

Required fields are shown with yellow backgrounds and asterisks.

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SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, D.C. 20549
Form 19b-4

File No.* SR - 2015 - * 008

Amendment No. (Use 0 for Amendments)

Filing by The Depository Trust Company

Pursuant to Rule 19b-4 under the Securities Exchange Act of 1934

Initial *	Amendment *	Withdrawal	Section 19(b)(2) *	Section 19(b)(3)(A) *	Section 19(b)(3)(B) *
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Rule

Pilot	Extension of Time Period for Commission Action *	Date Expires	<input type="checkbox"/> 19b-4(f)(1)	<input checked="" type="checkbox"/> 19b-4(f)(4)
<input type="checkbox"/>	<input type="checkbox"/>		<input checked="" type="checkbox"/> 19b-4(f)(2)	<input type="checkbox"/> 19b-4(f)(5)
			<input type="checkbox"/> 19b-4(f)(3)	<input type="checkbox"/> 19b-4(f)(6)

Notice of proposed change pursuant to the Payment, Clearing, and Settlement Act of 2010

Security-Based Swap Submission pursuant
to the Securities Exchange Act of 1934

Section 806(e)(1) *	Section 806(e)(2) *	Section 3C(b)(2) *
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Report 19b-4 Paper Submission



Report 19b-4 Act 1934/2010

**Description**

Provide a brief description of the action (limit 250 characters, required when Initial is checked *).

Proposed Rule Change to allow each Participant to elect to receive new files containing its transactional and settlement balance information as well as add Participant fees relating to these files.

Contact Information

Provide the name, telephone number, and e-mail address of the person on the staff of the self-regulatory organization prepared to respond to questions and comments on the action.

First Name *	John	Last Name *	Petrofsky
Title *	Senior Associate Counsel		
E-mail *	jpetrofsky@dtcc.com		
Telephone *	(813) 470-2115	Fax	

Signature

Pursuant to the requirements of the Securities Exchange Act of 1934,

has duly caused this filing to be signed on its behalf by the undersigned thereunto duly authorized.

(Title *)

Date 06/30/2015 Managing Director and Deputy General Counsel

By Lois J. Radisch

(Name *)

Persona Not Validated - 1420663454010

NOTE: Clicking the button at right will digitally sign and lock this form. A digital signature is as legally binding as a physical signature, and once signed, this form cannot be changed.

SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, D.C. 20549

For complete Form 19b-4 instructions please refer to the EFFF website.

Form 19b-4 Information *

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The self-regulatory organization must provide all required information, presented in a clear and comprehensible manner, to enable the public to provide meaningful comment on the proposal and for the Commission to determine whether the proposal is consistent with the Act and applicable rules and regulations under the Act.

Exhibit 1 - Notice of Proposed Rule Change *

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The Notice section of this Form 19b-4 must comply with the guidelines for publication in the Federal Register as well as any requirements for electronic filing as published by the Commission (if applicable). The Office of the Federal Register (OFR) offers guidance on Federal Register publication requirements in the Federal Register Document Drafting Handbook, October 1998 Revision. For example, all references to the federal securities laws must include the corresponding cite to the United States Code in a footnote. All references to SEC rules must include the corresponding cite to the Code of Federal Regulations in a footnote. All references to Securities Exchange Act Releases must include the release number, release date, Federal Register cite, Federal Register date, and corresponding file number (e.g., SR-[SRO]-xx-xx). A material failure to comply with these guidelines will result in the proposed rule change being deemed not properly filed. See also Rule 0-3 under the Act (17 CFR 240.0-3)

Exhibit 1A- Notice of Proposed Rule Change, Security-Based Swap Submission, or Advance Notice by Clearing Agencies *

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The Notice section of this Form 19b-4 must comply with the guidelines for publication in the Federal Register as well as any requirements for electronic filing as published by the Commission (if applicable). The Office of the Federal Register (OFR) offers guidance on Federal Register publication requirements in the Federal Register Document Drafting Handbook, October 1998 Revision. For example, all references to the federal securities laws must include the corresponding cite to the United States Code in a footnote. All references to SEC rules must include the corresponding cite to the Code of Federal Regulations in a footnote. All references to Securities Exchange Act Releases must include the release number, release date, Federal Register cite, Federal Register date, and corresponding file number (e.g., SR-[SRO]-xx-xx). A material failure to comply with these guidelines will result in the proposed rule change, security-based swap submission, or advance notice being deemed not properly filed. See also Rule 0-3 under the Act (17 CFR 240.0-3)

Exhibit 2 - Notices, Written Comments, Transcripts, Other Communications

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Exhibit Sent As Paper Document

Copies of notices, written comments, transcripts, other communications. If such documents cannot be filed electronically in accordance with Instruction F, they shall be filed in accordance with Instruction G.

