

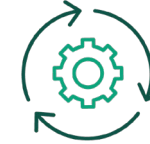
DTCC

DTCC TRANSFORMATION: SETTLEMENT CLIENT MILESTONE CHECKLIST

DATE: 3/2026

KEY ACTIVITIES FOR 2026 – MULTI-STAGE TRANSFORMATION ONBOARDING

A structured, end-to-end onboarding framework ensuring transparency, readiness, and successful client activation



1 INITIAL CLIENT ENGAGEMENT

Engagement

- **Initial Engagement:** Relationship Management outreach to introduce the Transformation program. Clients are encouraged to obtain Usage Reports from DTCC, detailing trade volumes, existing interfaces, inputs/outputs, profile configurations, and any modernization needs.
- **Client Project Kick-Off:** DTCC Integration hosts a project kick-off meeting to formally begin client migration.

2 CLIENT ONBOARDING

Onboarding

- Establish **Robot ID's entitlements** and begin connectivity setup. Clients will utilize their current Registration Company; if a new one is necessary, further efforts are required.
- Finalize all required **Connectivity Documentation:** MQ and SFTP Connectivity and Data Delivery forms.
- Regular cadence of meetings with DTCC Integration to review submitted documentation, address inquiries, and ensure completeness.

3 CONNECTIVITY

Connectivity – PSE & Prod

- The DTCC Integration team manages the required provisioning to connect to PSE (test) and Production environments.
- Work closely with Connectivity team and other relevant parties to set up leased lines, adjust firewall settings, allocate IP addresses, update protocols, assign entitlements, and complete test account configurations.
- Facilitate connectivity testing for all environments.

4 TESTING

Client Testing

- Conduct functional testing utilizing DTCC-provided test scripts that cover submissions, inputs, outputs, and client-specific UAT scenarios.
- ISO 20022 Test Facility to test and validate messages.
- Testing sign off will be required to complete testing and advance to the final stage of the project: Activation.

5 ACTIVATION



Pre-Production

- Clients provide formal testing attestation to confirm production readiness.
- Go Live**
- Clients transition to modernized Production systems, confirming successful live submissions, processing, and file retrieval.

Post-Production Support



- DTCC Integration supports clients through initial operations monitoring and issue resolution.

NAVIGATING THE CLIENT TRANSFORMATION JOURNEY: KEY MILESTONES AND ACTIONS

Activity	Actions	Applicant Responsibilities	Average Duration & Target Completion Date*	Best Practices
 <p>Initial Client Engagement</p>	<ul style="list-style-type: none"> ❑ Complete Questionnaire provided by your DTCC Relationship Manager. ❑ Request the Client Interface and Profile Usage Report. Review results and assess profile. ❑ Identify internal technical contacts responsible for network and settlement within your organization. ❑ Register for the Transformation Training series. 	<ul style="list-style-type: none"> • DTCC Relationship Management Engagement: Relationship managers have reached out to clients to involve them in the modernization process and to complete the RM questionnaire. • Receive Client Interface Usage form: Capture essential information to authorize individuals who will manage access to DTCC systems through Customer Registration System (CRS), including Organization details and requestor Information. • Project Kick-Off call hosted by DTCC Integration Team: Review client preparedness activities, identify Service Bureau contacts to be notified and included (if applicable). • Modernization Walkthrough: Present an overview of expectations, timelines, and comprehensive modernization process. • Client Development: Clients' development process begins with clients configuring the environment, outlining execution plans, and carrying out build and coding activities. Additionally, set up communication interface with DTCC channels to manage messages concerning files and different formats. 	<ul style="list-style-type: none"> • Avg. Duration: 3 weeks 	<ul style="list-style-type: none"> • Communicate objectives, business case, funding and timelines to Integration • Ensure Service Bureau inclusion in kick off call (if required) • Review the relevant DTCC Transformation materials, such as the Functional Change Document, Settlement Transformation Roadmap, ISO 20022 Learning Center content, to develop a comprehensive understanding of changes in 2026.
 <p>Client Onboarding</p>	<ul style="list-style-type: none"> ❑ Complete the appropriate Connectivity Forms corresponding to your connection type, either DTCC Distributed MQ Service Request form or DTCC Distributed SFTP Request form. ❑ Client Participation and registration on Transformation training series hosted by DTCC Integration team. 	<ul style="list-style-type: none"> • Client MQ/SFTP user ID Set-Up: Discuss client interface onboarding, verify Registration Company/Company ID and address initial onboarding inquiries such as project scope of DTCC accounts and products and identify Super Access Coordinators (SACs). • Submit client data requirements across: <ul style="list-style-type: none"> ✓ Client Information (Legal Entity Identifier (Company Name, Organizational ID (Registration Company), Legal Entity Identifier (LEI #) ✓ MQ/SFTP User ID information ✓ Network Details (Network type and associated IP addresses) ✓ Security Requirements (MQ channel security requirements, SFTP encryption algorithm) ✓ Queue Information (MQ only) • Complete Entitlements Training: Undergo training for designated individual(s) within client org responsible for managing and authorizing user access to DTCC systems (e.g., creation of operators, mainframe IDs, Machine/User ID functionality, managing entitlements, monitor access, etc.). 	<ul style="list-style-type: none"> • Avg. Duration: 3 weeks to Process After Submitting the Connectivity form. 	<ul style="list-style-type: none"> • Participation by teams from various parts of the client organization to determine requirements. • Submission of all forms completed in entirety for processing.



