



Important Notice
Fixed Income Clearing Corporation - CMU

CMU #:	CMU 001.17
Date:	January 18, 2017
To:	All NSCC Participants
Category:	Service Update
From:	FICC Product Management
Attention:	Managing Partner/Officer, Operations Partner/Officer, Compliance Officer
Subject:	REMINDER - UPDATING EXECUTING BROKER IDENTIFIERS (MPIDs) FOR NSCC CORPORATE BOND AND UIT TRADES

Please see the attached NSCC Important Notice regarding plans to create a file listing of executing broker symbols (aka Market Participants IDs). It will assist firms in matching NSCC corporate bond & UIT CMU RTTM trades based on MPID which takes effect on April 7, 2017.

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

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A#: 8321
P&S#: 7896

DATE: JANUARY 18, 2017
TO: ALL PARTICIPANTS
ATTENTION: MANAGING PARTNER/OFFICER, OPERATIONS PARTNER/OFFICER, COMPLIANCE OFFICER
FROM: PRODUCT MANAGEMENT
SUBJECT: REMINDER - UPDATING EXECUTING BROKER IDENTIFIERS (MPIDs) FOR NSCC CORPORATE BOND AND UIT TRADES

Background

As detailed in Important Notice A#8309, P&S#7884, dated December 13, 2016,ⁱ 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

Members recently provided NSCC with spreadsheets containing their executing broker identifiers for their CMU RTTM corporate bond and UIT trade submissions and they will appear on the January 20, 2017 file.

Ongoing 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 ficimplementation@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
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ⁱ <http://www.dtcc.com/~media/Files/pdf/2016/12/13/a8309.pdf>