Exhibit 3 - Form, Report, or Questionnaire

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Exhibit Sent As Paper Document

Copies of any form, report, or questionnaire that the self-regulatory organization proposes to use to help implement or operate the proposed rule change, or that is referred to by the proposed rule change.

Exhibit 4 - Marked Copies

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The full text shall be marked, in any convenient manner, to indicate additions to and deletions from the immediately preceding filing. The purpose of Exhibit 4 is to permit the staff to identify immediately the changes made from the text of the rule with which it has been working.

Exhibit 5 - Proposed Rule Text

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The self-regulatory organization may choose to attach as Exhibit 5 proposed changes to rule text in place of providing it in Item I and which may otherwise be more easily readable if provided separately from Form 19b-4. Exhibit 5 shall be considered part of the proposed rule change.

Partial Amendment

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If the self-regulatory organization is amending only part of the text of a lengthy proposed rule change, it may, with the Commission's permission, file only those portions of the text of the proposed rule change in which changes are being made if the filing (i.e. partial amendment) is clearly understandable on its face. Such partial amendment shall be clearly identified and marked to show deletions and additions.

1. Text of Proposed Rule Change

(a) The purpose of the proposed rule filing¹ submitted by The Depository Trust Company (“DTC”) is to: (i) amend the Guide so that each Participant would be able to elect to receive either one or both of two new files containing its: (A) transactional information (“Transactional Information”)² in one File (“Transactional Information File”) and (B) settlement balance information (“Settlement Balance Information”)³ in the other File (“Settlement Balance Information File”) (each, a “File”, and collectively, “Files”), and (ii) amend the DTC Fee Schedule (“Fee Schedule”) to add Participant fees relating to the Files, as more fully described below. The proposed changes to the texts of the Guide and the Fee Schedule are set forth in Exhibit 5.

(b) Not applicable.

(c) Not applicable.

2. Procedures of the Self-Regulatory Organization

(a) The proposed rule change has been approved by the senior management of DTC; no other action is required to be taken by DTC under its organization certificate, by-laws or Rules for a proposed rule change of this type.

¹ Each term not otherwise defined herein has its respective meaning as set forth in the DTC Rules (the “Rules”), available at <http://www.dtcc.com/legal/rules-and-procedures.aspx>, and the DTC Settlement Service Guide (“Guide”), available at <http://www.dtcc.com/~media/Files/Downloads/legal/service-guides/Settlement.pdf>.

² Transactional Information for this purpose is defined as information relating to the Participant’s daily settlement transaction activity, as provided by DTC from time to time.

³ Settlement Balance Information for this purpose is defined as the Participant’s Net Debit Balance or Net Credit Balance, as applicable (“DTC Net Settlement Balance”). Where a Participant is a common member of DTC and National Securities Clearing Corporation (“NSCC”), Settlement Balance Information would include the net of the Participant’s DTC Net Settlement Balance and its NSCC net settlement balance (i.e., the net amount of its gross settlement debits and credits at NSCC).

3. Clearing Agency's Statement of the Purpose of, and Statutory Basis for, the Proposed Rule Change

(a)

Purpose

The purpose of the proposed rule filing is to amend: (i) the Guide so that Participants would be able to elect to receive one or both of the Files and (ii) the Fee Schedule to add Participant fees relating to the Files, as set forth below.

Background

Transactional Information and Settlement Balance Information are available to Participants in real-time via DTC's Settlement User Interface ("Interface").⁴ Participants that wish to access Transactional Information and Settlement Balance Information outside of the Interface may incur expense in order to extract the information from the Interface and incorporate it into their own file formats.

Proposal

In order to enhance the ability of Participants to efficiently access Transactional Information and Settlement Balance Information on a cost effective basis, the proposed rule change would revise the Guide to allow Participants to elect to receive one or both Files, for a monthly fee per File. The Transactional Information File would be provided daily. The Settlement Balance Information File would be provided via a feed on an intraday basis, with final Settlement Balance Information provided at end-of-day.

