DTCC | *Important Notice*
National Securities Clearing Corporation

A#:	**8309**
P&S#:	**7884**
DATE:	**DECEMBER 13, 2016**
TO:	**ALL PARTICIPANTS**
ATTENTION:	**MANAGING PARTNER/OFFICER, OPERATIONS PARTNER/OFFICER, COMPLIANCE OFFICER**
FROM:	**PRODUCT MANAGEMENT**
SUBJECT:	**REQUIREMENT TO PROVIDE EXECUTING BROKER IDENTIFIERS (MPIDs) FOR NEW NSCC CORPORATE BOND AND UIT EXECUTED BY BROKER MASTERFILE OUTPUT FILE**

Background

As detailed in Important Notice A#8283, P&S#7858, dated November 2, 2016, NSCC will make available a new data file containing corporate bond and UIT executing broker identifiers (aka Market Participant IDs) in Machine Readable Output beginning January 20, 2017. This change will assist Members to match corporate bond and UIT trades in the Corporate Bond, Municipal Bond, UIT Real Time Trade Matching system (CMU RTTM).

Executing broker identifiers are required trade submission data on all CMU RTTM trades. These identifiers will become matching fields for corporate bond and UIT trades on Processing Date April 7, 2017.

Adding Your Firm's and Your Correspondents' Executing Broker Identifiers – Initial Load

Members must provide executing broker identifiers used on their CMU RTTM corporate bond and UIT trade submissions in order for them to appear on the new file. Members generally already provide this information to NSCC for themselves and their correspondents effecting municipal bond trades.

Between December 14 - 15, 2016, Members will be contacted by DTCC via email with an Excel spreadsheet to be completed with their own and their Correspondents' executing broker identifiers. The spreadsheet should be returned to NSCC Account Administration at NSCCAA@dtcc.com and copy efanning@dtcc.com. Once the email is received, please return the spreadsheet ASAP, but no later than January 13, 2017. The executing broker identifier data will be included on the Corporate Bond and UIT Executed by Broker Masterfile produced beginning the night of January 20, 2017. The file will be updated and made available to Members on a daily basis.

Any subsequent executing broker data changes to the initial load can be submitted via revised spreadsheets from January 17 to 19, 2017.

Adding Your Firm's and Your Correspondents' Executing Broker Identifiers - Ongoing

Following the initial load of corporate bond and/or UIT Market Participant IDs, any deletions and/or additions requested for corporate bond and/or UIT executing broker symbols, with the expected effective date of January 23 or later, must be submitted to NSCC using the DocuSign template available at the link below. Other methods to update Market participant IDs will not be accepted. NSCC Members should submit these requests at least 3 business days prior to the effective date of such IDs. Any updates not meeting information or timing requirements may be rejected. Any questions regarding these requests can be directed to NSCCAA@dtcc.com.

DocuSign Power-Form Link: MPID Clearing Change Request

How to Receive the New Corporate Bond and UIT Executing Broker Symbol File

The AutoRoute number for the corporate bond/UIT file is #02032440 in production. Its product description is "Corporate Bond and UIT Executed by Broker Masterfile". The AutoRoute # in the test Participant Services Environment (PSE) is 02982440.   The file's layout is attached as Exhibit to this Notice.

NSCC Members should email ficcimplementation@dtcc.com to request the new file.

If you have any questions regarding this or other CMU RTTM services, please enter your question into the PBS WINS function, contact your Relationship Manager, email RMsupport@dtcc.com or contact the undersigned at 212-855-7623 (efanning@dtcc.com).

Ed Fanning
Director, Product Management

Exhibit 1

File Name: *Corp Bond & UIT Executed by Broker Master File*					
AUTOROUTE #: 02032440 NOTE: AUTOROUTE STANDARD HEADER / TRAILER REQUIRED WITH THIS FILE ***Record Length: 100*** *Blocking Factor:* File Type: *Sequential File* -- **HEADER--** Revision Date: *10/19/2016*					
FIELD NAME	*LENGTH*	*START*	*END*	*TYPE*	*COMMENTS*
Record ID	1	1	1	A/N	H = header record
File Description	30	2	31	A/N	CORP-BOND-UIT-EXEC-BKR-MSTR

Future Use	1	32	32	A/N	Spaces
Processing Date	8	33	40	N	Format = CCYYMMDD
Future Use	60	41	100	A/N	Spaces

Exhibit 2

File Name: *Corp Bond & UIT Executed by Broker Master File*					
AUTOROUTE #: 02032440 **--DETAIL--** Revision Date: 10/19/2016					
FIELD NAME	LENGTH	START	END	TYPE	COMMENTS
Record ID	1	1	1	A/N	D = detail record
Business Type	4	2	5	A	Business Type: 'CORP', 'UIT (Left Justified)
Executing Broker Symbol	4	6	9	A	MPID of Executing Broker
Executing Broker Name	70	10	79	A/N	Name of Executing Broker
Clearing Broker Number	4	80	83	N	NSCC Participant number of clearing firm
Clearing Broker Symbol	4	84	87	A	MPID of clearing firm
Future Use	13	88	100	A/N	Spaces

Exhibit 3

File Name: *Corp Bond &UIT Executed by Broker Master File*					
AUTOROUTE #: 02032440 -- **TRAILER--** Revision Date: 10/19/2016					
FIELD NAME	LENGTH	START	END	TYPE	COMMENTS
Record ID	1	1	1	A/N	T = trailer record
Record Count	7	2	8	N	9,999,999
Future Use	92	9	100	A/N	Spaces