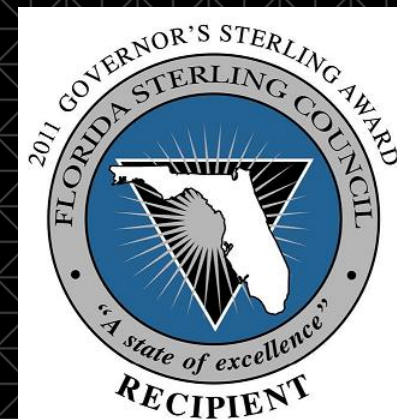


# The Depository Trust & Clearing Corporation

A Shining Approach To Excellence

2011 Florida Governor's Sterling Award Recipient



# Why We Are Here...

## Mission

We protect our clients and financial markets as a whole. We leverage our scale and expertise to perfect a more robust, unified infrastructure and promote solutions that systematically reduce risks, amplify operating efficiency and minimize cost.

## Vision

We are unwavering in our commitment to drive out risks and costs. To achieve this, we partner with clients to bring stability to the global financial markets and create efficiencies for an ever-expanding industry.

## Values

Integrity and trust, quality and excellence, customer focus, employee focus and respect, innovation, and teamwork.

# DTCC's Southern Business Center (SBC)

- **Established following 9/11 to further decentralize the Clearance & Settlement functions in order to bring greater safety and soundness to the nation's financial services system.**
- **We moved here in 2004, and formally launched in 2005**
  - We have grown from 280 employees
  - We are an extension of the core business and a significant operations center
  - We aim to be a Center of Excellence

- **A world-class infrastructure for a wide range of financial instruments and transactions, settling \$1.66 quadrillion in 2010**
- **Technology backbone for settlement of the U.S. capital markets and also supporting certain global markets**
- **Emphasizing strongest risk management controls and protections**
- **Offers economies of scale from critical mass, operating on an at cost basis**
- **Industry-owned and market neutral**
- **This is the basis of our product / customer groups:**
  1. Asset Services
  2. Fixed Income
  3. Equities
  4. Mutual Funds
  5. Insurance and Retirement

# Born for Efficiency



- For nearly four decades, DTCC and its family of companies have helped automate, centralize, standardize and streamline the processing of securities trades and the delivery of financial information.
- We offer reliable performance and proven risk management expertise.
- Result: We've created greater operational efficiency, reduced risk and lowered cost for our customers across the industry.

# How do we accomplish this?

- **Core Competencies**
  - Business Continuity
  - Risk Mitigation
  - Continuous Improvement
  - Scalable Capacity
- **The Four Quadrant Balanced Business Scorecard**
  - Stakeholder / Financial
  - Strategic Positioning
  - Customer Service Delivery
  - Employee Enablers
- **Annual Corporate Goals**

# Organizational Alignment

We drive integration through our corporate structure.



# Our Credentials

- 2005 Florida Governor's Business Diversification Newcomer Award
- 2006 Six Sigma CEO of the year
- 2008 CMMI Level 3 Certification
- 2009 Kaplan and Norton Balanced Scorecard Hall of Fame inductee
- 2009 Spirit of Tampa Bay Award from the United Way
- 2009 Sterling Team Showcase Regional award winner for Continuity
- 2010 Online Training Excellence Award for Kaizen training
- Numerous Awards for performance
  - Worldwide Conventions and Business Forums
  - International Quality Progress Council
- **2011 Florida Sterling GSA recipient!!**



# Results

- **DTCC's systems maintain world-class levels for uptime greater than 99%**
- **DTCC's retention of employees is greater than 95%**
- **DTCC's key work processes maintain greater than 95% for both timeliness and accuracy**
- **DTCC has received a 91% customer satisfaction rating for 5 consecutive years**
- **DTCC's cost per transaction for equities clearing is globally the lowest price at \$0.0031**

# To Contact DTCC

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