

# **IMPORTANT NOTICE**

**National Securities Clearing Corporation**



**A#:** 7069  
**P&S#** 6640  
**Date:** September 28, 2010  
**To:** All Participants  
**Attention:** Managing Partner/Officer; P&S Manager, Cashier; Operations Manager; Manager, Data Processing Manager, IT Manager  
**From:** Product Management  
**Subject:** Universal Trade Capture Testing

Please note the following upcoming Universal Trade Capture (UTC) application testing dates:

- Parallel test output: **October 11, 2010**
  - Includes: UTC Trade Capture MQ message, NSCC Cease to Act message, Good Night messages, UTC Contract MRO, Legacy MRO's, When-Issued/When-Distributed MRO's, Print Image contract (End of Day) and Consolidated Trade Summary
- UTC input test:
  - MQ input test: **February 2011**
  - FIX Engine input test: **March/April 2011**
- Please note that as legacy trade capture applications are retired, beginning **November 18, 2010** with Correspondent Clearing, their current print image reports will no longer be distributed to Members through its normal channels via AutoRoute. UTC will produce a consolidated print image contract at the end of the day, replacing those from individual post-trade capture applications. Members who currently have access through SMART/Search to view the legacy clearance print image reports will automatically be set up to view the consolidated print image report. We encourage you to visit the site prior to November 18 to become comfortable with the website and to prepare for the change in print image distribution. Please see the Appendix to this Important Notice for more details on how to access print image contracts through the report repository.

Please visit the UTC web page <http://dtcclearing.com/learning/clearance/> to find the UTC formats. For more details about UTC and the overall testing and implementation schedule, see Important Notice A#7030, P&S#6601, dated July 21, 2010.

DTCC is now offering enhanced access to all important notices via a new, Web-based subscription service. The new 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](http://www.dtcc.com/subscription_form.php).

### Additional Information

For assistance with testing, please contact the Enterprise Service Center at 888-382-2721 (option 5, option 1).

If you have any questions or need additional support in accessing the UTC web page, please call or email our Training Administrator at 888-258-6393, [training\\_administrator@dtcc.com](mailto:training_administrator@dtcc.com).

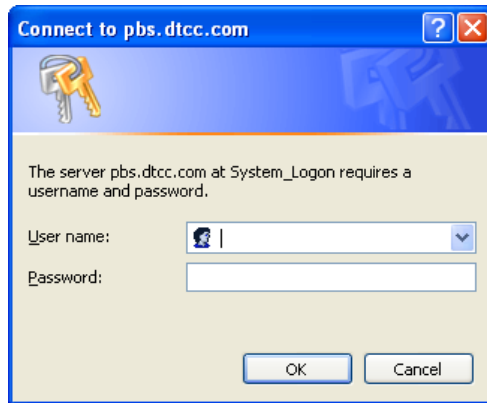
For questions about the Universal Trade Capture application, please contact your Relationship Manager or the undersigned at 212-855-2262.

Tim Garrett  
Product Management  
Equities Clearance

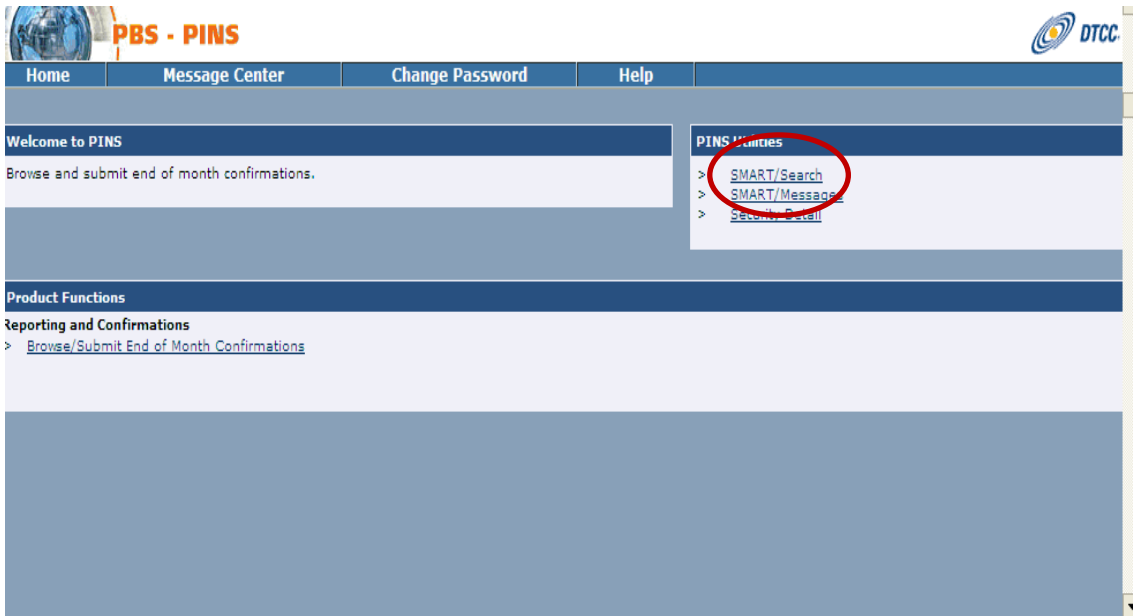
## Appendix: Print Image Download

Note: A valid PBS Sign-on ID and password are required to register for the report repository. If you do not have a Sign-on ID, please contact your firm’s Access Coordinator. If you do not know your firm’s Access Coordinator, please contact DTCC Customer Service Desk, at 888-382-2721, or your DTCC Relationship Manager.

