



Important Notice
National Securities Clearing Corporation

A#:	9347
P&S#:	8920
Date:	OCTOBER 12, 2023
To:	ALL ACATS PARTICIPANTS
From:	ACATS PRODUCT MANAGEMENT, DTCC EQUITIES CLEARING
Attention:	DIRECTOR OF OPERATIONS, ACCOUNT TRANSFERS DEPARTMENT, MUTUAL FUND OPERATIONS, P&S DEPARTMENT
Subject:	ACATS NEW CLIENT INTERFACE AND 529 PLAN ENHANCEMENT

This is a follow-up to [NSCC Important Notice a9259](#) (January 26, 2023). NSCC's Automated Customer Account Transfer Service (ACATS) new inbound and outbound data messaging capabilities and 529 college plan enhancements are now available in both Test (PSE-U Region) and Production. The new message capabilities allow firms to submit and receive ACATS transactions using JSON (JavaScript Object Notation) message formats via either REST API (for inbound submissions from firms to ACATS only) or MQ (for inbound submissions to ACATS and/or outbound from ACATS to firms). The new messaging capabilities are an add on to the existing suite of communication protocols (which include SFTP, NDM, web upload and web user interface) and will not impact or require immediate changes to your existing legacy process which uses fixed and variable formats or transaction input via DTCC's Web Portal (portal.dtcc.com). The new messaging and legacy data exchange will all be supported simultaneously within the existing ACATS workflow. However, the introduction of the new message formats will commence a multi-year transition period for firms to migrate off the legacy files to the new JSON messaging via API and/or MQ.

This release offers API and/or MQ for the transfer initiation (TI), asset transfer (AT) and fund registration (FR) inbound submissions to ACATS. MQ messaging in JSON formats is now available for all outbound activity (ACATS to Firm). For firms that only use transaction input screens, this capability will not be impacted as part of this project. However, new data (such as the 529 enhancement described in the next section) will not be added to the transaction input screens at this time.

Updates have been made to the DTCC API Marketplace with the ACATS API's, schemas, and API Starter Kit for the new messages. MQ documentation is also available for inbound and outbound messages. Firms can review all information at dtcclearning.com. Direct links to the API Marketplace are <https://developer-test.dtcc.com> for Test/PSE or <https://developer.dtcc.com> for production.

DTCC, on behalf of its subsidiaries, 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.

For full access to the API Marketplace and to start the API/MQ onboarding process, please contact the NSCC Integration Team at nscintegration@dtcc.com. Our NSCC Integration Team will be your primary point of contact in assisting your firm through the onboarding process.

With the new messaging in place, a target date of October 2025 has been established for firms to be fully transitioned from the legacy variable and fixed formats to JSON messages via API and/or MQ. The legacy files will be scheduled for decommissioning after this period.

ACATS Inbound Activities Supported by API and/or MQ

All existing Transfer Types: FUL, PTR, PTD, RCR, RCL, FRV, MFC, and PTF will be supported in conjunction with the following transaction types.

ACATS API inbound:

Add Asset to Full Transfer or Partial Transfer Receiver	▼	
POST /asset	Submits the ACATS Asset Input (AT) ADD transaction for FUL and PTR Transfer Types.	🔒
Add Multiple Assets to Full Transfer or Partial Transfer Receiver	▼	
POST /addMultipleAssets	Submits the ACATS Asset Input (AT) ADD multiple transactions for FUL and PTR Transfer Types.	🔒
Adjust Account Transfer	▼	
POST /account-transfer/{transferIdentifier}	Submits the ACATS Transfer Input (TI) CHANGE transaction for FUL Transfer Type.	🔒
Adjust Asset	▼	
POST /asset/{assetSequenceNumber}	Submits the ACATS Asset Input (AT) CHANGE transaction for FUL Transfer Type.	🔒
Delete Asset	▼	
POST /account-transfer/{transferIdentifier}/assets	Submits the ACATS Asset Input (AT) DELETE transaction.	🔒
Fund Registration	▼	
POST /fund-registration	Submits the ACATS Fund Registration ADD transaction for Transfer Types (FUL, PTR, PTD, PTF, RCR).	🔒
Initiate Account Transfer	▼	
POST /account-transfer	Submits the ACATS Transfer Input (TI) ADD transaction for all Transfer Types (FUL, PTR, PTD, PTF, RCL, RCR, MFC, FRV).	🔒
Reject or Accelerate an Account Transfer	▼	
POST /account-transfer/{transferIdentifier}/transferState	Submits the ACATS Transfer Input (TI) REJECT or ACCELERATE transaction.	🔒

