

# Depósito Central de Valores

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and subsidiaries

DCV 

DCV  REGISTROS

DCV  ASESORÍAS  
Y SERVICIOS



# Depósito Central de Valores (DCV)

- Is a Company established in accordance with the Law N°18.876, its regulation and the instructions issued by the Financial Market Commission (CMF)
- DCV is entitled to receive securities on deposit, facilitating the transfer operations related to those securities between participants according to the procedures contemplated in the cited Law.





## Purpose

Provide the local and international capital markets with infrastructure solutions and other supplementary solutions, with the highest standards of transparency, security and efficiency.

Provide business and shareholders registry management services to its participants; as well as supplementary services, with the highest standards of transparency, security and efficiency.

## Vision

Be a leader in the provision of infrastructure to the capital market, through its excellence in execution, risk management and innovation.

Be a leader in the management of shareholders and contributors registries, through excellence in execution, risk management and innovation.

# Company

Business Units



Securities depository



Shareholder Register

REGISTROS

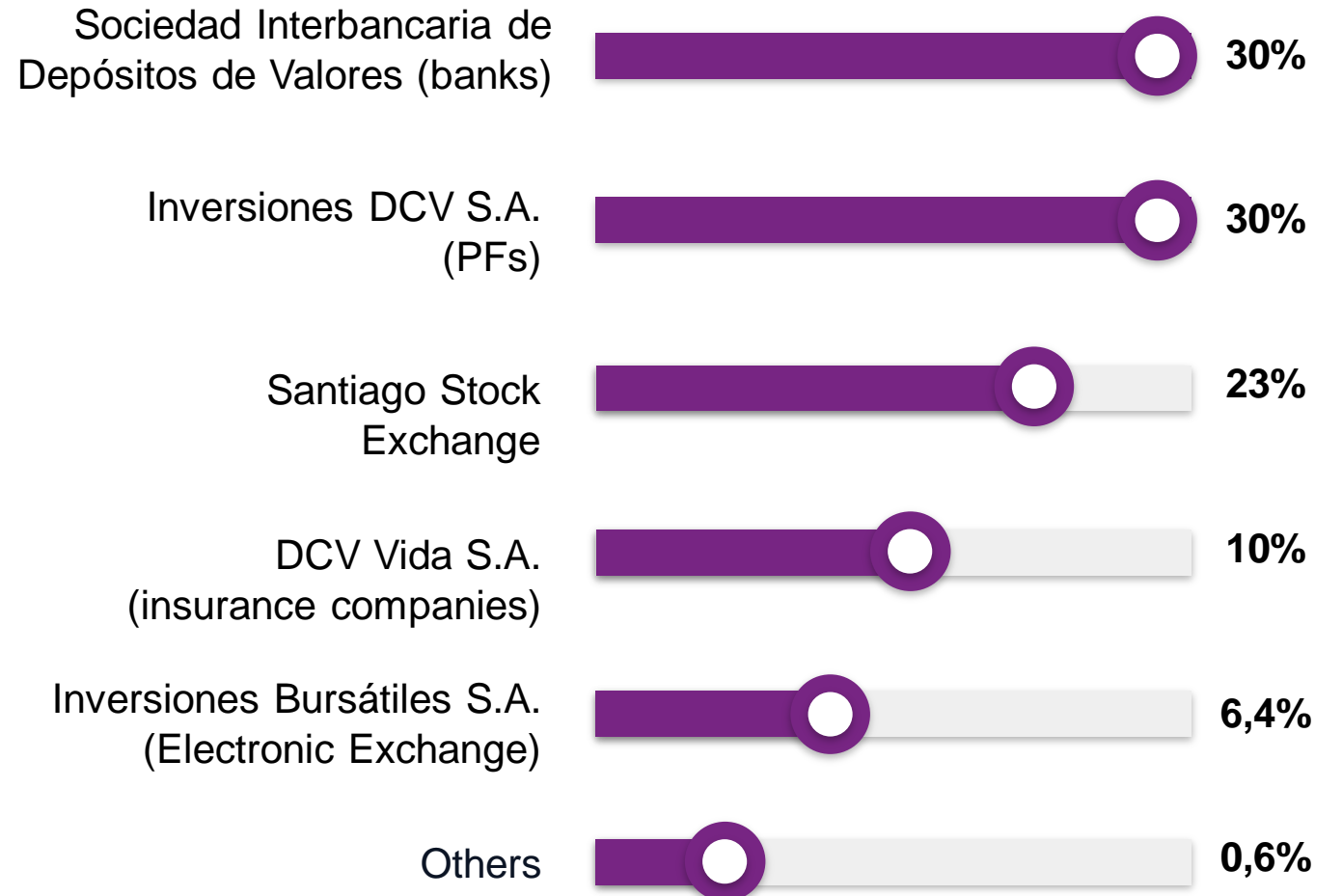


New business

ASESORÍAS  
Y SERVICIOS

# Company

DCV Ownership



# Company

## Governance

### Board of Directors

#### Directors

- President**
    - Guillermo Tagle Quiroz
  - Vice-president**
    - Jaime Munita Valdivieso
- Juan Andrés Camus Camus
  - Jorge Claude Bourdel
  - Mario Gómez Dubravcic
  - José Antonio Martínez Zugarramurdi
  - Miguel Mata Huerta
  - Cristian Rodríguez Allendes
  - Arturo Concha Ureta
  - Héctor Herrera Echeverría

#### Corporate Governance

#### (5 Board Committees)

- Audit Committee
- Risk and Cybersecurity Committee
- IT and Operational Efficiency Committee
- Clients and Business Development Committee
- People Management Committee

# Company

## Supervising

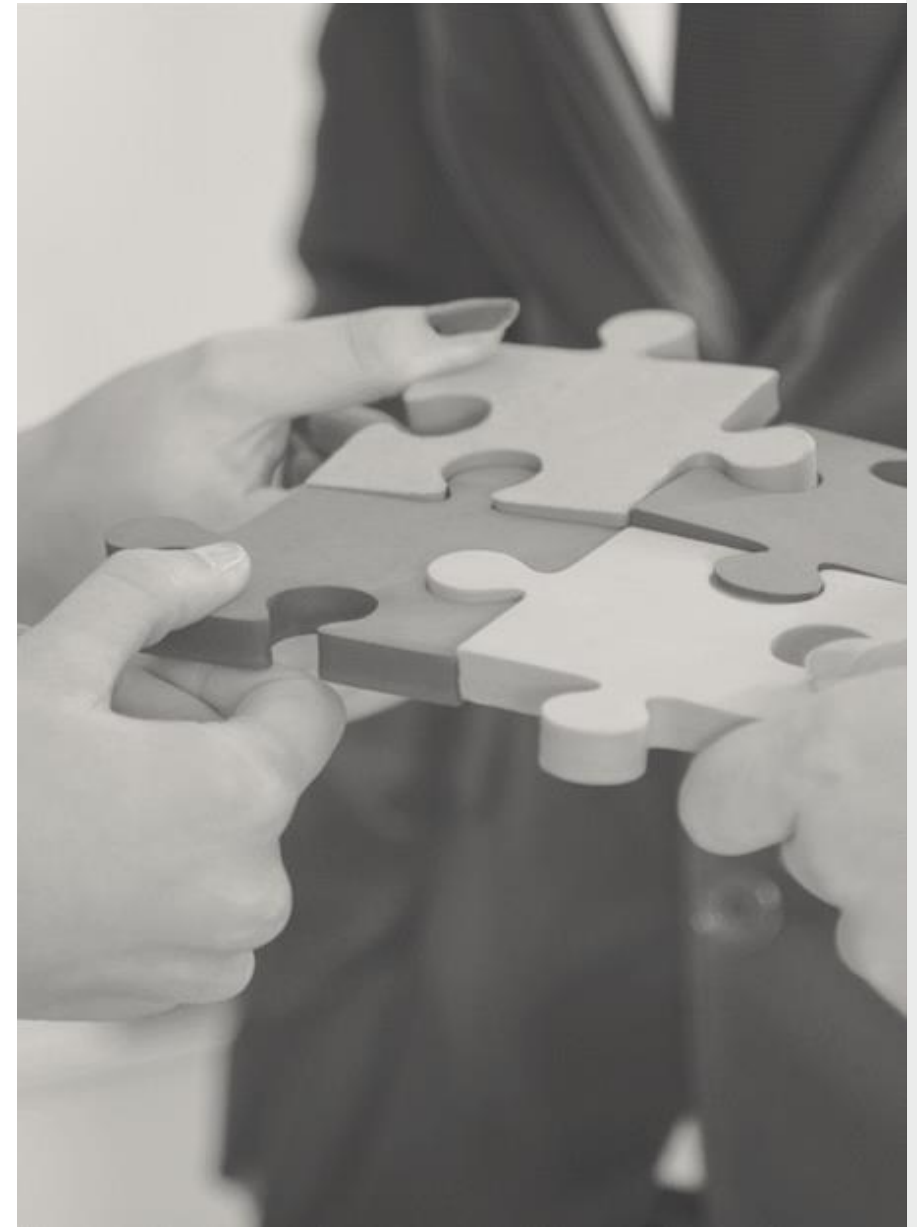
- Financial Market Commission (CMF)
  - Pensions Funds Superintendence (SP)
  - Surveillance committee (5 members)
  - Financial Analysis Unit (UAF)
- 

