

A#:	a8913
P&S:	8486
Date:	October 15, 2020
То:	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 <u>DTCC Web Portal</u> 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.

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.

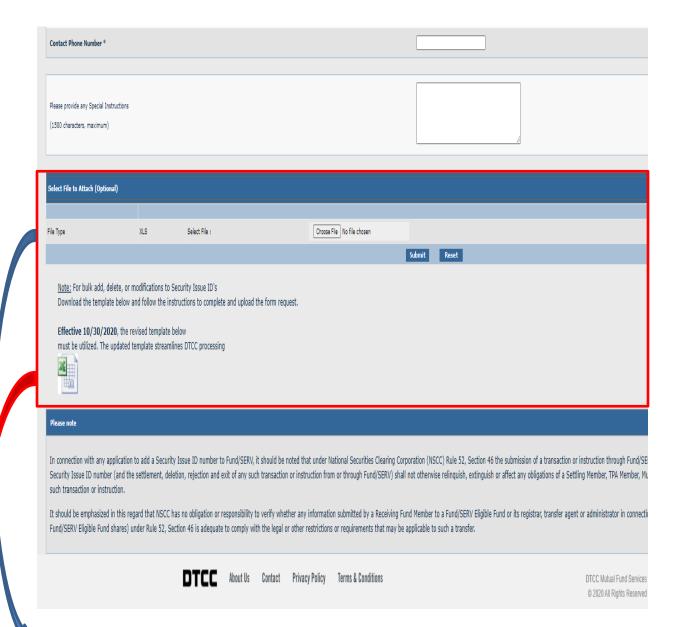
Questions and comments regarding this Important Notice may be directed to your DTCC Relationship Manager, or Wealth Management Services at 212-855-8877 or WMSconnect@dtcc.com.

Yvette Guzman-Smith Product Manager

Product Management DTCC Wealth Management Services

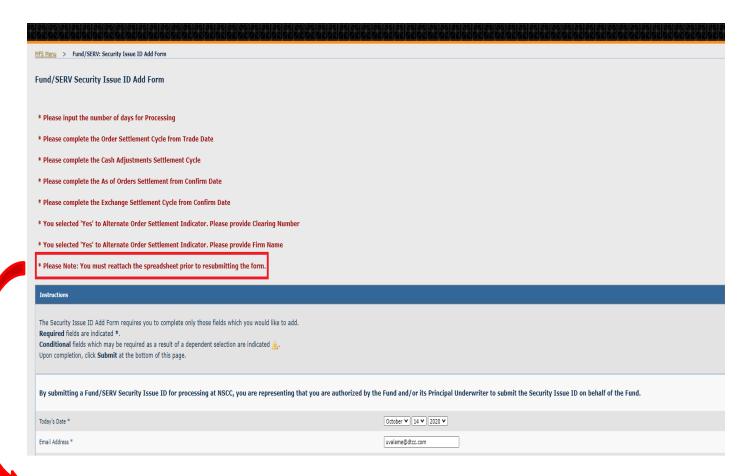
Appendix

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.



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.



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.