

# The Depository Trust Company

# **IMPORTANT**

**B#:** 1960-07

**DATE:** August 6, 2007

**TO:** All Participants

**CATEGORY:** Underwriting

**FROM:** Denise Russo, Director, Product Management

**ATTENTION:** Managing Partner/Officer, Cashier and Operations Managers

**SUBJECT:** New DTC Underwriting Services Curriculum for UW SOURCE

DTCC Learning is pleased to announce a new DTC Underwriting Services Curriculum that will address proposed changes in the input of new issue information by underwriters who submit new and older issues to DTC for eligibility. These changes are the result of a multi - year reengineering of DTC's Underwriting and Corporate Action systems, beginning with Underwriting, set to go live in the fall of 2007.

The curriculum consists of 13 courses, 5 of which are required for underwriters, 3 for clearing firms with the remainder being optional. The course list includes:

### **Required for Underwriters**

Introduction to Underwriting  
Creating Deal Information  
Working with Deals  
Scrubbing Deal Information  
Introduction to Workflow and Dashboards

### **Required for Clearing Firms**

Introduction to Underwriting  
Crediting Participant Approval of Relationship  
Introduction to Workflow and Dashboards

### **Optional**

Overview of Eligibility  
Agent Operational Arrangements

Legal Review Processing – AML Course  
Legal Review Processing – Conditional Reviews  
Agent Confirmation Processing  
Quality Assurance Processing  
Issue/Security Approval Processing

As with all DTCC Learning's curriculum courses, the Underwriting programs leverage the flexibility and interactivity of e-learning to teach the associated concepts, applications and tasks. In addition to traditional text, each course includes audio and multimedia components that further reinforce critical topics. The structure of the courses provides a set of building blocks, which allow the learner to start with the basics and advance to more complex topics and problem resolution case studies. These courses are modularized allowing the learner to learn at their own pace and demonstrate what they've learned through pre-and post-course assessment tests. You are able to go back and re-take courses as well.

DTCC is planning weekly webinars to walk through the new web application- and answer questions and address issues that users have prior to the new system going live. Users who have completed the training should contact Denise Russo at 212-855-3731 or [drusso@dtcc.com](mailto:drusso@dtcc.com) to set up the webinars.

Users that have previously submitted a registration spreadsheet to DTCC Relationship Management will automatically be pre-registered for these courses and will receive an email from the DTCC Training Administrator with a link to the DTCC Learning Management System (LMS) and the courses. Users who have previously accessed the DTCC LMS may register themselves for these courses by following the directions below:

***To register for a course:***

1. Go to <http://www.dtcc.com/products/training/>  
The DTCC Learning Home Page appears.
2. Look for **Courses Offered** near the center of the page, click **Take a Course Now**.
3. Type in the login and password you selected.
4. Click **DTCC Learning Catalog**
5. Under **Learning Resource Topics**, click **Underwriting**.
6. Click **launch** for any course you would like to take.
7. Once the registration page appears, click **Submit and Launch**.

Users who do not receive the automated link and have not accessed the DTCC LMS may contact DTCC Learning at (888) 258-6393 or e-mail us at [training\\_administrator@dtcc.com](mailto:training_administrator@dtcc.com) to be registered for the courses.