## External Audit

- KPMG
- 

## Memberships

- Americas' Central Securities Depositories Association (ACSDA)
- Association of National Numbering Agencies (ANNA)
- International Securities Services Association (ISSA)
- World Federation CSD (WFC)



# Company

## Certifications and Ratings

- CISA
- Adoption and implementation of the crime prevention model certified by BH Compliance Ltda.
- Adoption and implementation of IOSCO principles; world bank evaluation for DCV “Strong for FMI”
- Quality Assessment certification for internal audit
- Thomas Murray A+
- SSAE-18
- ISO 22301
- ITIL
- COBIT
- ISO 31000





# Company

## 186

Direct Participants

## 919,964

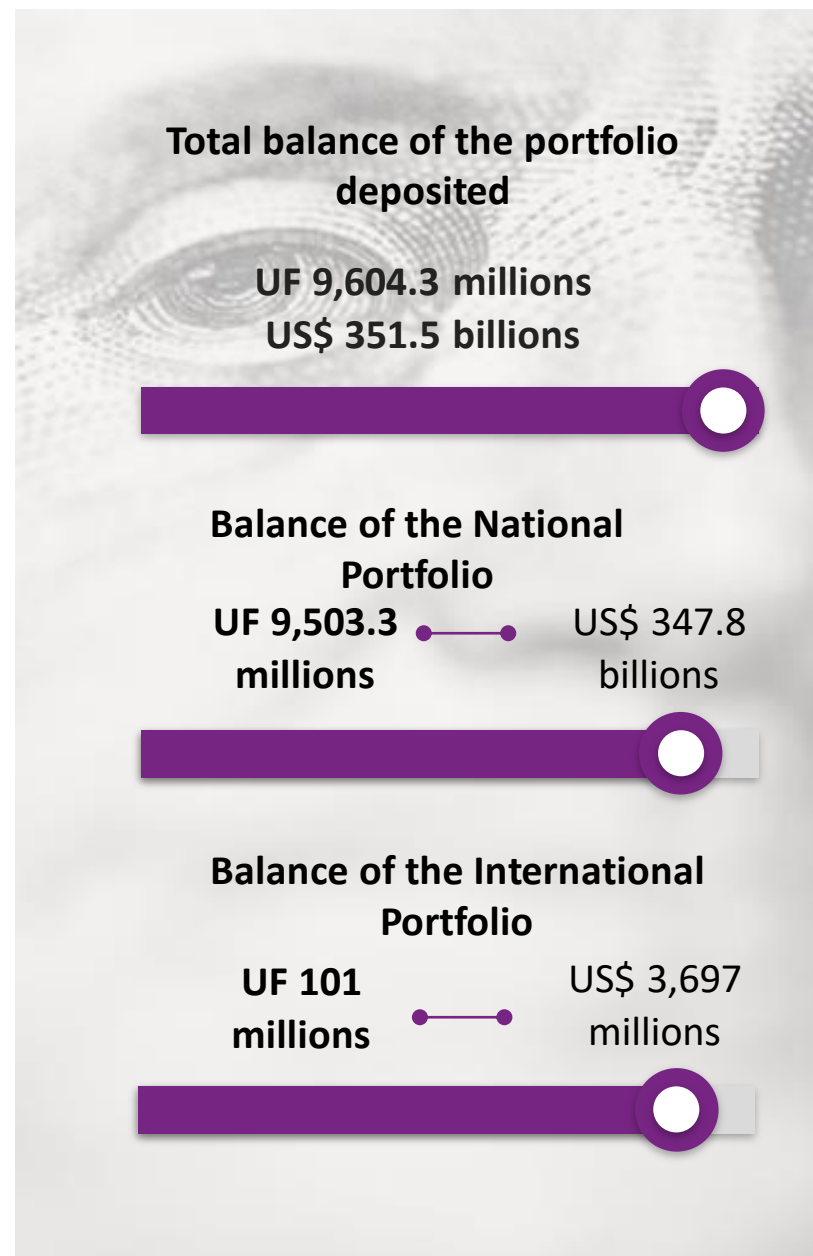
Transactions recorded Jan-Oct

## 802

Registries administrated (DCVR)  
(DCV Registros)

## 178

Fixed Income Issuer



# Services

Business Lines

National  
Custody

Collateral

International  
Custody

Statistics

Shareholder  
Register

Consulting and  
Services

# Services

## National Custody

### Deposit service

- Custody of national securities
- Custody of Mutual Funds
- Registration and settlement of operation
- Account administration
- Position certificate
- FLI
- Value management
- Registration, signature and custody of forward contracts

### Issue

- Registration of emissions
- Dematerialized deposit
- ANNA (ISIN code assignment )

### Constituent services and others

- Custody
- Registration and settlement of operation
- Account administration
- Value management
- Test environment
- Extension of day