The Fee Guide would be amended to add the following Participant fees for access to the Files:

Transactional Information and Settlement Balance Information Files

Description	Amount (\$)	Conditions
Transactional Information File.	200.00	Per month
Settlement Balance Information File.	400.00	Per month

⁴ The Interface allows for Participant input and inquiry into the DTC Settlement System.

Implementation Date

The effective date of the proposed rule change would be July 1, 2015.

(b)

Statutory Basis

The proposed rule change is designed to promote the prompt and accurate clearance and settlement of securities transactions by enhancing access to information for Participants. The proposed fees as set forth above would apply equally for Participants that elect to receive Files. Therefore, DTC believes that the proposed rule change is consistent with the requirements of the Securities Exchange Act of 1934, as amended (“Act”) and the rules and regulations thereunder applicable to DTC, in particular: (i) Section 17A(b)(3)(F)⁵ of the Act, which requires that the rules of the clearing agency be designed, *inter alia*, to promote the prompt and accurate clearance and settlement of securities transactions, and (ii) Section 17A(b)(3)(D)⁶ of the Act, which requires that the rules of the clearing agency provide for the equitable allocation of reasonable dues, fees, and other charges among its Participants, respectively.

4. Clearing Agency's Statement on Burden on Competition

DTC does not believe that the proposed rule change would have any impact, or impose any burden, on competition.

5. Clearing Agency's Statement on Comments on the Proposed Rule Change Received from Members, Participants, or Others

Written comments relating to the proposed rule change have not yet been solicited or received. DTC will notify the Securities and Exchange Commission (the “Commission”) of any written comments received by DTC.

6. Extension of Time Period for Commission Action

DTC does not consent to an extension of the time period specified in Section 19(b)(2)⁷ of the Act for Commission action.

⁵ 15 U.S.C. 78q-1(b)(3)(F).

⁶ 15 U.S.C. 78q-1(b)(3)(D).

⁷ 15 U.S.C. 78s(b)(2).

7. Basis for Summary Effectiveness Pursuant to Section 19(b)(3) or for Accelerated Effectiveness Pursuant to Section 19(b)(2)

- (a) This filing is made pursuant to Section 19(b)(3)(A)⁸ of the Act and subparagraphs (f)(2)⁹ and (f)(4)¹⁰ of Securities Exchange Act Rule 19b-4.
- (b) The proposed rule change: (i) establishes or changes a due, fee, or other charge applicable only to DTC Participants, because only DTC Participants would be able to receive the Files, and (ii) effects a change in an existing service of a registered clearing agency that: (A) does not adversely affect the safeguarding of securities or funds in the custody or control of the clearing agency or for which it is responsible; and (B) does not significantly affect the respective rights or obligations of the clearing agency or persons using the service, because the Files are only reports of information that do not affect DTC's safeguarding of securities or funds, or the rights or obligations of DTC or its Participants.
- (c) Not applicable.
- (d) Not applicable.

8. Proposed Rule Change Based on Rules of Another Self-Regulatory Organization or of the Commission

The proposed rule change is not based on the rules of another self-regulatory organization or the Commission.

9. Security-Based Swap Submissions Filed Pursuant to Section 3C of the Act

Not applicable.

10. Advance Notices Filed Pursuant to Section 806(e) of the Payment, Clearing and Settlement Supervision Act

Not applicable.

⁸ 15 U.S.C. 78s(b)(3)(A).

⁹ 17 CFR 240.19b-4(f)(2).

¹⁰ 17 CFR 240.19b-4(f)(4).

11. Exhibits

Exhibit 1A - Notice of proposed rule change for publication in the Federal Register.

Exhibit 2 - Not applicable.

Exhibit 3 - Not applicable.

Exhibit 4 - Not applicable.

Exhibit 5 - Proposed Revisions to the text of the Service Guide and Fee Schedule.

SECURITIES AND EXCHANGE COMMISSION
(Release No. 34-[_____]; File No. SR-DTC-2015-008)

[DATE]

Self-Regulatory Organizations; The Depository Trust Company; Notice of Filing and Immediate Effectiveness of Proposed Rule Change to Amend the DTC Settlement Service Guide to Allow Participants to Elect to Receive Certain New Transactional and Settlement Balance Files and Effect a Related Amendment to the DTC Fee Schedule

Pursuant to Section 19(b)(1)¹ of the Securities Exchange Act of 1934 (“Act”) and Rule 19b-4² thereunder, notice is hereby given that on July 1, 2015, The Depository Trust Company (“DTC”) filed with the Securities and Exchange Commission (“Commission”) the proposed rule change as described in Items I, II and III below, which Items have been prepared by DTC. DTC filed the proposed rule change pursuant to Section 19(b)(3)(A)³ of the Act and subparagraphs f(2)⁴ and (f)(4)⁵ of Rule 19b-4 thereunder. The proposed rule change was effective upon filing with the Commission. The Commission is publishing this notice to solicit comments on the proposed rule change from interested persons.