ACATS MQ inbound:

Request Type	Transaction Type	Action
TI	ADD	Transfer Initiate
TI	CHANGE	Transfer Adjust
TI	ACCELERATE	Transfer Accelerate
TI	REJECT	Transfer Reject
AT	ADD	Asset Add
AT	CHANGE	Asset Adjust
AT	DELETE	Asset Delete
AT_MULTIPLE	ADD	Multiple Asset Add
FR	ADD	Fund Registration Add

Insurance Registration (IR) – will not be supported in new API/MQ. Firms that support ACATS/IPS will continue to submit IR in legacy format. A solution to streamline ACATS/IPS process is in analysis.

ACATS Outbound Activities Supported by MQ:

For each of the below Autoroute products, equivalent egress services were created to generate the JSON messages to be distributed to the recipient participants. JSON Messages via MQ will replace the following legacy variable and fixed format output:

File	Test AutoRoute #	Production AutoRoute #
ACATS MULTICYCLE TRANSACTION MRO VARIABLE	02980716	02090716
ACATS END OF DAY TRANSACTION MRO VARIABLE	02980717	02090717
ACATS END OF DAY POSITION MRO VARIABLE	02980718	02090718
ACATS END OF DAY SETTLEMENT MRO VARIABLE	02980719	02090719
ACATS FUND/SERV STATISTICS MRO VARIABLE	02980720	02090720
ACATS INTERFACE REJECTS MRO VARIABLE	NA	02090721
ACATS INSURANCE STATS MRO VARIABLE	02981489	02091489
ACATS CNS INELIG SECURITY REJECTS MRO VARIABLE	02981473	02091473
ACATS CNS END OF DAY FAIL MRO VARIABLE	02981475	02091475
ACATS RVRSLs NON-CNS & CNS MRO VARIABLE	02981008	02091008
ACATS RVRSLs NON-CNS MUTUAL FUND MRO VARIABLE	02981076	02091076
ACATS MULTI CYCLE TRANSACTION MRO FIXED	02980722	02090722
ACATS END OF DAY TRANSACTION MRO FIXED	02980723	02090723
ACATS END OF DAY POSITION MRO FIXED	02980724	02090724

ACATS END OF DAY SETTLEMENT MRO FIXED	02980725	02090725
ACATS FUND/SERV STATISTICS MRO FIXED	02980726	02090726
ACATS INTERFACE REJECTS MRO FIXED	NA	02090727
ACATS INSURANCE STATS MRO FIXED	02981499	02091499

APIs for the above outbound activities will not be supported at this time. Support for API outbound will be considered later based on industry demand.

Legacy Print Image Reports below are not in scope for decommission currently. However, it will be considered for replacement at a future date.

