |
| 19 | 8 | Character | Addressee | The Subscription Agent number for the Rights Offer. |
| 27 | 14 | Character | Transaction ID | Unique ID created when the transaction was submitted over PTS or CCF. |
| 41 | 2 | Numeric | Tran Seq ID | Used as Customer Sequence. |
| 43 | 12 | Character | Rights CUSIP ID | CUSIP ID of the Rights. |
| 55 | 3 | Character | Rams Envelope Activity Type | |
| 58 | 2 | Numeric | Rams Envelope Sequence Number | |
| 60 | 8 | Numeric | Participant ID | 8 - Byte Participant number. |
| 68 | 11 | Numeric | Rights Quantity | |
| 79 | 12 | Character | Underlying CUSIP ID | |
| 91 | 11 | Numeric | Underlying Share Quantity 1 | Underlying Share Quantity for basic subscription. |
| 102 | 11 | Numeric | Share Quantity 2 | Over Subscription Share Quantity. |

| RTOSUB Detail Record | | | | |
|----------------------|--------|---------|------------------|--|
| Position | Length | Format | Field Name | Transaction Header Field Description |
| 113 | 11 | Numeric | Share Quantity 3 | Over Subscription Share Quantity Accepted. |

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Doc Date: June 22, 2026

Publication Code: AS2036

Service: CCF/CCF-II/MDH Transmission Guides

Title: Reorg Rights Over Subscription Via CCF And CCF2 (RTOSUB): Function User's Guide 8.17

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