



B #:	B6504-17
Date:	October 6, 2017
To:	All Clients
Category:	Settlement /Asset Servicing
From:	Settlement Product Management
Attention:	Managing Directors/Vice President/Directors/Managers
Subject:	Changes to DTC Deliver Order Input Functionality for Institutional Trades Settled Through DTC

The purpose of this notice is to inform Clients that DTC will be offering an optional service enhancement to allow for increased tracking ability for Institutional Deliveries (ID). Currently, only transactions that were both affirmed at an approved Matching Utility and deliverer authorized as a Matched Institutional Trade (MITs and LMITs) at DTC carry the ID Control Number throughout the lifecycle of a transaction in associated input and on activity screens. Transactions that were not affirmed and/or deliverer authorized are generally introduced directly to DTC by Clients themselves, using a format that doesn't follow the same layouts as affirmed and deliverer authorized (MITs and LMITs as outlined above), and also doesn't include a fixed field format for the ID Control number. This lack of a control number can cause exception processing to Clients.

DTC is pleased to announce that beginning on 11/10/2017, a new field will be enabled that will allow Client entered transactions to highlight the control number as outlined below. For ID transactions entered in an automated manner as well as through Settlement Web, the ID control number must be entered as described below. There will be no requirement to make changes to any output you receive from DTC today as the new control field will not be added to any outgoing messages.

Automated Messaging

To allow for the inclusion of ID control numbers on client-initiated deliver order input, DTC will amend the below file specifications as followed:

Input Name	Position/Location	Format	Field length	Link to File Specs
ISO 15022 Input (MT542 & MT543)	Optional Sequence A1 :20C::PCTI//	Text Comments	9	http://www.dtcc.com/~media/Files/Downloads/Settlement-Asset-Services/user%20documentation/04iso15022do.pdf
DOI1/5 (5.24): Deliver Orders	728-743 Partner Reference ID	Text Comments	16	http://www.dtcc.com/~media/Files/Downloads/Settlement-Asset-Services/CCF/settlement/DOI_1and5_05_04.pdf
	744-752 ID Control Number	Text Comments	9	
	753-1024 Filler	Text Comments	272	
DOX1/5_N DO1/5 (5.09): Deliver Orders Night Deliver Orders	494-642 Filler	Text Comments	149	http://www.dtcc.com/~media/Files/Downloads/Settlement-Asset-Services/CCF/settlement/DOX1and5_and_NDO1and5_05_09.pdf
	643-658 Partner Reference ID	Text Comments	16	
	659-667 ID Control Number	Text Comments	9	
	668-672 Filler	Text Comments	5	

Settlement Web

Clients will have the ability to populate the new optional ID Control Number on the Day Deliver Order and Future Dated Deliver Order Input screens:

Delivery Orders

The screenshot shows the 'Day Deliver Order Input' screen in the DTCC Settlement Services application. The page header includes the DTCC logo, 'Settlement Services', and user information for 'TEST/DEV' (ckocan@dtcc.com). A navigation menu at the top lists various options like Home, Activity, Position, Cash and Balances, Transaction Submission, Commands, Profiles, Help, and PBS Links. The main content area is titled 'Day Deliver Order Input' and includes a breadcrumb trail 'Home > Day Deliver Order'. A legend indicates that fields with an asterisk are required. The 'Deliverer ID' field is empty. Below this, there are session totals: 'Items: 0 Quantity: 0 Net-Amount: \$0'. A 'Validdate' button is present. The main form is titled 'Day Deliver Order 1' and contains several sections: 'Order Type' with radio buttons for 'DO', 'IPO-Tracked', and 'ADR'; 'Receiver' and 'Deliverer Account' fields; 'Quantity' and 'Amount(\$)' fields; 'Reason Code' and 'Settlement Date' (08/01/2017) fields; 'Original Trans Date', 'ATP Transact ID', 'IMS Transact ID', and 'Partner Ref ID' fields; and a 'Comments' text area. A red box highlights the 'ID Control Number' field. On the right side, there are checkboxes for 'Prevent Pend', 'Reserve in PTA', 'Fail Tracking' (checked), and 'CMO Factor'. At the bottom, there are 'Copy Down' and 'Reset Record' buttons.

