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P&S:	8486
Date:	October 15, 2020
To:	ALL MEMBERS AND LIMITED MEMBERS
From:	WEALTH MANAGEMENT SERVICES – MUTUAL FUNDS
Attention:	MANAGER MUTUAL FUND OPERATIONS, MANAGER DATA PROCESSING, MANAGER CASHIERS, MANAGER P&S DEPARTMENT
Subject:	DTCC WEB PORTAL ENHANCEMENT - FUND/SERV SECURITY ISSUE ID AND MEMBER PROFILE MODIFY FORMS

Effective **Friday, October, 30, 2020**, National Securities Clearing Corporation (NSCC) will implement an enhancement to the following Fund/SERV® forms on the [DTCC Web Portal](#) located under the Fund/SERV® product menu option.

- Fund/SERV® Security Issue ID Add
- Fund/SERV® Security Issue ID Modify
- Fund/SERV® Security Issue ID Delete
- Fund/SERV® Member Profile Modify

The enhancement will streamline the submission of bulk update requests, which currently require a spreadsheet be sent in a separate email to DTCC. Each form will now include an upload section which will allow the user to attach the spreadsheet directly to the form, eliminating the additional step of sending the spreadsheet in a separate email.

Details illustrating the enhancements and impact to Web screens are included in the attached Appendix. *The Appendix is for informational purposes. NSCC reserves the right to make additional changes prior to implementation.*

Important Note:

- Effective **Friday, October, 30, 2020**, the revised spreadsheet template, located at the bottom of each form, must be utilized and attached to the form when requesting bulk updates. Spreadsheets emailed directly to DTCC (mutualfundupdates@dtcc.com) **will no longer be accepted.**

DTCC offers enhanced access to all important notices via a Web-based subscription service. The notification system leverages RSS Newsfeeds, providing significant benefits including real-time updates and customizable delivery. To learn more and to set up your own DTCC RSS alerts, visit http://www.dtcc.com/subscription_form.php.

Non-Confidential

TESTING

Effective **Friday, October 23, 2020**, members can begin testing in the DTCC Web Portal Participant Services Environment ([PSE](#)) region.

Clients are encouraged to test and must contact their Relationship Manager before testing begins if access to the Web Portal PSE region has not been previously established.

Questions and comments regarding this Important Notice may be directed to your DTCC Relationship Manager, or Wealth Management Services at 212-855-8877 or WMSconnect@dtcc.com.

Yvette Guzman-Smith
Product Manager

Product Management
DTCC Wealth Management Services

Appendix

The following information outlines the web screens and associated functionality impacted by the enhancements. The enhancements apply to the Fund/SERV® Security Issue ID Forms (add, modify and delete) and Member Profile Modify form. However, for the purpose of illustration, Fund/SERV® Security Issue ID Delete form web screens are leveraged below.

Contact Phone Number *

Please provide any Special Instructions
(1500 characters, maximum)

Select File to Attach (Optional)

File Type XLS Select File : Choose File No file chosen

Submit Reset

Note: For bulk add, delete, or modifications to Security Issue ID's
Download the template below and follow the instructions to complete and upload the form request.

Effective 10/30/2020, the revised template below
must be utilized. The updated template streamlines DTCC processing

Please note

In connection with any application to add a Security Issue ID number to Fund/SERV, it should be noted that under National Securities Clearing Corporation (NSCC) Rule 52, Section 46 the submission of a transaction or instruction through Fund/SE Security Issue ID number (and the settlement, deletion, rejection and exit of any such transaction or instruction from or through Fund/SERV) shall not otherwise relinquish, extinguish or affect any obligations of a Settling Member, TPA Member, M such transaction or instruction.

It should be emphasized in this regard that NSCC has no obligation or responsibility to verify whether any information submitted by a Receiving Fund Member to a Fund/SERV Eligible Fund or its registrar, transfer agent or administrator in connecti Fund/SERV Eligible Fund shares) under Rule 52, Section 46 is adequate to comply with the legal or other restrictions or requirements that may be applicable to such a transfer.

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New upload section has been added toward the bottom of each form, which will allow the user to attach the spreadsheet directly to the form, eliminating the additional step of sending the spreadsheet in a separate email. To attach the spreadsheet, select 'Choose File'.


The Excel spreadsheet template will now be located at the bottom of each form. After completing the template, please save the spreadsheet prior to attaching it to the form.

MFS Menu > Fund/SERV: Security Issue ID Add Form

Fund/SERV Security Issue ID Add Form

- * Please input the number of days for Processing
- * Please complete the Order Settlement Cycle from Trade Date
- * Please complete the Cash Adjustments Settlement Cycle
- * Please complete the As of Orders Settlement from Confirm Date
- * Please complete the Exchange Settlement Cycle from Confirm Date
- * You selected 'Yes' to Alternate Order Settlement Indicator. Please provide Clearing Number
- * You selected 'Yes' to Alternate Order Settlement Indicator. Please provide Firm Name
- * Please Note: You must reattach the spreadsheet prior to resubmitting the form.

Instructions

The Security Issue ID Add Form requires you to complete only those fields which you would like to add.
Required fields are indicated *.
Conditional fields which may be required as a result of a dependent selection are indicated .
Upon completion, click **Submit** at the bottom of this page.

By submitting a Fund/SERV Security Issue ID for processing at NSCC, you are representing that you are authorized by the Fund and/or its Principal Underwriter to submit the Security Issue ID on behalf of the Fund.

Today's Date *

Email Address *

Please note if a validation error occurs during submission of the form with an attachment, the attachment will be removed and you will need to reattach the spreadsheet after the errors have been corrected. The error message reminding the user to reattach the spreadsheet will be displayed on the top of the form.