I. Clearing Agency’s Statement of the Terms of Substance of the Proposed Rule Change

The proposed rule change⁶ would: (i) amend the Guide so that each Participant would be able to elect to receive either one or both of two new files containing its: (A)

¹ 15 U.S.C. 78s(b)(1).

² 17 CFR 240.19b-4.

³ 15 U.S.C. 78s(b)(3)(A).

⁴ 17 CFR 240.19b-4(f)(2).

⁵ 17 CFR 240.19b-4(f)(4).

transactional information (“Transactional Information”)⁷ in one file (“Transactional Information File”), and (B) settlement balance information (“Settlement Balance Information”)⁸ in the other file (“Settlement Balance Information File”) (each a “File”, and collectively, “Files”), and (ii) amend the DTC Fee Schedule (“Fee Schedule”) to add Participant fees relating to the Files, as more fully described below.

II. Clearing Agency’s Statement of the Purpose of, and Statutory Basis for, the Proposed Rule Change

In its filing with the Commission, DTC included statements concerning the purpose of, and basis for, the proposed rule change and discussed any comments it received on the proposed rule change. The text of these statements may be examined at the places specified in Item IV below. DTC has prepared summaries, set forth in sections A, B, and C below, of the most significant aspects of such statements.

⁶ Each term not otherwise defined herein has its respective meaning as set forth in the DTC Rules (the “Rules”), available at <http://www.dtcc.com/legal/rules-and-procedures.aspx>, and the DTC Settlement Service Guide (“Guide”), available at <http://www.dtcc.com/~media/Files/Downloads/legal/service-guides/Settlement.pdf>.

⁷ Transactional Information for this purpose is defined as information relating to the Participant’s daily settlement transaction activity, as provided by DTC from time to time.

⁸ Settlement Balance Information for this purpose is defined as the Participant’s Net Debit Balance or Net Credit Balance, as applicable (“DTC Net Settlement Balance”). Where a Participant is a common member of DTC and National Securities Clearing Corporation (“NSCC”), Settlement Balance Information would include the net of the Participant’s DTC Net Settlement Balance and its NSCC net settlement balance (i.e., the net amount of its gross settlement debits and credits at NSCC).

(A) Clearing Agency's Statement of the Purpose of, and Statutory Basis for, the Proposed Rule Change

1. Purpose

The purpose of the proposed rule filing is to amend: (i) the Guide so that Participants would be able to elect to receive one or both of the Files and (ii) the Fee Schedule to add Participant fees relating to the Files, as set forth below.

Background

Transactional Information and Settlement Balance Information are available to Participants in real-time via DTC's Settlement User Interface ("Interface").⁹ Participants that wish to access Transactional Information and Settlement Balance Information outside of the Interface may incur expense in order to extract the information from the Interface and incorporate it into their own file formats.

Proposal

In order to enhance the ability of Participants to efficiently access Transactional Information and Settlement Balance Information on a cost effective basis, the proposed rule change would revise the Guide to allow Participants to elect to receive one or both Files, for a monthly fee per File. The Transactional Information File would be provided daily. The Settlement Balance Information File would be provided via a feed on an intraday basis, with final Settlement Balance Information provided at end-of-day.

⁹ The Interface allows for Participant input and inquiry into the DTC Settlement System.

The Fee Guide would be amended to add the following Participant fees for access to the Files:

Transactional Information and Settlement Balance Information Files

Description	Amount (\$)	Conditions
Transactional Information File.	200.00	Per month
Settlement Balance Information File.	400.00	Per month

Implementation Date

The effective date of the proposed rule change would be July 1, 2015.

2. Statutory Basis

The proposed rule change is designed to promote the prompt and accurate clearance and settlement of securities transactions by enhancing access to information for Participants. The proposed fees as set forth above would apply equally for Participants that elect to receive Files. Therefore, DTC believes that the proposed rule change is consistent with the requirements of the Act and the rules and regulations thereunder applicable to DTC, in particular: (i) Section 17A(b)(3)(F)¹⁰ of the Act, which requires that the rules of the clearing agency be designed, *inter alia*, to promote the prompt and accurate clearance and settlement of securities transactions, and (ii) Section 17A(b)(3)(D)¹¹ of the Act, which requires that the rules of the clearing agency provide for the equitable allocation of reasonable dues, fees, and other charges among its Participants, respectively.