*The typical timeframe is estimated from past projects and largely relies on how promptly clients respond. Recommended best practices for adhering to deadlines are outlined. Review the [DTCC Transformation Functionality Client Checklist and Transformation Roadmaps on DTCC Transformational Site](#) for further details.

NAVIGATING THE CLIENT TRANSFORMATION JOURNEY: KEY MILESTONES AND ACTIONS

Activity	Actions	Applicant Responsibilities	Average Duration & Target Completion Date*	Best Practices
 <p>Connectivity Provisioning and Data Delivery Setup</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Establish New Channels for Connectivity with DTCC and Clients <input type="checkbox"/> Client Participation and Registration on Training Series Hosted by DTCC Integration Team 	<p>Establish Network Connection and determine connectivity requirements: Work with DTCC connectivity, DTCC technical teams, and Service Bureaus to setup chosen connectivity option. Connect with DTCC Connectivity to perform MQ ping test and/or test file SFTP connectivity testing. Establish new connectivity channel (MQ,SFTP) in distributed environment and connectivity requirements related to bandwidth assessment.</p> <p>Establish Transfer Protocol(s): Work with DTCC Connectivity to setup data transfer protocol(s), adhering to DTCC naming conventions and security requirements.</p> <p>Test Network Connections: Work with DTCC Connectivity to test network and application/service access. Confirm with DTCC Connectivity team that successful connection to the Test (PSE) environment has been established and prepare for Data Delivery and functional testing.</p>	<ul style="list-style-type: none"> • Avg. Duration: 3 Weeks + 1 Week Testing • Complete 4 weeks Prior to Connectivity Testing (PROD) 	<ul style="list-style-type: none"> • Participation by tech teams to determine needed tech requirements. • Predefine connectivity options with pros and cons to expedite decision making process. • Participation by technology teams to assist in testing and troubleshooting. • Ongoing timely submission of all requested documents and due diligence items.
	<ul style="list-style-type: none"> <input type="checkbox"/> Complete and Submit Data Delivery Forms to Your Integration Consultant <input type="checkbox"/> Complete Entitlements Provisioning (DocuSign) 	<p>Data Delivery Request: Collaborate with DTCC Integration to locate and request the necessary files or messages. Complete and submit the DocuSign form provided to the client.</p>	<ul style="list-style-type: none"> • Avg. Duration: 3 Weeks 	<ul style="list-style-type: none"> • Confirm accuracy of Data Delivery form before submission.
 <p>Testing</p>	<ul style="list-style-type: none"> <input type="checkbox"/> DTCC Test Scripts Leveraged for Functional Testing <input type="checkbox"/> Clients Test Securities Data Experiences (SDX) <input type="checkbox"/> Client Participation and Registration on Training Series Hosted by DTCC Integration Team 	<p>Complete Testing Prerequisites: Complete learning paths and training, confirm access to test environment. ISO 20022 test facility will be provisioned through CRS for all SACs. Client will test by sending an ISO20022 formatted message (i.e.: DO, PO, etc.) to the distributed endpoint through MQ or SFTP. An automatic response will be received for test messages sent through MQ (i.e.: SESE24). For SFTP, they will also see copies of Iso-aligned CSV report output in SDX.</p> <p>Finalize Testing: Conduct functional testing for modernized applications in the PSE (test) environment in alignment with test scripts provided by DTCC integration. Dependent on application, functionality enhancements/simplifications, and client usage. Conduct formal connectivity and conformance testing and provide signoff once completed.</p>	<ul style="list-style-type: none"> • Avg. Duration: 3 Weeks • Complete 8 weeks Prior to Production Go-Live 	<ul style="list-style-type: none"> • Prompt execution of all test scripts across products being tested. • Frequent outreach to DTCCTransformation@dtcc.com on error messages/ testing outcomes.

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NAVIGATING THE CLIENT TRANSFORMATION JOURNEY: KEY MILESTONES AND ACTIONS

Activity	Actions	Applicant Responsibilities	Average Duration & Target Completion Date*	Best Practices
 Pre- Production and Pre-Go Live Readiness	<ul style="list-style-type: none"> <input type="checkbox"/> Client Participation and Registration on Training Series Hosted by DTCC Integration Team <input type="checkbox"/> Verify client’s Connectivity has Successfully Been Established (i.e., MQ Ping Test in Production) <input type="checkbox"/> Client completes Conformance Testing <input type="checkbox"/> Provide DTCC Testing Attestation Sign-Off 	<p>Pre-Go-Live Requirements and Attestation Sign Off: Once functional testing is successfully completed, submit sign off email to DTCC integration confirming conclusion of scripted testing.</p> <p>Target Go-Live: DTCC Integration collaborates with necessary stakeholders to ensure go-live readiness. Communicate and align on activation date for production implementation.</p> <p>Production: On the activation date, the DTCC Integration team will collaborate with the client to verify that production connectivity and entitlements are correctly established.</p>	<ul style="list-style-type: none"> • Avg. Duration: 3 Weeks • Complete 3 Weeks Prior to Go-Live 	<ul style="list-style-type: none"> • Alert Production support teams for client go-live.
 Go-Live	<ul style="list-style-type: none"> <input type="checkbox"/> Schedule Go-Live Date 	<p>Go-Live Readiness: Adhere to production migration timeline and ensure no issues on day of activation. Make formal switch to leveraging production environment for relevant application / functionality. Work with DTCC Integration to ensure functionality is working properly.</p>	<ul style="list-style-type: none"> • N/A 	<ul style="list-style-type: none"> • Designate point of contact(s) for new Relationship Manager.

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