



A#: 7725
P&S# 7295
DATE: OCTOBER 31, 2013
TO: ALL PARTICIPANTS
ATTENTION: MANAGING PARTNER/OFFICER; RISK MANAGERS; OPERATIONS MANAGER; MANAGER, DATA PROCESSING MANAGER, IT MANAGER
FROM: PRODUCT MANAGEMENT
SUBJECT: DTCC LIMIT MONITORING WEBINARS AND DTCC LEARNING CENTER

As previously announced in the Important Notice A#7698, P&S#7268, dated September 12, 2013, subject to regulatory approval, NSCC will provide its Members with a risk management tool to monitor trading activity against pre-set trading limits. NSCC will offer a series of educational webinars about DTCC Limit Monitoring and its functionality. The upcoming webinar schedule is as follows:

Date	Time
November 7, 2013	2:00 PM - 3:00 PM EST
November 12, 2013	11:00 AM - 12:00 PM EST
November 14, 2013	2:00 PM - 3:00 PM EST
November 19, 2013	11:00 AM - 12:00 PM EST
November 26, 2013	2:00 PM - 3:00 PM EST

NSCC is also launching a new section in the DTCC Learning website (www.DTCCLearning.com) for DTCC Limit Monitoring, under 'Clearance Learning Center'. The DTCC Limit Monitoring section includes the latest communications, learning materials, onboarding requirements. Additionally, Members can register for the webinars either directly in the 'Events Calendar', located in the upper right corner of the screen, or in the 'Learn about DTCC Limit Monitoring' section.

In order to access the DTCC Learning website, Members must first register with the Clearance Learning Center, by following the below steps:

1. Go to <https://dtcclearning.com/learning/clearance/>;
2. Click Register Now, located in the upper right hand corner of the page; and
3. Fill out the required fields and click Register.

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.

You will receive an email from DTCC approving your registration or requesting additional information within one business day.

Additional Information

For questions about this Important Notice, contact your DTCC relationship manager or Pawel Pieczara at 212-855-5697 or at ppieczara@dtcc.com.

Pawel Pieczara
Product Management, Equities Clearance