

**Bold and underlined text** indicates proposed added language.

~~**Bold and strikethrough text**~~ indicates proposed deleted language.

Guide to the ~~2023-2024~~ **2024** DTC Fee Schedule

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**[Changes to this Fee Guide, as amended by File No. SR-DTC-2023-014, are available at [www.dtcc.com/legal/sec-rule-filings](http://www.dtcc.com/legal/sec-rule-filings). These changes became effective upon filing with the Securities and Exchange Commission but have not yet been implemented. On January 1, 2024, these changes will be implemented and this legend will automatically be removed.]**

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**Custody and Securities Processing**

**Securities Processing**

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*General Asset Services*

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**Researching Fee**

**100.00**

~~Per hour or per CUSIP,~~  
**depending on nature of research**

~~Invitation to cover short request  
(ICSR)~~

**300.00**

**Per submission**

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**Corporate Actions**

*Allocation Fees*

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Mandatory Corporate Actions

~~75.00~~ **80.00**

Mandatory exchanges, including mandatory puts, name changes/swings and sale of Rights per participant position

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*Agent Fees*

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~~Consent Only—Base Processing-Fee~~ Consent, Voting or Blocking base processing fee

2,000.00

Per election

~~Consent Only—Additional-Elections on Event~~ Add Elections on Event – Consent, Voting or Blocking

1,000.00

Per election

~~Consent Only—Payment-Processing~~ Payment Processing – Consent, Voting or Blocking

200.00

Per election

~~Consent Only – Event Extension~~ Event Extension – Consent, Voting, Blocking

200.00

Per election

~~Late Notification of Voluntary-Events, tier 1~~ Late Notice of Vol Events received 5 – 9 days

2,000.00

Notification received within 5 to 9 days of the expiration

~~Late Notification of Voluntary-Events, tier 2~~ Late Notice of Vol Events received < 5 days

5,000.00

Notification received less than 5 days of the expiration

~~Non-Standard Corporate Actions~~ Asset Services Exception Processing & Research

Varies

Based on structure of the Offer

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~~Rate Change (Post Payable) And Manual Allocations~~ Rate Change and Manual Allocations

2,000.00

Per CUSIP

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<b>Deposit Services</b>		
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<i>Deposit Automation Management (DAM)</i>		
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<del>Transfer agent charges</del>	<del>Varies</del>	<del>Chargeback of fees charged by the transfer agent, plus \$1.00 transaction fee; Applies to cancellation and issuance of certificates of certain issues</del>
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<b>New York Window Services (including Envelope Settlement Service, Intercity Envelope Settlement Service, Funds-Only Settlement Service, Dividend Settlement Service)</b>		
	****	
<i>Other Services</i>		
	****	
<del>Return of security</del>	<del>0.30</del>	<del>Per security</del>
<del>Transportation</del>	<del>12.00</del>	<del>Per trip</del>
	****	
<b>Reorganization Services</b>		
<i>Reorganization</i>		
	****	
<del>Processing of dissent letter or shareholder demand</del>	<del>400.00</del>	<del>Per dissent letter or shareholder demand processed</del>
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## Settlement Services

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### Other

Participants Fund Maintenance Fee	Varies	Per month; Calculated, in arrears, as the product of (A) 0.235% and (B) the average of each Participant's Actual Participants Fund Deposit, as of the end of each day, for the month, multiplied by the number of days for that month and divided by 360.
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## Underwriting Services

### Eligibility Fees

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Equity Eligibility Fee	<del>750.00</del> <u>900.00</u>	Per new issue with one CUSIP plus Additional CUSIP Fee 728
Equity Eligibility – Additional CUSIP Fee	<del>250.00</del> <u>300.00</u>	Per additional CUSIP
Debt Eligibility Fee	<del>350.00</del> <u>425.00</u>	Per new issue with one CUSIP plus Additional CUSIP Fee 729
Debt Eligibility – Additional CUSIP Fee	<del>250.00</del> <u>300.00</u>	Per additional CUSIP
Municipal Eligibility Fee – Single CUSIP	<del>350.00</del> <u>425.00</u>	Per new issue with one CUSIP
Municipal Eligibility Fee – Multi CUSIP	<del>800.00</del> <u>975.00</u>	Per new issue with two or more CUSIPs
Certificate of Deposit (CD)	<del>175.00</del> <u>225.00</u>	Per CUSIP
Municipal and corporate insured custodial receipt	<del>200.00</del> <u>250.00</u>	Per CUSIP
Unit Investment Trust (UIT)	<del>35.00</del> <u>40.00</u>	Per CUSIP
Small Business Administration (SBA) loan pool	<del>200.00</del> <u>250.00</u>	Per issue

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### ~~Secondary market issue eligibility research (older issues)~~ Secondary Market Issue Eligibility

2,000.00

Per issue; fee is assessed at request for eligibility of an issue that is currently in the secondary market and does not depend on success of request

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**Eligibility Surcharges**

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**Submission of a LOR in lieu of a  
BLOR**

**300.00**

**Per letter**

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**Money Market Instruments**

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**Modification to MMI**

**300.00**

**Per CUSIP**

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**Other Underwriting Services**

**Consultation/Research Fee**

**To be negotiated**

~~Expenses related to eligibility  
requests that require  
consultation, research, use of  
third parties or any other deal-  
specific handling.~~

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