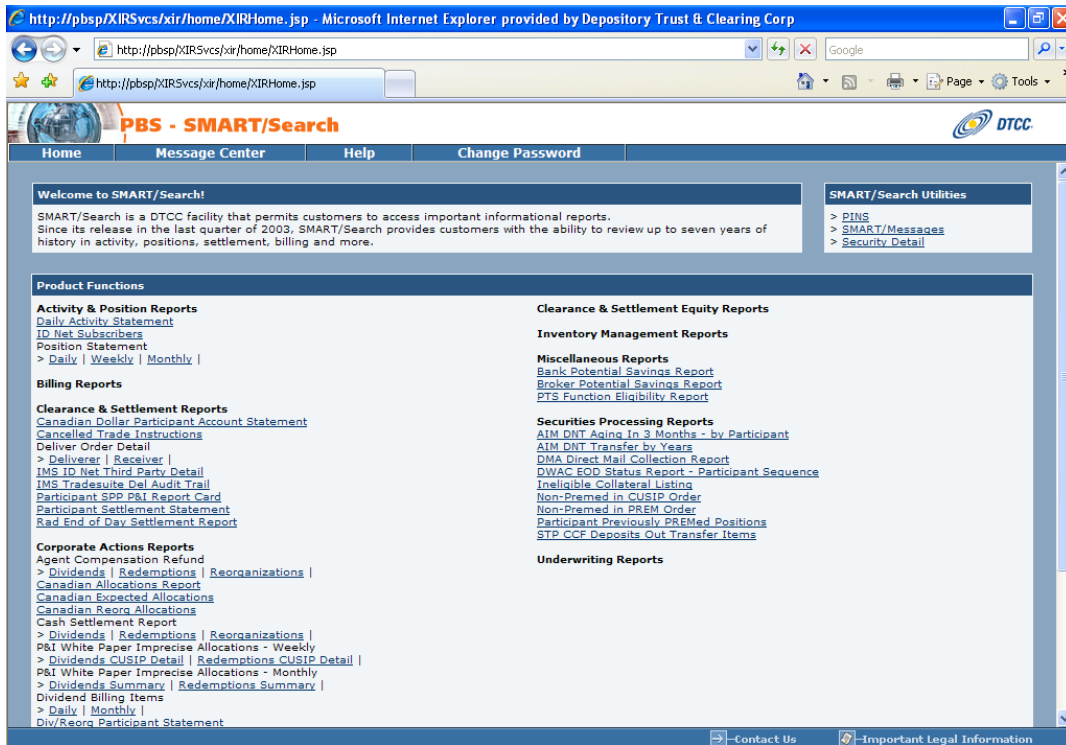
1. You may access the print image repository through the following website: <https://pbs.dtcc.com>.



2. Once logged in, you can access the print image repository by selecting “SMART/Search”:



3. A list of reports you are entitled to view will be available. Your reports may be different than those in the following picture:



4. Reports can be refined by different criteria. The screenshot below is for Daily Activity Reporting but functionality will be the same. Additionally, an internal DTCC user search is displayed. For participants, "User Name" and "Participant From" will be pre-populated and cannot be modified as search criteria.

The screenshot shows a web browser window with the URL `http://pbsp/XIRsvcs/xir/home/XIRHome.jsp`. The page title is "PBS - SMART/Search" and the DTCC logo is visible in the top right. The navigation menu includes "Home", "Message Center", "Help", and "Change Password".

The main content area is titled "Report Inquiry" and includes a "Go To:" dropdown menu. Below this, the "Daily Activity Statement" section is displayed, with the date "Sep 07, 2010 - 01:30 PM EST" and the user "Logged on as: D0065-011".

The "Search Criteria" section contains two radio buttons: "Retrieve by Report Version" (selected) and "Retrieve by Report Date". Below these are input fields for "Report Version:" and "Date From:" and "Date To:". A legend indicates that an asterisk (\*) denotes a required field.

The "Additional Selection Criteria" section includes the following fields:

PARTICIPANT From:	<input type="text"/>	User Name:	STRATEGIC PLANNING
CUSIP From:	<input type="text"/>	To:	<input type="text"/>
OTHER PARTY From:	<input type="text"/>	To:	<input type="text"/>
Work Queue Report Name:	<input type="text"/>		

At the bottom of the form are buttons for "Reset", "Add to Work Queue", and "Search".

5. Reports can now be selected:

The screenshot shows a web browser window displaying a report selection interface. The main window is titled "Report Repository PSR DAILY PARTICIPANT ACTIVITY S - Microsoft Internet Explo...". The interface includes a navigation menu with "Home", "Message Center", "Help", and "Change Password". The main content area is titled "Report Inquiry" and "Daily Activity Statement". A search criteria section is visible on the left. The main window displays a table of report versions with the following data:

Date/Time	Version	Archive Indicator
09/03/2010 20:20	1999	
09/02/2010 20:18	1998	
09/01/2010 20:23	1997	
08/31/2010 20:19	1996	
08/30/2010 20:17	1995	
08/27/2010 20:19	1994	<a href="#">Restore</a>
08/26/2010 20:19	1993	<a href="#">Restore</a>
08/25/2010 20:20	1992	<a href="#">Restore</a>
08/24/2010 20:18	1991	<a href="#">Restore</a>
08/23/2010 20:17	1990	<a href="#">Restore</a>
08/20/2010 20:20	1989	<a href="#">Restore</a>
08/19/2010 20:21	1988	<a href="#">Restore</a>
08/18/2010 20:19	1987	<a href="#">Restore</a>

The interface also includes a "Skip to Page:" field with a "Go" button and a "Next" button. The bottom of the page has "Contact Us" and "Important Legal Information" links.

6. Once complete, print reports can be viewed online, emailed or downloaded.