OFAC Confirmation
Quick Reference Guide

DTC/NSCC/FICC requires its U.S. Participant/Member firms to confirm their Office of Foreign Assets Control ("OFAC") compliance program every 2 years, by submitting a Confirmation of an OFAC Program Letter for all of their legal entities. This recertification process is completed through the DTCC Self Service Confirmation System's OFAC Confirmation application. This guide will lead you through the process.
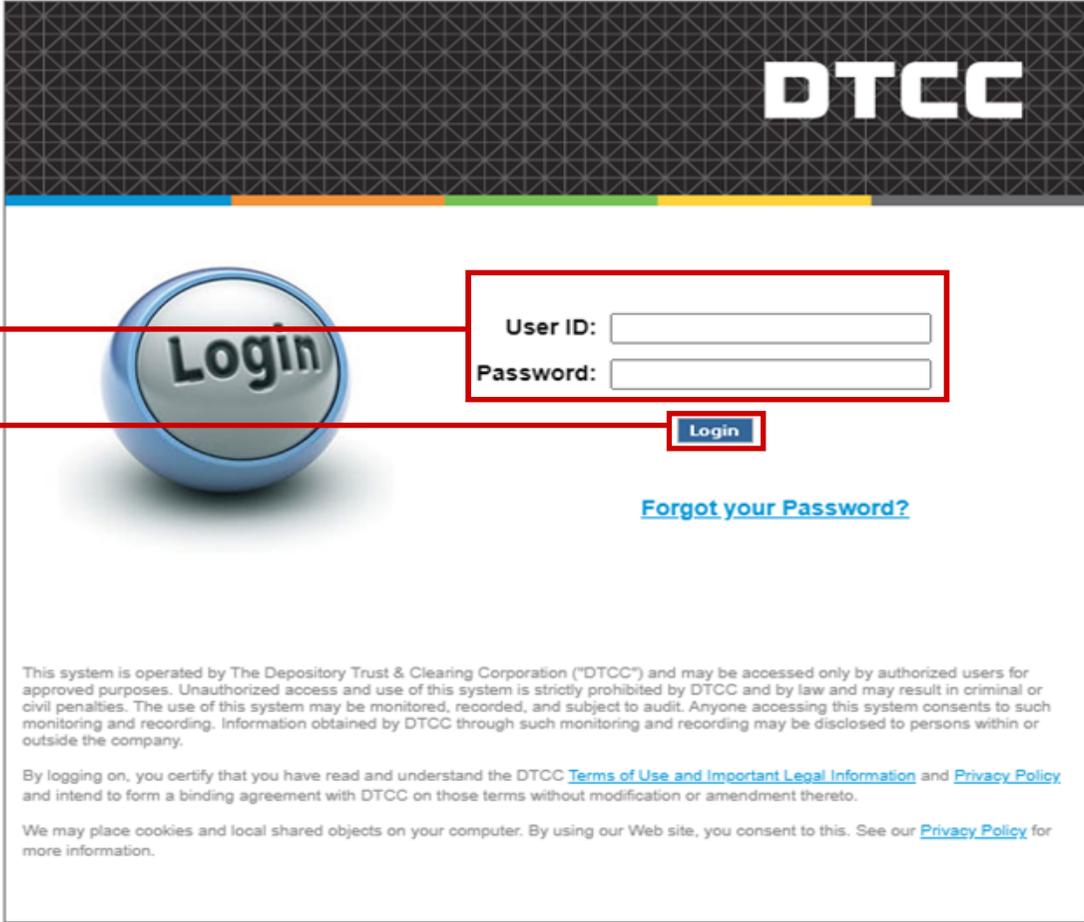
In this guide, you will learn how to:

- *Login*
- *Access the OFAC Confirmation*
- *Confirm Legal Entities*
- *Download the OFAC Certification*
- *View the OFAC Certification History*

DTCC

Login

You can access **OFAC Confirmation** through the **MyDTCC Portal**.

