



Important Notice
National Securities Clearing Corporation

A#:	8531
P&S#:	8106
Date:	MARCH 20, 2018 REVISED MAY 9, 2018
To:	ALL MEMBERS AND LIMITED MEMBERS
From:	WEALTH MANAGEMENT SERVICES – MUTUAL FUNDS
Attention:	MANAGER MUTUAL FUNDS OPERATIONS, MANAGER DATA PROCESSING, MANAGER CASHIERS, MANAGER P&S DEPARTMENT
Subject:	REVISED: Social Code Enhancements

Effective, **July 9, 2018**, National Securities Clearing Corporation (NSCC) will implement new retirement social codes. Social codes are available in **Fund/SERV®**, **Networking**, **DTCC Payment aXis®**, **ACATS** and **Mutual Fund Profile Service II** (see Important Notice [A8532](#) for information on MFPSII Profile Security changes). The new social codes are intended to provide further transparency to both firms and funds to more accurately identify account types, which assists in account oversight.

Please note, the addition of these new social codes necessitates leveraging **alpha/numeric** values. NSCC record layouts currently support alpha/numeric values for the Social Code field; clients should review their systems to ensure they are able to support alpha/numeric social code values. Clients are strongly encouraged to review and update the mapping of accounts on their systems to the appropriate NSCC social code when communicating with your contra party through NSCC.

NSCC will add the following new social codes:

Social Code	Social Code Description
96	457(b) Plans FBO Participant Name/Account # (non-prototype)
97	Single K Plans FBO Participant Name/Account # (non-prototype)
98	Roth 401(k) Plans FBO Participant Name/Account # (non-prototype)
A0	Roth 403(b) Plans FBO Participant Name/Account # (non-prototype)
A1	457(f) Plans FBO Participant Name/Account # (non-prototype)
A2	Single K Plans FBO Participant Name/Account # (fund-prototype)
A3	401(k) Plan (fund-prototype)

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Social Code	Social Code Description
A4	Section 529 ABLE

TESTING

Effective, **June 6, 2018**, participants can begin testing in the Participant Services Environment (PSE) test region.

Participants are encouraged to test and must contact their Relationship Manager before testing begins for proper setup in the PSE region. Relationship Managers should be contacted at least three (3) days prior to testing.

DOCUMENTATION

The complete social code list, including these social code additions, will be available on or before **June 6, 2018** and can be located on DTCC's website under [Mutual Fund Services documentation](#).

Questions and comments regarding this Important Notice may be directed to Wealth Management Services at **212-855-8877**.

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Product Manager

DTCC Wealth Management Services