B #:	B6504-17			
Date:	October 6, 2017			
To:	All Clients			
Category:	Settlement /Asset Servicing			
From:	Settlement Product Management			
<b>Attention:</b>	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

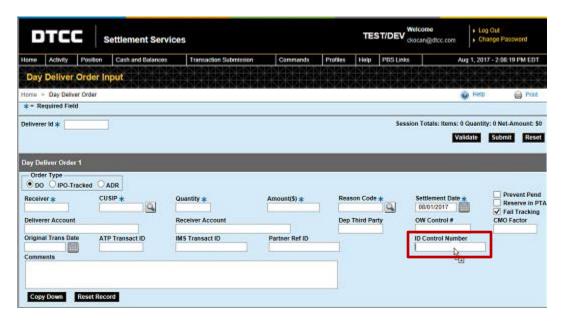
below file specifications as followed:

below file specifications as followed:						
Input Name	Position/Loca	Format	Field	Link to File Specs		
	tion		length			
ISO 15022	Optional	Text Comments	9	http://www.dtcc.com/~/media/Files/D		
Input	Sequence A1			ownloads/Settlement-Asset-		
(MT542 &	:20C::PCTI//			Services/user%20documentation/04iso15022d		
MT543)				<u>o.pdf</u>		
DOI1/5	728-743	Text Comments	16	http://www.dtcc.com/~/media/Files/		
(5.24):	Partner		10	Downloads/Settlement-Asset-		
Deliver	Reference ID			Services/CCF/settlement/DOI_1and5_05_0		
Orders	Reference ID					
				<u>4.pdf</u>		
	544.550	m . G	0			
	744-752	Text Comments	9			
	ID Control					
	Number					
	753-1024	Text Comments	272			
	Filler					
DOX1/5_N	494-642	Text Comments	149	http://www.dtcc.com/~/media/Files/		
DO1/5	Filler	Text Comments	147	Downloads/Settlement-Asset-		
(5.09):	Tiller					
Deliver				Services/CCF/settlement/DOX1and5_and_		
Orders				<u>NDO1and5_05_09.pdf</u>		
Night						
Deliver						
Orders						
	643-658	Text Comments	16			
	Partner					
	Reference ID					
	659-667	Text Comments	9			
	ID Control	1 ext Comments	9			
	Number					
	668-672	Text Comments	5			
	Filler					

# 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**



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**

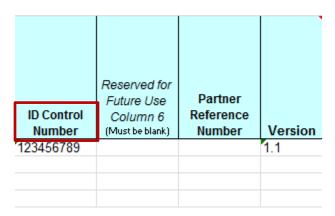


## **Receiver Authorized Delivery**



## **Transaction File Uploads Templates**

Version 1.1 will be the new template when customers download. The new template can be found here.



## **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 <a href="PIPRequests@dtcc.com">PIPRequests@dtcc.com</a> 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 <a href="webseg@dtcc.com">webssg@dtcc.com</a>.
- 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 <a href="mailto:PIPRequests@dtcc.com">PIPRequests@dtcc.com</a>.
- Request the output that you would like to receive. Included in the request should be:
  - o The participant numbers for which you would like to receive output
  - o Your name, email and phone number
  - o 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.