FHLB Dallas Safekeeping Operations: Corporate Actions & Income

October 2018

Corporate Actions & Income is a web-based application within FHLB Dallas Safekeeping Operations that allows users to manage and respond to corporate actions online and in real-time, for better-informed decision making. Designed especially for asset owners and asset managers, Corporate Actions & Income's simplified Home Page provides all corporate actions activity and alerts to upcoming deadlines.

Log in

1. Go to (https://nexus9.fhlb.com).
2. Enter your **Username**. (**Note:** Your login information is provided by your organization's designated Security Manager.)
3. Enter your **Password** and click **Login**. (**Note:** If your pop-up blocker is enabled, hold down the **Ctrl** key and then click **Enter**.)
4. Once you log in, click Custody & Clearing and select **Corporate Actions**, which is available on the menu to the left.
5. This will bring you to the **HomePage**, where you can define a customized view of the functions you want to perform immediately after login.

Corporate Actions & Income Capabilities

With the robust controls to manage risks and timeframes, the Corporate Actions & Income application lets users perform consolidated or individual account responses, as well as view standing instructions online and flag instructions at an account and entitlement level.

A special workflow control lets users define controls and steps in managing your corporate actions activity.

As an end-to-end corporate action management tool, the Corporate Actions & Income application also offers:

- Event notifications, events amendments, and eligibility info in real time
- User-defined filters, customization and preferences
- A full audit of all steps
- A Notes facility that can be applied at any stage of the lifecycle of an event
- The ability to export data to a CSV or Excel file
- Member deadline alerts and entitlement notifications

Workflow

Corporate Actions & Income provides a configurable workflow which is set up at the Member level. Each user within this company will need to follow the pre-determined Workflow in order to process an event.

The Home Page presents statistics for the users' workflow and provides them a lifecycle status for their items.

The **Response-in-Progress** feature displays links to events for the following workflow statuses: To Respond, To Verify, To Authorize and To Be Repaired.

Note: Depending on the users' workflow rules, authorizing responses may cause the response to be released to the FHLB Dallas Front-End systems.

Custodian Workflow provides information based on the status of the event upon sending to FHLB Dallas.

The Custodian Workflow feature displays links to events for the following workflow statuses: At Custodian, Responses Confirmed, Responses Rejected, Over-Elected, and My To Dos.

It tracks the responses through to FHLB Dallas. These statuses mean that the instruction is under process by the Custodian but has not been authorized yet.

Note: My To Dos provide the total number of events and entitlements that are assigned to you.

If a user profile is not set up with Assigning functionality then this will include all active events and entitlements for M/V/MO.

A second user needs to verify this response instruction in order for it to move through the workflow (only if workflow is configured in User Preferences).

Help Desk

For any technical or general questions or concerns while accessing the portal, please contact our Member Services team:

P.O. Box 619026
Dallas, TX 75261-9026

8500 Freeport Parkway South
Irving, Texas 75063

Main: 844.FHL.BANK (844.345.2265)
Email: Member.Services@fhlb.com
Fax number: 214.441.8514
Hours of Operation: 8:00 a.m. to 5:00 p.m.

FHLBANK DALLAS | Member driven. Community focused.

Home Page

The **Home Page** provides a single point of access for viewing:

Alert:

The **Alerts** feature is available on the **Home Page** and provides the user with direct access to the following events:

- Events responses that are Expiring today
- Custom alerts created by user

Quick Access to an Event:

Quick Access to an Event enables users to locate corporate action events by performing a **Security Lookup** or by entering the **Event Reference.**

NoticeBoard:

The **NoticeBoard**, found in the Event menu, contains all "live" events for user's accounts. It can be filtered to display subsets of events according to your selection criteria.

The **Notices** section enables a user to view all Pre-advice, Confirmed, Canceled, Reversed corporate action events.

The **NoticeBoard** also provides a summary level which allows you to:

- **Export**: allows you to export your reports in PDF, Excel or XML formats.
- **Mark Event As Viewed**: will mark previously unviewed, new or amended events as viewed.
- **Respond**: will redirect entitled users to the new responding mechanism with the ability to respond to one or all of the selected events.
- **Hide/Unhide**: will enable users to hide selected events from the NoticeBoard (or unhide if they were previously hidden). When hiding events, the user will be asked if they would like to automatically unhide the events on changes (amendments) or leave them hidden permanently.
- **Labels**: will enable users to categorize events and use labels when running a filter.

Unviewed:

The **Unviewed Events** feature enables the user to view **New Events**, **Amended Events**, **New Entitlements** and **Amended Entitlements.**

Pre-Response:

The **Pre-Response** feature displays links to events for the following workflow statuses: **To Be Assigned**, **To Research** and **To Decide.**

This section provides statistics for workflow and provides a status of where events have reached in their lifecycle. All events are available on the **NoticeBoard.**

Clicking on these **Pre-Response** links will filter the **NoticeBoard** the workflow status.

Response-in-Progress:

The **Response-in-Progress** feature displays links to events for the following workflow statuses: **To Respond, To Verify, To Authorize and To Be Repaired.**

This section provides statistics for workflow and offers a status of where events are in their lifecycle. All events are available on the NoticeBoard. Clicking on these Response-in-Progress links will filter the NoticeBoard by the workflow status.

My To Dos:

The My To Dos feature displays links to events for the following workflow statuses: Pending Verification, Pending Authorization and Pending Release.

This section provides the statistics for your workflow and offers a status of where events are in their lifecycle. Users assigned to perform the respective action can quickly perform the action and move the event to its next stage in the lifecycle.

Custodian Workflow:

The **Custodian Workflow** feature displays links to events for the following workflow statuses: **At Custodian , Responses Confirmed, Responses Rejected and Over-Elected.**

This section tracks the responses through to the Custodian. This status means that the instruction is under process by the Custodian but has not been authorized yet.

Responding to Events

The **ResponseBoard**, found in the Response menu, contains all solicited and unsolicited events. Through the **User Preference** menu, users may choose to display summary response or detailed response information on the **ResponseBoard.** Users will have the ability to **Add, Verify, Authorize, Amend, Cancel, Reject, and Export** responses directly from the screen (depending on the users workflow).

The **ResponseBoard** enables users to:

- Filter responses
- Export the ResponseBoard Summary information to **PDF, XML and CSV** formats.
- Export ResponseBoard Details to PDF and XML formats.

The **Create a New Event/Response** feature enables you to create and submit solicited and unsolicited responses to the Custodian for "voluntary" and "mandatory with option" corporate action events.

1. Use the **Quick Access to an Event** area of the dashboard to locate the desired event.
2. Select **CUSIP** from the Security drop down and enter the desired **CUSIP** or enter the desired **Event Response** code and click **Go.**
3. To enter a **response**, select Response then **Create New Response.**
4. Click the **Search Type** list.
5. The user can use any of the following methods to locate the event: **Security Description, Security ID** and **Event Reference**.
6. Select the **Search Type** and enter the desired information.
7. Click **Continue**.
8. Matching events will be displayed with **Event Reference**.
9. Choose and click on **Match Event** and click **Continue**.
10. Select **Event Type** and **Currency**.
11. Enter the desired information into the **Special Instructions** field.