

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.

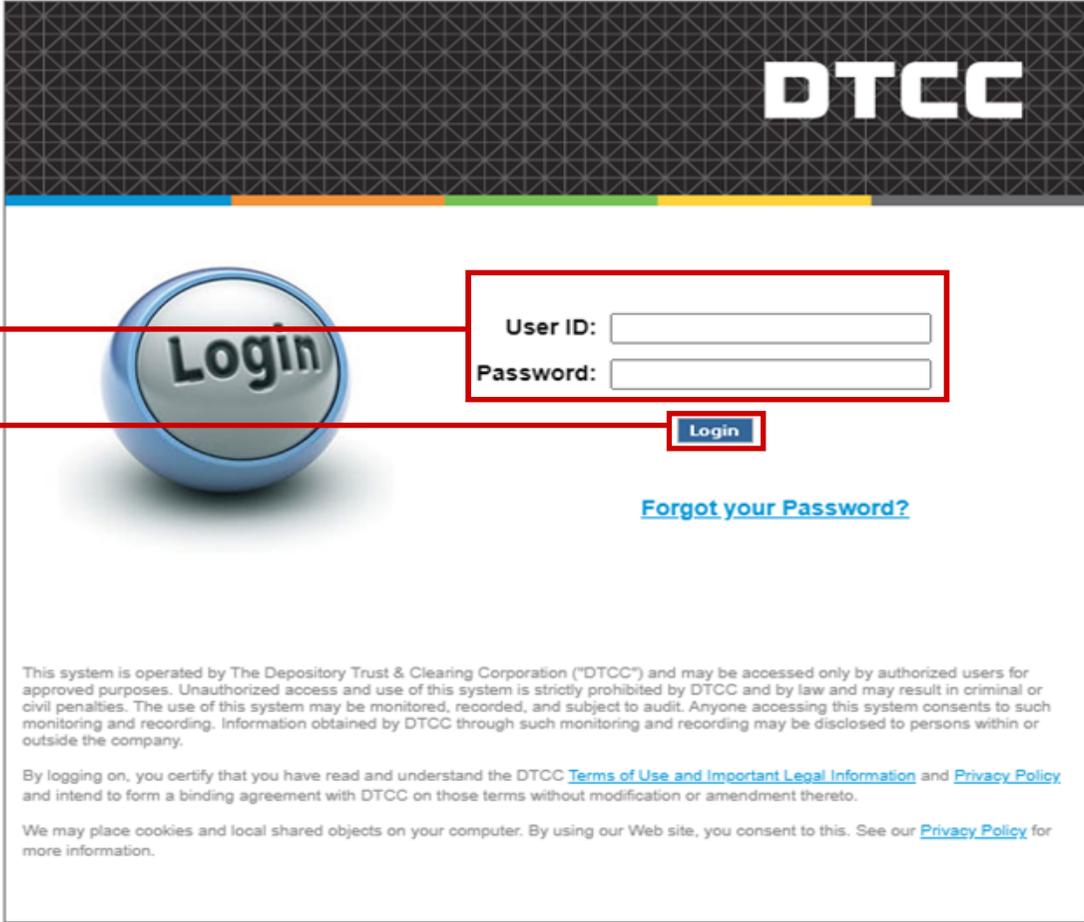
In this guide, you will learn how to:

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

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.*)