# Services

## International Custody

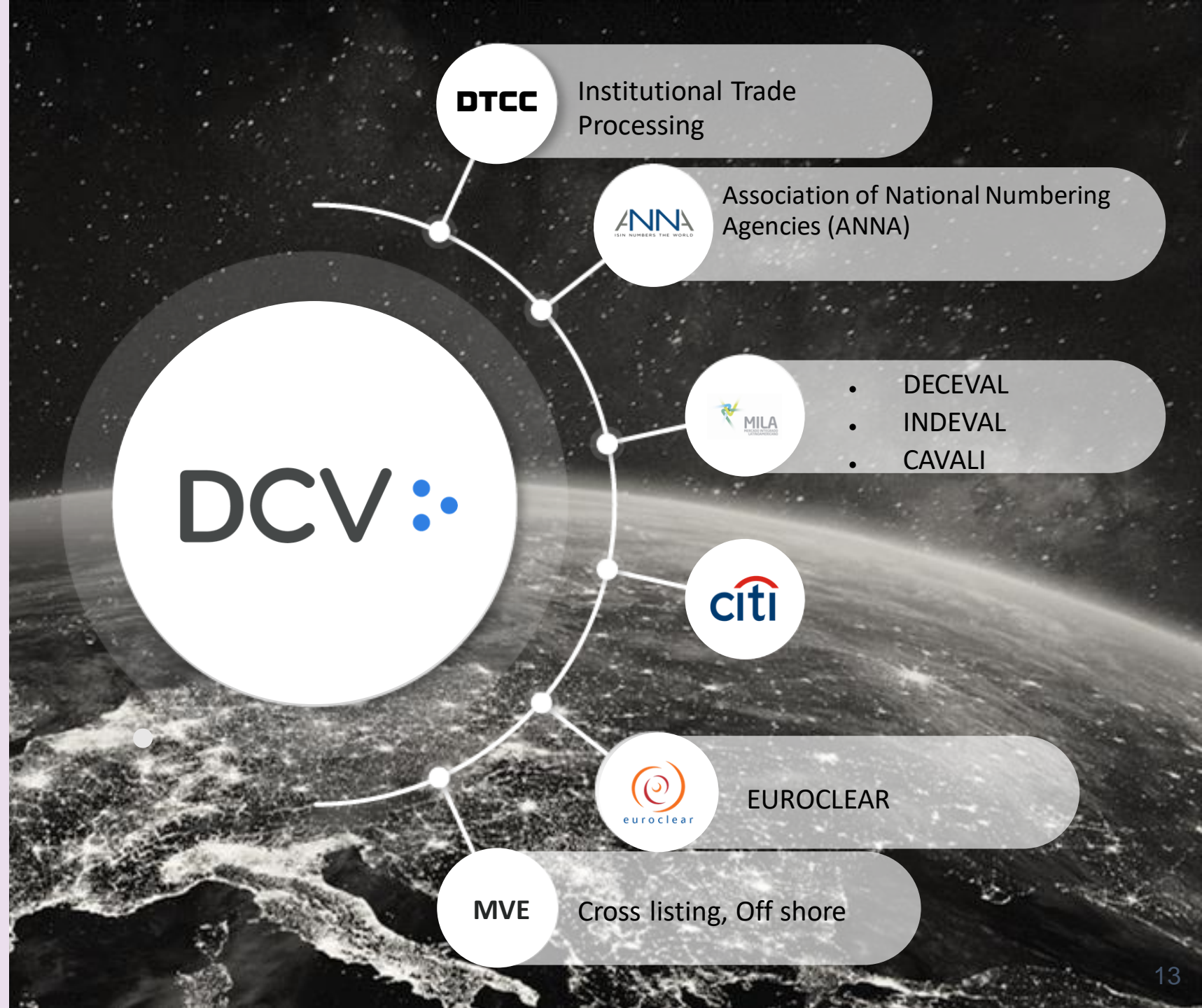
### Deposit service

- Custody of securities
- Registration and settlement of operation
- Position certificate
- Value management
- MILA
- Foreign Securities Market
- International quota

### DTCC ITP

- Institutional Trade Processing

# International Network



# Shareholder Registries

## DCV Registros

- Shareholders and Participants' Registers
- Monitoring of Shareholders and Participants
- Corporate actions
- Legal Reports and Advising



**802**

registries managed

**278**

Funds managed

**297.000**

Shareholders managed

**169**

Shareholders' meetings

# Garantías

- Electronic Pledge Registry Service (REP)
- Mining Collateral
- **Special Pledge**

DCV has simplified the constitution of collaterals for any public offer value feasible to be guarded in DCV, whether domestic or foreign.

- 100% electronic
- Reduce costs
- Without trial or writings



**Special Pledge**  
**COST AND TIME SAVINGS**

**4,7 UF**

per instruction approx.

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**+10 days**

# Statistical

Reports Service

Custody

Type of  
instruments  
issued

Transactions

Development  
tables

Instruments catalogue

Balances AFP-AFC  
issuer domain

Maturities per type

Consolidated  
report of  
instrument

Pledged instruments



# Consulting and Services

- **Responsible Tax Agent**

Provides foreign investors with a new alternative to invest in the Chilean securities market, consolidating the tasks of having a responsible agent and a custodian for their corresponding investments.

The benefits for foreign investors are related to the important activities that DCV will undertake on their behalf, including the following:

- Assigning a Taxpayer ID for non-resident investors.
