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|-------------------|---|
| <b>B #:</b>       | 1047-14   |
| <b>Date:</b>      | 5/19/2014   |
| <b>To:</b>        | All Clients   |
| <b>Category:</b>  | Settlement  |
| <b>From:</b>      | Settlement Product Management                       |
| <b>Attention:</b> | Settlement Manager / Managing Director / Cashier    |
| <b>Subject:</b>   | CNS ACATS and DTC Settling Assets - Addendum Notice |

Important Notice 0916-14 outlined the key process changes associated with the May 30<sup>th</sup>, 2014 implementation of the CNS ACATS and DTC Settling Assets Project. This communication will serve as an addendum to the aforementioned notice.

### **File Specification Changes**

Both the DTFPART (5.11) and Deliver Order Output (20.01) file specifications will be updated to reflect new data in the CNS sub-account field needed to accommodate CNS ACATS processing. The record lengths will not change but clients should be aware of the new values in these fields. Links to both revised file specifications can be found below. See Appendix A for screenshots of the revised portions of these file layouts.

**DTFPART (5.11)** - <http://www.dtcc.com/~media/Files/Downloads/Settlement-Asset-Services/CCF/settlement/11DTFPAR.ashx>

**Deliver Order Output (20.01)**<sup>1</sup> - [http://www.dtcc.com/~media/Files/Downloads/Settlement-Asset-Services/CCF/settlement/Deliver\\_Order\\_Output\\_File\\_Spec\\_for\\_Settlement\\_Matching.ashx](http://www.dtcc.com/~media/Files/Downloads/Settlement-Asset-Services/CCF/settlement/Deliver_Order_Output_File_Spec_for_Settlement_Matching.ashx)

**Please note that clients will begin to see the new field values in each of these output types as early as the evening of May 29<sup>th</sup>, 2014, for transactions settling on May 30<sup>th</sup>.**

### **Accessing New IMS Functionality in the Settlement Web**

As referenced in the aforementioned notice, clients will be able to leverage the new Settlement Web IMS screens to inquire and act upon transactions, and to create/modify various IMS Profiles. This functionality will be available to properly provisioned users via the Settlement Web Dashboard beginning Friday, May 23<sup>rd</sup>, 2014. These new screens will be governed by existing layers of permission in the “Settlement Web Core Role” structure. Please see Appendix B to review which layer of

<sup>1</sup> Please note that an erroneous header length in position 71 for version 2 (long form) Deliver Order output will be corrected (704 to 724) on the evening of June 12<sup>th</sup>, 2014.

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permission is needed to perform various actions within the new screens. Clients are reminded that IMS functionality in the Participant Browser Service (PBS) will continue to be governed by the legacy entitlements process.

Questions regarding this important notice may be directed to your Relationship Manager, the Client Account Representative Team at 212-855-4270 (option 2) or [rmsupport@dtcc.com](mailto:rmsupport@dtcc.com).

# APPENDIX A

DTFPART (From Page 6)

| Format of DTFPART Data Records |        |           |                      |   |
|--------------------------------|--------|-----------|----------------------|---|
| Position                       | Length | Format    | Field Name           | Field Description   |
| 45                             | 1      | Character | CNS Sub-Account Type | " " = Non-CNS item<br>"A" = Trading Account<br>"C" = Stock Loan Acct.<br>"E" = Fully Paid Account<br>"G" = Reorg Account<br>"H" = Reorg Account (used only for competing offers and election mergers.)<br>"R" = CNS ACATs Longs |

Deliver Order Output (From Page

| Field Name          | Pos | Len | Field Attributes  |
|---------------------|-----|-----|---|
| DO-OUT-CNS-SUB-ACCT | 534 | 01  | Describe processing of CNS-receives.<br>Values:<br>'A' = Trading account<br>'C' = Stock Loan acct<br>'E' = Fully-paid acct<br>'G' = Reorg account<br>'H' = Reorg account (for competing offers or election mergers)<br>"S" = CNS ACATS Short Cover<br>"R" = CNS ACATS Long Allocation |

# APPENDIX B

## About Core Roles

As outlined in previous notices, there are 4 primary types of access within the Settlement Web: Inquiry, Transaction Update, Approval and Profile Management. Each of these affords different levels of functionality. In order to provide participants with each possible combination of access, we've created 8 "Core Roles". CRS Access Coordinators should assign a single core role (select one from the right) for each user based on the appropriate level of access. The table below provides an explanation of each access type and lists examples of the functionality that each provides. At the industry's request, transaction input roles are governed by Sensitive Functions.

|                    |   |
|--------------------|---|
| Inquiry            | Provides inquiry access to all functions within the Settlement Web. Common examples include inquiring on new IMS transaction authorization and profile screens.   |
| Transaction Update | Transaction update refers to taking an action on an existing instruction. Common examples include: Submitting an IMS transaction release, CNS/CNSACAT exemptions/authorizations,  |
| Approval           | Provides the ability to approve transactions that are subject to secondary approval and applicable profile creations and modifications. An example includes approving RAD limit profile. Note that IMS profile updates in the Settlement Web are NOT subject to secondary approval. |
| Profile Management | Provides the ability to create or modify settlement related profiles. Examples include creating IMS Authorization Profiles, or ISO Notification Profiles  |

Core Role #1: Inquiry Only Access

Core Role #2: Inquiry plus Transaction Update

Core Role #3: Inquiry plus Approval

Core Role #4: Inquiry plus Profile Management

Core Role #5: Inquiry plus Transaction Update plus Profile Management

Core Role #6: Inquiry plus Approval plus Transaction Update

Core Role #7: Inquiry plus Profile Management plus Approval

Core Role #8: Inquiry plus Transaction Update plus Approval plus Profile Management