¹⁰ 15 U.S.C. 78q-1(b)(3)(F).

¹¹ 15 U.S.C. 78q-1(b)(3)(D).

(B) Clearing Agency's Statement on Burden on Competition

DTC does not believe that the proposed rule change would have any impact, or impose any burden, on competition.

(C) Clearing Agency's Statement on Comments on the Proposed Rule Change Received from Members, Participants, or Others

Written comments relating to the proposed rule change have not yet been solicited or received. DTC will notify the Commission of any written comments received by DTC.

III. Date of Effectiveness of the Proposed Rule Change and Timing for Commission Action

The foregoing rule change has become effective pursuant to Section 19(b)(3)(A)¹² of the Act and paragraph (f) of Rule 19b-4¹³ thereunder. At any time within 60 days of the filing of the proposed rule change, the Commission summarily may temporarily suspend such rule change if it appears to the Commission that such action is necessary or appropriate in the public interest, for the protection of investors, or otherwise in furtherance of the purposes of the Act.

IV. Solicitation of Comments

Interested persons are invited to submit written data, views and arguments concerning the foregoing, including whether the proposed rule change is consistent with the Act. Comments may be submitted by any of the following methods:

Electronic Comments:

- Use the Commission's Internet comment form

¹² 15 U.S.C. 78s(b)(3)(A).

¹³ 17 CFR 240.19b-4(f).

(<http://www.sec.gov/rules/sro.shtml>); or

- Send an e-mail to rule-comments@sec.gov. Please include File Number SR-DTC-2015-008 on the subject line.

Paper Comments:

- Send paper comments in triplicate to [Name of Secretary], Secretary, Securities and Exchange Commission, 100 F Street, NE, Washington, DC 20549-1090.

All submissions should refer to File Number SR-DTC-2015-008. This file number should be included on the subject line if e-mail is used. To help the Commission process and review your comments more efficiently, please use only one method. The Commission will post all comments on the Commission's Internet website (<http://www.sec.gov/rules/sro.shtml>). Copies of the submission, all subsequent amendments, all written statements with respect to the proposed rule change that are filed with the Commission, and all written communications relating to the proposed rule change between the Commission and any person, other than those that may be withheld from the public in accordance with the provisions of 5 U.S.C. 552, will be available for website viewing and printing in the Commission's Public Reference Room, 100 F Street, NE, Washington, DC 20549 on official business days between the hours of 10:00 a.m. and 3:00 p.m. Copies of the filing also will be available for inspection and copying at the principal office of DTC and on DTCC's website (<http://dtcc.com/legal/sec-rule-filings.aspx>). All comments received will be posted without change; the Commission does not edit personal identifying information from submissions. You should submit only information that you wish to make available

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publicly. All submissions should refer to File Number SR-DTC-2015-008 and should be submitted on or before [insert date 21 days from publication in the Federal Register].

For the Commission, by the Division of Trading and Markets, pursuant to delegated authority.¹⁴

Secretary

¹⁴ 17 CFR 200.30-3(a)(12).

EXHIBIT 5

Bold, Underlined text indicates additions.

The Depository Trust Company

Settlement Service Guide

Settlement User Interface

About the Product

The Settlement User Interface is a user interface that features a Navigation Bar and Dashboard. The Navigation Bar allows Participants access to improved inquiry and update capabilities for their settlement transactions. The Dashboard consists of individual windows, each of which offers a view into different settlement related activity.

Transactional Information and Settlement Balance Information Files

A Participant may elect to receive files containing: (a) its DTC settlement transaction information on a daily basis (known as the “Transactional Information File”) and/or (b) its settlement balance information via a feed that would be provided on an intraday basis, with final settlement balance information provided at end-of-day (known as the “Settlement Balance Information File”). Applicable fees are set forth in the DTC Fee Schedule.

DTC Fee Schedule

Settlement Services

Transactional Information and Settlement Balance Information Files

Description	Amount (\$)	Conditions
<u>Transactional Information File.</u>	<u>200.00</u>	<u>Per month</u>
<u>Settlement Balance Information File.</u>	<u>400.00</u>	<u>Per month</u>