Clients will have the ability to use the existing ID Control Number search fields in the IMS Transaction Authorization and Receiver Authorized Delivery screens to search for these transactions:

IMS Transactions

The screenshot shows the 'Transaction Authorization' screen in the DTCC Settlement Services application. The page header includes the DTCC logo, 'Settlement Services', and user information for 'TEST/DEV' (ckocan@dtcc.com). A navigation menu at the top lists various options like Home, Activity, Position, Cash and Balances, Transaction Submission, Commands, Profiles, Help, and PBS Links. The main content area is titled 'Transaction Authorization' and includes a breadcrumb trail 'Home > Transaction Authorization'. Below this, there are tabs for 'Deliver Authorization' and 'CNS/CNS ACATS'. The main form contains several fields: 'Participant ID', 'ID Control Number' (highlighted with a red box), 'IMS TID', 'Date Type' (Settlement), 'Start Date' (08/29/2017), and 'End Date'. Below these are 'CUSIP', 'Receiver', 'Third Party', 'Over/Equal\$', 'Asset Class' (All Classes), and 'Transaction Type' (All). There is also an 'Activity Code' field and a section for 'Include These Types' with checkboxes for 'All' (checked), 'Unprocessed', 'Authorized', 'Exempt', 'IMS Cancelled', 'IMS Rejected', 'IMS Dropped', and 'Ineligible'. At the bottom, there are 'Search' and 'Reset' buttons, and a 'Display Type' selector with radio buttons for 'List' and 'Excel'. The footer contains copyright information: '© 2011 - 2017 The Depository Trust & Clearing Corporation | Legal Information | Privacy Policy | Menu'.

Receiver Authorized Delivery

The screenshot shows the DTCC Settlement Services interface. At the top, there is a navigation bar with 'Home', 'Activity', 'Position', 'Cash and Balances', 'Transaction Submission', 'Commands', 'Profiles', 'Help', and 'PBS Links'. The user is logged in as 'ckocan@dtcc.com' and the date is 'Aug 7, 2017 - 12:26:12 PM EDT'. The main heading is 'IMS Receiver Authorized Delivery'. Below this is a search criteria form with the following fields:

- Participant ID *: 1250
- Asset Class: All
- Transaction Side: Receiver
- Transaction Status: All
- IMS TID: [Empty]
- ID Control Number: [Empty] (highlighted with a red box)
- Business Date *: 08/07/2017
- CUSIP: [Empty]
- ID Net: No
- Contra: [Empty]
- Transaction Type: * All DO-MITS DO-LIMITS NDO DO PO VALUED PLEDGE FREE PLEDGE

Buttons for 'Search' and 'Reset' are at the bottom left. 'Display Type' options are List (selected), Grid, and Excel at the bottom right.

Transaction File Uploads Templates

Version 1.1 will be the new template when customers download. The new template can be found [here](#).

ID Control Number	Reserved for Future Use Column 6 (Must be blank)	Partner Reference Number	Version
123456789			1.1

Settlement Web U/PTS Testing

Clients are encouraged to test, as outlined below to gauge the impact of this enhancement on their internal systems. Clients can begin testing on 10/20.

- First, ensure the accounts you would like to test with have Settlement Web/PTS connectivity to the “U” test region by emailing PIPRequests@dtcc.com with your participant account details. If necessary, participants may be required to complete a router form and establish connectivity (please note that this step will take approximately three weeks to complete after DTCC has received a correctly completed form).
- Next, verify that you have a Super Access Coordinator (SAC) for the Settlement Web U (clients can click on the “Click here to find Access Coordinator at your company”) on the portal menu page or contact Registration Support at webrsg@dtcc.com.
- If needed, DTCC’s Connectivity Activation Production Support group can assist participants with testing in the UTOR test region. They can be reached at PIPRequests@dtcc.com.

Questions regarding this important notice may be directed to your Relationship Manager.

- By using MQ/ISO, clients can send and receive automated messages which can be found in DTC's UTOR region to test new or amended file layouts before they are introduced into production. To process automated messaging in the UTOR test region, clients should complete the following steps:
- Determine if your participant number has MQ/ISO connectivity to DTC's UTOR environment by reviewing your IMS Notification Profile.
- Please include your participant number and contact details. If it is determined that you do not have MQ/ISO connectivity, please follow email PIPRequests@dtcc.com.
- Request the output that you would like to receive. Included in the request should be:
 - The participant numbers for which you would like to receive output
 - Your name, email and phone number
 - Your Queue Manager Alias and Queue Name you would like DTC to write to (if available)
- Note that clients will not need to request input permission for the UTOR region; messages can simply be sent once MQ/ISO connectivity is established.
- Clients with any questions regarding the above can reach out to DTCC's Connectivity Activation Production Support group at 888-382-2721, option 5, option 3.