- Processing and controlling daily transactions from pre-matching processes to settlement in the depository.
- Security and standarization with SWIFT messaging.
- Calculating taxes and arranging their payment.
- Monthly and annual statements on behalf of final investors.
- Reviewing, providing information, and paying taxes associated with the Chilean regulator.
- Handling the documentation of all the transactions completed by the investors in the country, including invoices, trade tickets, subscription contracts, etc.

- **Management of BRAA**

The Custody Service of the Social Security Contribution System of Pension Fund Active members (BRAA) is provided by DCV

# Quality of service in the DCV DNA

Annual study carried out for IPSOS Chile.  
It measures the level of satisfaction of our customers regarding DCV services.

**DCV overall evaluation results: 6.5**  
**93% grades 6 and 7 average year**

\*Weighted average study results: March and April 2022

Problem rate	Overall evaluation <b>MAC</b>
<hr/>	<b>6.4</b>
Average	Average
<hr/>	<hr/>
<b>9%</b>	<b>82%</b>
	Grades 6 and 7



# Quality of service in the DNA

DCV Registros

Study quality of services. It measures the level of satisfaction of the shareholders served in the three service channels (office, telephone and email).

**Global evaluation result DCV Registros: 90% grades 6 and 7 annual average (weighted average by weight of each channel)**

\*Weighted average study results 2022 - October

Overall evaluation Office	Overall evaluation Telephone	Overall evaluation Email
<b>6.9</b>	<b>6.6</b>	<b>5.9</b>
<u>Annual average</u>	<u>Annual average</u>	<u>Annual average</u>
<b>99.43%</b>	<b>93.32%</b>	<b>75.86%</b>
Grades 6 and 7	Grades 6 and 7	Grades 6 and 7

DCV

[www.dcv.cl](http://www.dcv.cl)

[LinkedIn](#) Depósito Central de Valores (DCV)

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