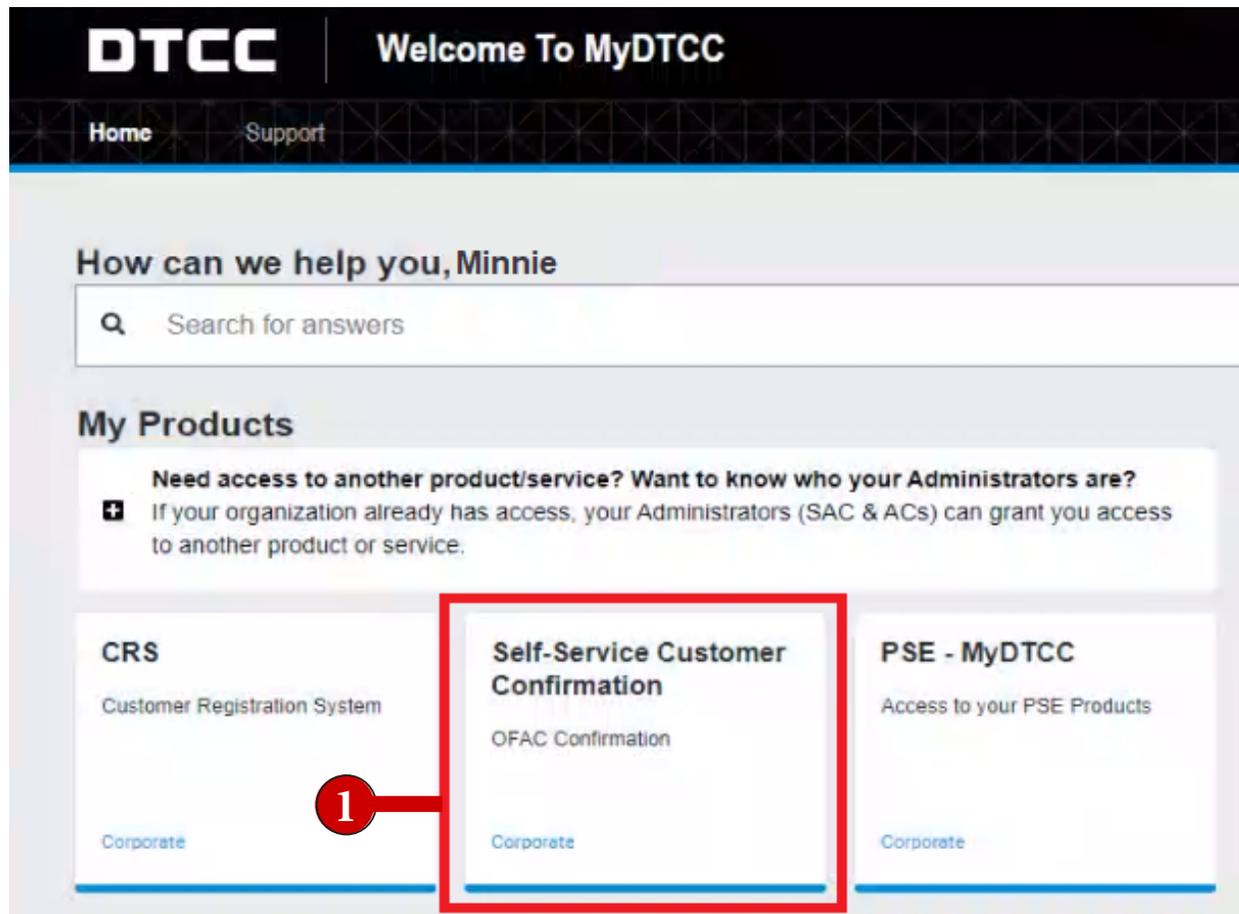


The image shows a screenshot of the DTCC login page. At the top right, the DTCC logo is displayed in white on a dark background. Below the logo is a horizontal bar with segments of blue, orange, green, and yellow. The main content area features a large blue 3D button with the word "Login" on it. To the right of the button is a red-bordered box containing two input fields: "User ID:" and "Password:". Below these fields is a smaller blue "Login" button. A red line with a circular callout containing the number "1" points to the "Login" button. Another red line with a circular callout containing the number "2" points to the "Login" button below the input fields. Below the input fields is a blue link that says "Forgot your Password?". At the bottom of the page, there is a disclaimer in small text: "This system is operated by The Depository Trust & Clearing Corporation ("DTCC") and may be accessed only by authorized users for approved purposes. Unauthorized access and use of this system is strictly prohibited by DTCC and by law and may result in criminal or civil penalties. The use of this system may be monitored, recorded, and subject to audit. Anyone accessing this system consents to such monitoring and recording. Information obtained by DTCC through such monitoring and recording may be disclosed to persons within or outside the company." Below the disclaimer is another line of text: "By logging on, you certify that you have read and understand the DTCC [Terms of Use and Important Legal Information](#) and [Privacy Policy](#) and intend to form a binding agreement with DTCC on those terms without modification or amendment thereto." At the very bottom, it says: "We may place cookies and local shared objects on your computer. By using our Web site, you consent to this. See our [Privacy Policy](#) for more information."

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 Entities** 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**.

DTCC Self-Service Confirmation Portal (QA) External Update
Log Out

OFAC Confirmation Alerts

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
<input type="checkbox"/>	LE105	2023-01-25	345	Confirmed	2021-01-25	External Update
<input type="checkbox"/>	LE107	2023-01-25	345	Confirmed	2021-01-25	External Update
<input type="checkbox"/>	LE203	2023-01-25	345	Confirmed	2021-01-25	External Update
<input type="checkbox"/>	LE104	2023-02-24	375	Confirmed	2021-02-24	External Update
<input type="checkbox"/>	TSG_LE1	2023-03-01	380	Confirmed	2021-03-01	External Update
<input type="checkbox"/>	LE101	2023-03-13	391	Confirmed	2021-03-12	External Update
<input type="checkbox"/>	LE110	2023-04-17	426	Confirmed	2021-04-15	External Update
<input type="checkbox"/>	LE201	2023-04-17	426	Confirmed	2021-04-15	External Update
<input type="checkbox"/>	ADP, INC.	2023-04-17	426	Confirmed	2021-04-15	External Update
<input type="checkbox"/>	LE109	2023-07-10	510	Confirmed	2021-07-08	External Update

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

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Confirm

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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**.