1. Type in your **User ID** and **Password**.

2. Click **Login** to view the **Available Production Products**.
   (**Note**: *User ID and Password are sent to the firm's designated OFAC Officer(s) via email.*)
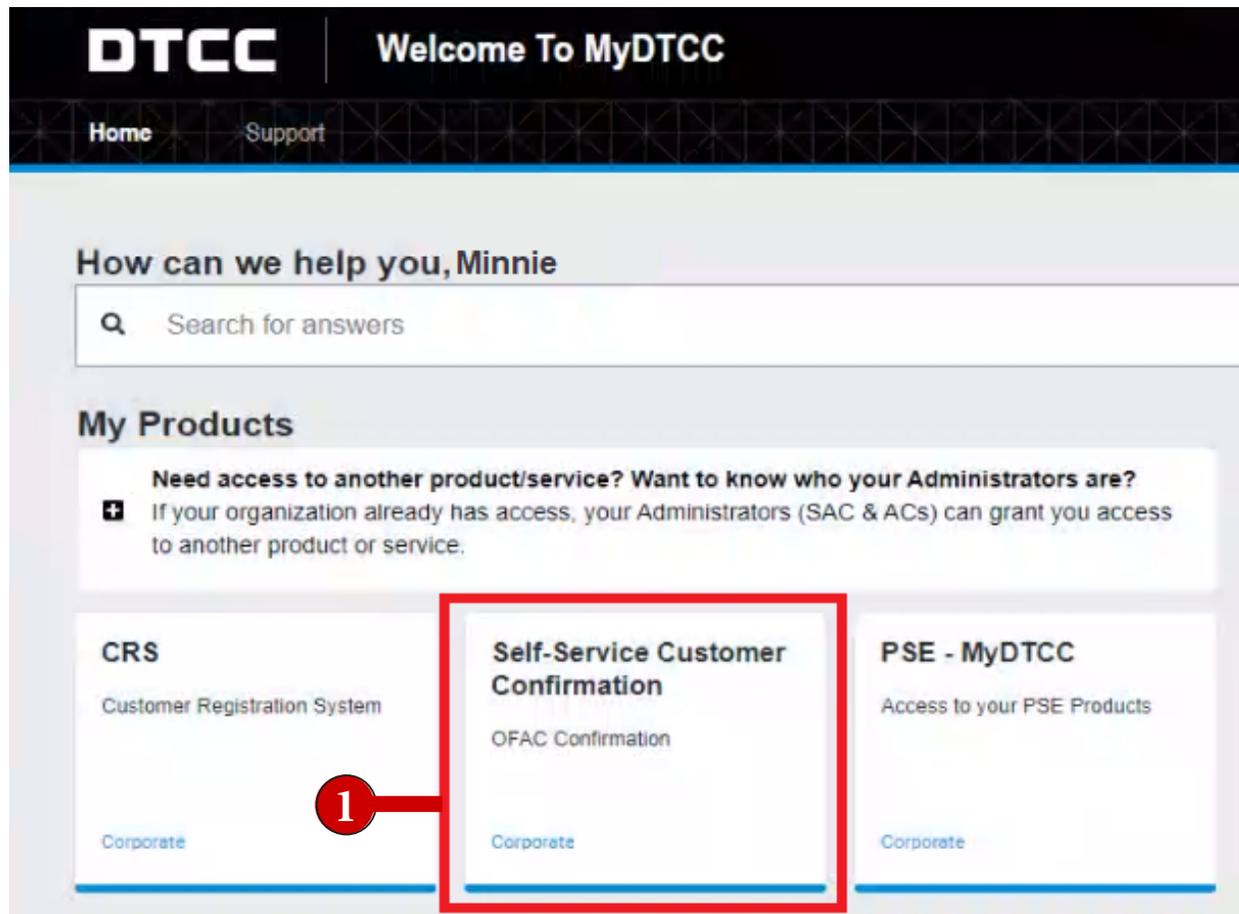
Access OFAC Confirmation

You can access **OFAC Confirmation** in the **My Products** section.

1. Click **Self-Service Customer Confirmation** to access **OFAC Confirmation**.

Confirmation Process

Confirm the Legal Entities listed in the **OFAC Confirmation Alerts** screen by:

1. Selecting the **Legal Entites** you wish to **confirm**. If you wish to select all, check the first box, under "Check All".

2. Clicking **Confirm,** to confirm one or several **Legal Entities**.

Confirmation Process (continued)

Once you click **Confirm** on the **OFAC Confirmation Alerts** screen, a window will appear with the OFAC Certification Language (as it appears below).

3. Select **I digitally sign this and accept the terms set within** after reading the OFAC Certification Language.

4. Click **Accept**.

Self Service Confirmation Portal

Please read and acknowledge your firm's confirmation of an OFAC Program.