File	Test AutoRoute #	Production AutoRoute #
ACATS MULTI CYCLE TRANSACTION REPORT	02980710	02090710
ACATS END OF DAY	02980711	02090711
ACATS SETTLEMENT	02980712	02090712
ACATS DELIVER INSTRUCTIONS	02980713	02090713
ACATS RECEIVE INSTRUCTIONS	02980714	02090714
ACATS FUND/SERV STATISTICAL REPORT	02980715	02090715
ACATS FUND/SERV DELIVER INSTRUCTIONS REPORT	02980761	02090761
ACATS FUND/SERV RECEIVE INSTRUCTIONS REPORT	02980762	02090762
ACATS INSURANCE STATS REPORT	02981500	02091500
ACATS INSURANCE STATS DLVR INSTRUCTIONS REPORT	02981501	02091501
ACATS INSURANCE STATS RCV INSTRUCTIONS REPORT	02981502	02091502
ACATS CNS INELIG SECURITY R&D INSTRUCTIONS RPT	02981474	02091474
ACATS CNS EOD FAIL R&D INSTRUCTIONS REPORT	02981476	02091476

529 College Plan Transfers Enhancement

With the introduction of the new messaging, and the planned decommission of the legacy files, no new data elements will be added to the variable or fixed formats going forward. Any new data will be added to the JSON formats only. The first new data elements added to the JSON message formats that were not added to legacy is the data required to support 529 account transfers via ACATS-Fund/SERV.

These enhancements, which were approved by the SIFMA Customer Account Transfer Forum and ICI BDAC's Transfers Working Group, create greater automation in the transferring of 529 positions between two brokerage accounts (omnibus or Network Level 3) or between a brokerage and fund (PTF - for firm to fund or fund to firm). Currently, 529 positions can either be transferred by leveraging the Mutual Fund Networking B52/F53 transfers records or via manual request to the fund. In both scenarios, it requires manual intervention to supply the critical data elements not currently available in the ACATS system, leading to the risk of manual entry errors.

After extensive review, the industry collectively decided that the most efficient way to support 529 transfers is using ACATS. This enhancement now adds the data elements currently found on the Networking B52/F53 transfer process to the ACATS Asset information JSON format which will enable the delivering firm to send the data that will reside on the Fund/SERV statistics output.

Intermediaries are seeing increased interest and growth of 529 products on their brokerage platform. The manual transfer of shares is viewed as a significant barrier in wider distribution. The increased efficiency and automation gained by this enhancement will lead to a quicker more accurate delivery of shareholder 529 assets. It will also line up with the delivery of other shareholder assets when the other assets are moved via ACATS.

1. These new data elements have been added to the mutual fund extension data section (Asset-Mutual-Funds schema in API Marketplace) and used when the transfer account type is a 529 Plan. New data added includes:
 - IRS 529 Annual Strategy Change Counter
 - Cost Basis Amount
 - Earnings to Date Money Amount

JSON Attribute Sample data (see API marketplace and/or MQ documentation for full schemas):

<code>irs529AnnualStrategyChangeCounter</code>	<pre>string IRS 529 Annual Strategy Change Counter Enum: > Array [18]</pre>
<code>costBasisAmount</code>	<pre>string pattern: ^[0-9]{1,14}['.']*[0-9]{0,2} Cost Basis Amount</pre>
<code>earningsToDateMoneyAmount</code>	<pre>string pattern: ^[0-9]{1,14}['.']*[0-9]{0,2} Earnings to Date Money Amount</pre>

2. Fields will be available on multicycle output and Fund/SERV Statistics reporting via MQ JSON messages.
3. For fund companies/transfer agents only, fields will be added to the existing:
 - Fund/SERV 018 (ACATS transfer) record received by fund company/transfer agent.
 - Fund/SERV 019 (ACATS Transfer Acknowledgement/Rejection) record sent by fund company/transfer agent.

Fund Companies will not be receiving data in new messaging formats.

Documentation:

All information on the project can be reviewed at:

<https://dtcclearning.com/products-and-services/equities-clearing/acats/acats-projects.html>

Website registration is required for access to this documentation.

Additional Information:

A copy of this Important Notice can be obtained from the website of NSCC's parent corporation, The Depository Trust & Clearing Corporation, at <http://www.dtcc.com>. If you have any questions regarding this notice, please contact your DTCC Relationship Manager.

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