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# DCEP COMPLIANCE FOR ERC-3643 TOKENIZED SECURITIES

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**Capabilities Brief:** This brief outlines how our Depository Commission Exchange Platform (DCEP) fulfills the SEC Innovation Exemption issued January 2026; regulatory and reporting requirements for ERC-3643 Tokenized Securities (T-Rex tokens) traded on an Alternative Trading System (ATS) using ONCHAINID for identity verification.

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## EXECUTIVE SUMMARY

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The DCEP is a comprehensive infrastructure designed to bridge the gap between decentralized finance (DeFi) protocols and the **SEC's federal securities law framework**. By integrating the **ERC-3643 standard**—which natively supports permissioned transfers—with our specialized DCEP subdivisions, we ensure that every tokenized security transaction remains within a "registered framework" that mirrors traditional broker-dealer and transfer agent operations.

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## CORE CAPABILITIES & SEC REQUIREMENT MAPPING

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DCEP Subdivision	SEC Regulatory Capability	Technical Implementation
Central Information Registration	Identity & AML/KYC Compliance	Linked with <b>Global Business Registration Clearance Data (GBRCD)</b> , ensuring all participants possess a vetted <b>OnChainID</b> before interacting with the liquidity pool.
Deposit Trust Clearing Service	Settlement & Clearing (Rule 17Ad-22)	Coordinates with the <b>National Crypto Distribution Center (NCDC)</b> for institutional settlement, providing the "instantaneous settlement" and transparency required for ATS operations.
Transfer Agents for Crypto Issuers	Master Securityholder File Maintenance	Manages the issuer's ledger and client transactions. It updates the <b>master securityholder file</b> (on-chain or hybrid) to reflect blockchain transfers, as required by SEC staff guidance.
Regulate Crypto Issuers	Symbol & Mega Tag Identification	Issues business control accounts and unique symbols for circulation, ensuring every token has a clear regulatory "Mega tag" for tracking and identification.

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Level 2 Trading Platform	ATS Reporting & Audit Trails	A 24/7 self-service console for bid/ask requests that maintains full audit logs of brokerage activity, supporting <b>Form ATS-N</b> reporting requirements.
Market Makers & Broker Services	Valuation & Pricing Integrity	Fosters pricing accuracy by tracking changes directly impacting token validity, addressing SEC concerns regarding "USD-conversion methodology" and market data sources.

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## AUDIT AND TRACKING FOR VETTED ONCHAINID

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Our implementation utilizes the **ERC-3643** protocol's smart contract hooks to enforce compliance at the protocol level:

- **On-Chain Verification:** Before any trade is executed on our ATS, the DCEP verifies the ONCHAINID against the Central Information Registration database.
- **Auditability:** Because the record of ownership is maintained in part on the blockchain, the DCEP provides a real-time, immutable audit trail of all "qualified" holders.
- **Regulatory Reporting:** The DCEP automates the collection of transaction data (wallet address, quantity, and date) and associates it with off-chain identity data (name and address) to meet SEC recordkeeping and supervisory requirements.

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## CONCLUSION

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By implementing the DCEP, we provide the "plumbing" necessary to ensure that tokenization—while changing the technology—does not change the legal nature of the security or the rigor of its oversight. Our platform ensures that all **ERC-3643** tokens are issued, traded, and settled in full alignment with the **Securities Act of 1933** and the **Exchange Act of 1934**.