I am the OFAC Compliance Officer, Chief Compliance Officer or am otherwise responsible for managing User's* OFAC or sanctions compliance program. This certification is being executed in accordance with applicable rules related to User's compliance with sanctions regulations (31 CFR Chapter V and Appendices) administered by the U.S. Deppartment of the Treasury's Office of Foreign Assets Control ("OFAC") and applies to all transactions and business activities (collectively referred to as "Business") conducted through The Depository Trust Company, National Securities Clearing Corporation, and both divisions of the Fixed Income Clearing Corporation (collectively the "Clearing Agencies").

User hereby certifies as follows:

1. User is a "United States person" (as defined under applicable OFAC sanctions regulations) that is subject to, and has implemented a risk-based program reasonably designed to comply with, applicable OFAC sanctions regulations.

3 ☐ I digitally sign this and accept the terms set within.

4 [Accept] [Cancel]

Confirmation Process (continued)

Once you **accept** the terms of the **OFAC Certification**, a message will appear indicating that the **Legal Entities** you have selected have been **confirmed** successfully and an email will be sent to you confirming your updates.

DTCC — Self-Service Confirmation Portal (QA)

External Update
▸ Log Out

OFAC Confirmation   14-Feb-2022 9:32:12 AM

OFAC Confirmation Alerts

OFAC Compliance details updated successfully.

Download: 🔁 Confirmation of an OFAC Program

13 items found, displaying 1 to 10.   [First/Prev] 1,2 [Next/ Last]

Check All ☐	Legal Entity Name	Expiration Date	No. of Days to Expiration	Status	Last Confirmation Date	Confirmed By
☐	LE107	2023-01-25	345	Confirmed	2021-01-25	External Update
☐	LE203	2023-01-25	345	Confirmed	2021-01-25	External Update
☐	LE104	2023-02-24	375	Confirmed	2021-02-24	External Update
☐	TSG_LE1	2023-03-01	380	Confirmed	2021-03-01	External Update
☐	LE101	2023-03-13	391	Confirmed	2021-03-12	External Update
☐	LE110	2023-04-17	426	Confirmed	2021-04-15	External Update
☐	LE201	2023-04-17	426	Confirmed	2021-04-15	External Update
☐	ADP, INC.	2023-04-17	426	Confirmed	2021-04-15	External Update
☐	LE109	2023-07-10	510	Confirmed	2021-07-08	External Update
☐	LE202	2023-07-10	510	Confirmed	2021-07-08	External Update

13 items found, displaying 1 to 10.   [First/Prev] 1,2 [Next/ Last]

Download to: 🗶 Excel | ⊕ XML

Confirm

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Downloads

On the **OFAC Confirmation Alerts** screen, you can download multiple documents.

1. You can download a copy of the **OFAC Certification**.

2. You can export the **Legal Entities confirmed** to **Excel** and/or **PDF**.

OFAC Confirmation   30-Mar-2022 1:19:59 PM

OFAC Confirmation Alerts

(1) Download: 📄 **Confirmation of an OFAC Program**

13 items found, displaying 1 to 10.   [First/Prev] **1**,2 [Next/ Last]

Check All ☐	Legal Entity Name	Expiration Date	No. of Days to Expiration	Status	Last Confirmation Date	Confirmed By
☐	LE107	2023-01-25	301	Confirmed	2021-01-25	External Update
☐	LE203	2023-01-25	301	Confirmed	2021-01-25	External Update
☐	LE104	2023-02-24	331	Confirmed	2021-02-24	External Update
☐	TSG_LE1	2023-03-01	336	Confirmed	2021-03-01	External Update
☐	LE101	2023-03-13	348	Confirmed	2021-03-12	External Update
☐	LE110	2023-04-17	383	Confirmed	2021-04-15	External Update
☐	LE201	2023-04-17	383	Confirmed	2021-04-15	External Update
☐	LE109	2023-07-10	467	Confirmed	2021-07-08	External Update
☐	LE202	2023-07-10	467	Confirmed	2021-07-08	External Update
☐	TSG_LEGAL	2023-07-28	485	Confirmed	2021-07-28	External Update

13 items found, displaying 1 to 10.   [First/Prev] **1**,2 [Next/ Last]

(2) Download to: 📊 Excel | 🔷 XML

Confirm

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Legal Entity History

You can view a Legal Entity's **history** by clicking the **Legal Entity Name** on the **OFAC Confirmation Alerts** screen.

1. Click the **Legal Entity Name**.