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Date:	AUGUST 16, 2012
To:	ALL PARTICIPANTS
From:	WEALTH MANAGEMENT SERVICES – MUTUAL FUNDS
Attention:	MANAGER MUTUAL FUNDS OPERATIONS, MANAGER DATA PROCESSING, MANAGER CASHIERS, MANAGER P&S DEPARTMENT
Subject:	NEW RETIREMENT PLAN REPORTING FILES ADDED TO NETWORKING PLATFORM

Effective, **Monday, February 4, 2013**, National Securities Clearing Corporation (NSCC) will implement the following to the Networking service:

- New Networking Retirement Plan Reporting files
- Create Networking transmission schedule to support the Retirement Plan Reporting files

As the retirement plan industry continues to grow and evolve, broker-dealer firms are requiring additional plan level information for a variety of needs. Amongst other reasons, firms need information to meet their regulatory obligation for the Department of Labor Rule 408(b)(2). They also need data internally to accurately allocate compensation received in conjunction with the retirement plans and to monitor that the types of retirement business being accepted meet the firm's compliance criteria. Many firms have created point to point communication methods to gather this information from their retirement business partners. Since the transmission of retirement plan information today is not standardized in form or delivery, NSCC has been requested to create a standardized and more efficient method of transmitting retirement plan information.

TESTING

Effective Friday, January 11, 2013, participants can begin testing in the Participant Services Environment (PSE) test region.

The Networking Retirement Plan Reporting file transmissions will be added to the PSE region.

Participants are encouraged to test and must contact their Relationship Manager before testing begins to ensure proper setup for the PSE region. Relationship Managers should be contacted at least three (3) days prior to testing.

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.

DOCUMENTATION

NSCC will create new transmission schedules specific to the Retirement Plan Reporting files. The schedule will be available on the DTCC website on or about **September 21, 2012**. Schedules can be found at: http://www.dtcc.com/products/wealthmgmt/members/transmission_schedules.php

Record layouts will be available on or about **September 21, 2012** on DTCC's website at http://www.dtcc.com/products/wealthmgmt/members/record_layouts.php

Best Practice and User Guide will be created and available on or about **February 4, 2013**. An email notification will be sent upon posting of these materials to the DTCC website.

The transmission schedule information provided within this Important Notice is for informational purposes only and does not constitute the final transmission cycles. NSCC reserves the right to make additional changes to the transmission schedules prior to implementation.

SERVICE ACTIVATION

In order to participate in the Retirement Plan Reporting service, participants are required to sign up for activation to the new files and new Datatrak and Autoroute IDs:

- Datatrak Sysid 26590 (Production) and 46590 (PSE)
- Autoroute 02101322 (Production) and 02981322 (PSE)

For more information on the sign up process, as well as any questions or comments regarding this Important Notice, please contact your Wealth Management Services Relationship Manager at 212-855-8877.

Therese Leahy
Product Manager
DTCC Wealth Management Services
212-855-2770

Networking Transmission Schedule

The Networking transmission schedule will be updated to include the schedule for the Retirement Plan Reporting files.

Production schedule for Retirement Plan Reporting files:

Production Environment								
Description	Input to NSCC				NSCC Output			
	DataTrak SYSID	Input By	Input Time		AutoRoute Numbers	Receives Output	Output Time	
			Mon - Fri	Sat			Mon - Fri	Sat
MFN Retirement Plan Reporting Files	26590	B	01:00 AM – 09:00 AM	04:00 AM – 04:00 PM	02101322	B	10:00 am	05:00 pm

PSE schedule for Retirement Plan Reporting files:

Participant Service Environment						
Description	Input to NSCC			NSCC Output		
	DataTrak SYSID	Input By	Input Time Mon - Fri	AutoRoute Numbers	Receives Output	Output Time Mon - Fri
MFN Retirement Plan Reporting Files	46590	B	07:00 AM - 12:00 PM	02981322	B	01:00 pm

Production schedule for Retirement Plan Reporting Cycles

Networking Retirement Plan Reporting Cycles						Production Environment		
Input Received from Firms (B): DataTrak SYSID: 26590				Output Sent to Firms (B): AutoRoute File: 02101322				
From	Until	From	Until	Extracted		Send By		Cycle Counter
Mon-Fri		Sat		Mon-Fri	Sat	Mon-Fri	Sat	
01:00 AM	05:00 AM	04:00 AM	12:00 PM	05:15 AM	12:15 PM	06:00 AM	01:00 PM	1
05:00 AM	06:00 AM	12:00 PM	01:00 PM	06:15 PM	01:15 PM	07:00 AM	02:00 PM	2
06:00 AM	09:00 AM	01:00 PM	04:00 PM	09:15 AM	04:15 PM	10:00 AM	05:00 PM	3

PSE schedule for Retirement Plan Reporting Cycles

Networking Retirement Plan Reporting Cycles			Participant Service Environment	
Input Received from Firms (B): DataTrak SYSID: 46590			Output Sent to Firms (B): AutoRoute File: 02981322	
From (Mon-Fri)	Until (Mon-Fri)	Extracted (Mon-Fri)	Send By (Mon-Fri)	Cycle Counter
07:00 AM	09:00 AM	09:15 AM	10:00 AM	1
09:00 AM	10:00 AM	10:15 AM	11:00 AM	2
10:00 AM	12:00 PM	12:15 PM	01:00 PM	3