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DATE:	AUGUST 22, 2019
TO:	ALL PARTICIPANTS
ATTENTION:	MANAGING PARTNER/OFFICER; OPERATIONS PARTNER/OFFICER; MANAGER P&S DEPARTMENT; MANAGER DATA PROCESSING; CASHIER
FROM:	PRODUCT MANAGEMENT, EQUITIES CLEARANCE
SUBJECT:	PCF ENHANCEMENTS TO SUPPORT MULTIPLE BASKETS TESTING INFORMATION

As previously announced (see Important Notice [A8720 on June 18, 2019](#)), NSCC is preparing for Client Testing to support Phase 1 of the Portfolio Composition File (PCF) Enhancements to support multiple baskets. The Client Testing Period will begin in late October 2019.

In preparation for the PCF Enhancements testing period, the ETF PCF system will be divided into two test regions: one region to support existing functionality and the other region to support the new functionality. This follows the recent path set during the T+2 implementation in 2017. Providing two test regions allows firms the ability to test the enhanced PCF formats. ETF will support these two distinct regions: PSE-U and PSE-A.

- **PSE-U region**, which is currently used for existing functionality, will become the test region for the new functionality.
- **PSE-A region** will serve as the test region to support the current ETF functionality.

Starting **September 9, 2019**, all ETF PCF input (PCF Sys ID 41301) and PCF output (Autoroute # 02981256) reporting will be disabled in the PSE-U region. This includes all input submissions by ETF agents and output pushed to firms through files transmission. It will remain disabled until the region is ready for the client test period scheduled for late October 2019. The enhanced PCF input format will now be expanded to 450 bytes and the Enhanced PCF output will be expanded to 500 bytes.

ETF **agent banks** that need to test the legacy PCF Input file at 250 bytes will need to connect to the PSE A region.

ETF **agent banks, authorized participants, and non-member clients** that need test the legacy PCF output file at 400 bytes will also need to connect to the PSE A region.

To submit PCF files to the PSE-A region or receive output from PSE-A, firms will need determine connectivity status.

For firms that already setup a connection to the PSE-A region during T+2:

Check with your connectivity team to make sure that connectivity to the A001 system is still available and you still have file transfer capabilities.

For firms that do not have PSE-A region access and want testing capabilities for legacy PCF formats:

If you did not onboard to PSE-A during T+2 industry testing and wish to continue to test in PSE with existing PCF functionality, contact NSCC Integration (NSCCIntegration@dtcc.com) to begin the onboarding process to gain PSE-A access. This will require completing a router exchange form and setup of an originator code. Setup will take a **minimum of 10 business days**; therefore, we strongly recommend that you begin your connectivity process as early as possible if you need continued access to testing legacy PCF input and output formats.

PSE-A Region source IP Addresses:

Application	Ports	SMART	BT RadianZ	SFTI
SFTP(SSH) (UAT) (A1)	22	167.188.69.201	167.188.169.201	167.188.137.201
FTPS(TLS/SSL) (UAT) (A1)	9021, *20000-20099	167.188.69.201	167.188.169.201	167.188.137.201
FTPS(TLS/SSL) (UAT) (A1) ***Dual Auth***	9021, *20000-20099	167.188.69.208	188.188.169.208	167.188.137.208
NDM / Connect:Direct	1368	167.188.69.201	167.188.169.201	167.188.137.201

All Phase 1 documents, full formats, and the Client Business Requirements are now available in the DTCC Learning Center at:


<https://dtcclearning.com/products-and-services/equities-clearing/exchange-traded-fund-etf/etf-working-groups.html>

For ETF portal users, subscriptions to portfolio's must be entered into the ETF Web in the PSE-A region:


The data populated to the Enhanced PCF output file 02981256 (PSE) is driven by subscriptions in the ETF Web browser. Firms will be required to subscribe to the PCF files they wish to be populated on the PCF output in the PSE-A region.

Firms that already have access to the ETF Web in the PSE-U region will have access to the ETF Web in the PSE-A region. Firms requiring access to the ETF Web in the PSE-A region should contact their Super Access Coordinator or NSCCIntegration@dtcc.com.

DTCC | **Welcome to MyDTCC (PSE)**

 **PSE Applications (2)**

ETF (PSE - A) Exchange Traded Funds	ETF (PSE - U) Exchange Traded Funds
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 **Need Access to Another Product?**
Access Coordinators within your company may give you access to other applications. Click here to find out who the Access Coordinators are in your company.



Client Support:

- Your **Relationship Manager** – for questions concerning the enhancements.
- **NSCC Support** – for questions related to ETF daily issues, such as transactions, processing, and file content, email NSCCSupport@dtcc.com or call 1 888-382-2721 and follow the prompts.
- **NSCC Integration / NSCC Connectivity** – for PSE-A region connectivity and setup-related issues, email NSCCIntegration@dtcc.com or NSCCconnectivity@dtcc.com

For questions, contact your DTCC Relationship Manager or the undersigned at Peterjsmith@dtcc.com.

Pete Smith,
Equity Clearing Product Management