The screenshot shows a web interface titled "Self Service Confirmation Portal". The main content area contains the following text:

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. Department 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.

At the bottom of the form, there is a checkbox labeled "I digitally sign this and accept the terms set within." and two buttons: "Accept" and "Cancel".

Red circles with numbers 3 and 4 are overlaid on the image. Circle 3 points to the checkbox, and circle 4 points to the "Accept" button.

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
<input type="checkbox"/>	LE107	2023-01-25	345	Confirmed	2021-01-25	External Update
<input type="checkbox"/>	LE203	2023-01-25	345	Confirmed	2021-01-25	External Update
<input type="checkbox"/>	LE104	2023-02-24	375	Confirmed	2021-02-24	External Update
<input type="checkbox"/>	TSG_LE1	2023-03-01	380	Confirmed	2021-03-01	External Update
<input type="checkbox"/>	LE101	2023-03-13	391	Confirmed	2021-03-12	External Update
<input type="checkbox"/>	LE110	2023-04-17	426	Confirmed	2021-04-15	External Update
<input type="checkbox"/>	LE201	2023-04-17	426	Confirmed	2021-04-15	External Update
<input type="checkbox"/>	ADP, INC.	2023-04-17	426	Confirmed	2021-04-15	External Update
<input type="checkbox"/>	LE109	2023-07-10	510	Confirmed	2021-07-08	External Update
<input type="checkbox"/>	LE202	2023-07-10	510	Confirmed	2021-07-08	External Update

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

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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 Alerts 30-Mar-2022 1:19:59 PM

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
<input type="checkbox"/>	LE107	2023-01-25	301	Confirmed	2021-01-25	External Update
<input type="checkbox"/>	LE203	2023-01-25	301	Confirmed	2021-01-25	External Update
<input type="checkbox"/>	LE104	2023-02-24	331	Confirmed	2021-02-24	External Update
<input type="checkbox"/>	TSG_LE1	2023-03-01	336	Confirmed	2021-03-01	External Update
<input type="checkbox"/>	LE101	2023-03-13	348	Confirmed	2021-03-12	External Update
<input type="checkbox"/>	LE110	2023-04-17	383	Confirmed	2021-04-15	External Update
<input type="checkbox"/>	LE201	2023-04-17	383	Confirmed	2021-04-15	External Update
<input type="checkbox"/>	LE109	2023-07-10	467	Confirmed	2021-07-08	External Update
<input type="checkbox"/>	LE202	2023-07-10	467	Confirmed	2021-07-08	External Update
<input type="checkbox"/>	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**.

The screenshot displays the DTCC Self-Service Confirmation Portal (QA) interface. The main page shows a list of 13 OFAC Confirmation Alerts. A red box highlights the 'Legal Entity Name' column, and a red circle with the number '1' points to the 'TSG_LE1' entry. An inset window shows the 'OFAC Confirmation Portal - LE203' history page, which displays a table of 31 items found, showing the action performed, date, and user.

Check All	Legal Entity Name	Expiration Date	No. of Days to Expiration	Status	Last Confirmation Date	Confirmed By
<input type="checkbox"/>	LE107	2023-01-25	345	Confirmed	2021-01-25	External Update
<input type="checkbox"/>	LE203	2023-01-25	345	Confirmed	2021-01-25	External Update
<input type="checkbox"/>	LE104	2023-02-24				
<input type="checkbox"/>	TSG_LE1	2023-03-01				
<input type="checkbox"/>	LE101	2023-03-13				
<input type="checkbox"/>	LE110	2023-04-17				
<input type="checkbox"/>	LE201	2023-04-17				
<input type="checkbox"/>	ADP, INC.	2023-04-17				
<input type="checkbox"/>	LE109	2023-07-10				
<input type="checkbox"/>	LE202	2023-07-10				

Action Performed	Action Performed On	Action Performed By	E-Mail	Phone
Confirmed	2021-01-25	External Update	kagoram@dtcc.com	13245345345
Confirmed	2021-01-25	External Update	kagoram@dtcc.com	13245345345
Confirmed	2021-01-06	External Update	kagoram@dtcc.com	13245345345
Confirmed	2020-12-31	External Update	kagoram@dtcc.com	13245345345
Confirmed	2020-12-31	External Update	kagoram@dtcc.com	13245345345
Confirmed	2020-12-31	External Update	kagoram@dtcc.com	13245345345
Confirmed	2020-12-30	External Update	kagoram@dtcc.com	13245345345
Confirmed	2020-12-30	External Update	kagoram@dtcc.com	13245345345
Confirmed	2020-12-30	External Update	kagoram@dtcc.com	13245345345
Confirmed	2020-12-30	External Update	kagoram@dtcc.com	13245345345