



<b>B #:</b>	12411-19
<b>Date:</b>	10/22/19
<b>To:</b>	All Participants
<b>Category:</b>	Operations /Reorganizations / Dividends /Settlement
<b>From:</b>	Asset Services – Corporate Actions ClaimConnect™ application
<b>Attention:</b>	Operations Managers/Cashiers/Officers
<b>Subject:</b>	ClaimConnect™ Application—Q3 Release into the PoC in PSE-U

As previously announced via Important Notice [B12027-19](#), over the past few months, the Depository Trust and Clearing Corporation (DTCC) has been working on the development of the ClaimConnect™ application. To date we have released the Proof of Concept (PoC) and a second release with new functionality at the end of Q2. We are currently in the process of deploying our Q3 release into the PSE-U test environment on October 29<sup>th</sup>, 2019. Several firms have been actively testing the PoC and have provided valuable feedback that we've been able to incorporate into the existing functionality for participants to test. DTCC plans to continue to add incremental releases of new functionality into the PoC up to when we are ready to go into Production at a date to be determined.

Participants currently testing the PoC can continue to test and access the application as they do today. However, to accommodate Q3 releases on October 29<sup>th</sup>, there will be an update to the existing role names and the addition of a new role within the Customer Registration System (CRS). In addition, any test data input into the application prior to the 29<sup>th</sup> will no longer be available after the migration of the Q3 release. Instructions on how to address these changes from your end are listed below.

### **How to Access the ClaimConnect™ Application**

To access the ClaimConnect application, all users must be provisioned by their Super Access Coordinator (SAC) or Access Coordinator (AC) with the appropriate roles. SAC's and AC's who need to have the roles added to their profile must send their request to [DTCCCAClaims@dtcc.com](mailto:DTCCCAClaims@dtcc.com). Once the SAC's have the new roles in their profile, they can provision others at their firm.

Participants will continue to access the application via MyDTCC—formerly known as the DTCC portal. However, those who have saved a direct link to the application will need to delete and save the new link once the Q3 release has been implemented into the test environment.

### **Updated Role names and Role description**

The existing **role** names within the CRS (Customer Registration Support) system will be **updated** to reflect the new name of the application. Participants with existing access don't need to take any action as the change will be transparent to them. The role description remains unchanged.

Role Name	Role Description
ClaimConnect External Update Access	Administrator role that allows a user to perform the functions listed below: <ul style="list-style-type: none"> <li>○ Navigate to the home page</li> <li>○ Perform inquiries via the Search Engine</li> <li>○ View inquiry results</li> <li>○ View the Report Center</li> <li>○ Update the Participant Profile (contact information)</li> </ul>
ClaimConnect External View Only	Allows the user to perform the functions listed below: <ul style="list-style-type: none"> <li>○ Navigate to the home page</li> <li>○ Perform inquiries via the Search Engine</li> <li>○ View inquiry results</li> <li>○ View the Report Center</li> </ul>
ClaimConnect External View/Input	Allows user to perform the functions listed below: <ul style="list-style-type: none"> <li>○ Navigate to the Home Page</li> <li>○ Enter Cash Claim</li> <li>○ Claim Search Engine</li> <li>○ Claims Inquiry Result</li> <li>○ Cash Claim View</li> <li>○ Affirm</li> <li>○ Modify</li> <li>○ DK</li> <li>○ UnDK</li> <li>○ Cancel</li> <li>○ Report Center</li> </ul>

**New Role name and Role description**

During requirement reviews with the industry, Participants requested to have an approval process available, specifically in cases where they would be debited funds. The approval process will give participants the ability to provide a minimum dollar tolerance where all claims above this threshold will need to be approved.

DTCC offers enhanced access to all important notices via a Web-based subscription service. The notification system leverages RSS Newsfeeds, providing significant benefits including real-time updates and customizable delivery. To learn more and to set up your own DTCC RSS alerts, visit [http://www.dtcc.com/subscription\\_form.php](http://www.dtcc.com/subscription_form.php).

ClaimConnect Approval Role	<p>Allows users to perform the functions listed below:</p> <ul style="list-style-type: none"> <li>○ Navigate to the Home Page</li> <li>○ Claim Search Engine</li> <li>○ Claims Inquiry Results</li> <li>○ Cash Claims view</li> <li>○ Report Center</li> <li>○ Cash Claim View – Add documents</li> <li>○ Client Profile View</li> <li>○ Claims Pending Approval</li> <li>○ Claims Pending Approval – Approve</li> <li>○ Claims Pending Approval – Reject</li> <li>○ Approval Admin</li> </ul>
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## **New Functionality**

As part of Q3 release, Participants will be able to access the following functionality via the PoC:

- Claim Management
  - Claims Pending Approval
- Client Profile
  - Client Profile – View
  - Client Profile – Manage
  - Approval Admin
- Upload Functionality at the input of the claim
- Settlement of Claims via Security Payment Orders (SPO)

DTCC has created a helpful User Guide to assist users in navigating the new functionality. To request a copy, please email [DTCCCAClaims@dtcc.com](mailto:DTCCCAClaims@dtcc.com).

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## **User Preparedness Checklist to Participate in the PoC**

Firms not signed up to participate in the PoC should follow the steps below to gain access to the application and start testing:

- SAC's should get provisioned for the CA Cash Claims roles as needed by contacting the [DTCCCAClaims@dtcc.com](mailto:DTCCCAClaims@dtcc.com) mailbox
  - Once SAC's have been provisioned with the new roles by DTCC, they must provision end users at their respective firms.
  - Ensure your firm has access to the DTCC UAT Test region
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- Contact the [DTCCCAClaims@dtcc.com](mailto:DTCCCAClaims@dtcc.com) mailbox to request a User Guide or to request access to the DTCC Learning ClaimConnect™ Learning Center site to find out more about the service

Questions about the CA Cash Claims initiative can be directed to your Relationship Manager or to the CA Cash Claims mailbox at [DTCCCAClaims@dtcc.com](mailto:DTCCCAClaims@dtcc.com).

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