

**EXHIBIT 5**

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

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

**CLAIMCONNECT™ SERVICE GUIDE**

# IMPORTANT LEGAL INFORMATION

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## ABOUT THE CLAIMCONNECT™ SERVICE

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### Introduction

### Overview

This guide describes DTC's claims processing service – ClaimConnect – a Corporate Actions product. Claim processing referred to in this guide is available on the ClaimConnect web application, via the MyDTCC portal, and for machine-to-machine processing via the ClaimConnect Application Programming Interfaces ("APIs").

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#### Notes:

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- ClaimConnect training is available on the DTCC Learning Center.  
<https://dtcclearning.com/products-and-services/asset-services/claimconnect-service.html>

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### Defined Terms

Following is a table of key ClaimConnect terms used throughout this guide:

Term	Definition
<b>Affirm</b>	Describes the act of accepting a claim. Also known as “Affirmation.” Once Affirmed, the claim is moved to a Matched state. Users can only Affirm through the <b><u>ClaimConnect web application in the</u></b> MyDTCC portal, not via an API.
<b>Approval</b>	A feature to help Users manage the cash debits that would leave their account to satisfy claims by requiring preapproval of such claims or certain actions on those claims when a predetermined dollar threshold is met.
<b>Auto-match</b>	The process by which ClaimConnect™ automatically matches two like claims, based upon certain matching data elements, submitted by both parties to the claim, either through the <b><u>ClaimConnect web application in the</u></b> MyDTCC portal or a ClaimConnect™ API.
<b>Cancelled</b>	Describes a claim that is later deleted by the User that submitted it, removing it from the system. Only the User that submitted the claim can cancel it and only before it is acted upon by the receiving counterparty or after the counterparty DKs the claim.
<b>Claim ID</b>	A unique claim identification number that is assigned to a claim after all required data elements are entered and the claim is submitted.
<b>Claim Settlement Date</b>	The date on which a claim will settle, as agreed upon by the claim parties. It is a data element in the claim submission process.
<b><u>Claim Upload</u></b>	<b><u>A claim-submission option, through the ClaimConnect web application in the MyDTCC portal, for Users to submit and affirm multiple claims at one time by uploading a type of file specified in the ClaimConnect web application.</u></b>

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## Preparing to Use ClaimConnect

To use ClaimConnect, a Participant need only request to be a Claim Participant by contacting its Relationship Manager. DTC Account Administration will then update the Participant’s account information in the DTC Entity Masterfile, indicating that the Participant is now a member of the service (i.e., a User).

Once permissioned, a User can engage ClaimConnect in two ways:

- the ClaimConnect **web** application via the MyDTCC portal; and
- the ClaimConnect APIs.

## ClaimConnect via the MyDTCC Portal

When using ClaimConnect through the web application on the MyDTCC portal, Users have access to all ClaimConnect functionality, including:

- submitting new claims **manually, either individually or in bulk via Claim Upload;**

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# CLAIM LIFECYCLE

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## Submitting a Claim

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To help expedite the claim settlement process, Users can attach a document to a claim, through the ClaimConnect web application in the MyDTCC portal, that provides further details about the claim.

**Users also can submit and affirm multiple claims at once via Claim Upload.**

Once all required data elements are entered and the claim is submitted, the claim is assigned a Claim ID.

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### Note:

A complete list of data elements and whether the data elements are required or optional can be found on the ClaimConnect DTCC Learning Center page. **Additional details on Claim Upload can be found on the ClaimConnect DTCC Learning Center page.**

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## Affirming a Claim

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Claims can be Affirmed only:

- “manually” via the **ClaimConnect web application in the** MyDTCC portal **(either individually or in bulk via Claim Upload)**, not through an API;

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