DTCC | *Important Notice*
The Depository Trust Company

B #:	0111-14
Date:	January 16, 2014
To:	All Participants
Category:	Settlement
From:	Settlement Product Management
Attention:	Settlement Manager / Managing Director / Cashier
Subject:	Retirement of Settlement Functionality – Collateral Loan Services and Pending Transactions

As referenced in Important Notice B#1972-13, DTC is retiring Settlement functions from the legacy PTS and PBS user interfaces. **The next round of retirements is scheduled for Friday, January 24, 2014, and includes Collateral Loan Services and Pending Transaction functionality. Beginning Friday, January 24th, customers will need to use the Settlement Web to submit manual pledge, release request, release request approval, release return and pending transaction updates. Please note that the "COLL Historical" option will remain in PTS/PBS until it is migrated to the Settlement Web at a future date.**

Pledgor Access
Users who wish to process pledge and release request transactions in the Settlement Web must contact their Access Coordinators to request to be provisioned with **Sensitive Function 9**, as well as one of the eight existing Core Roles. A user provisioned with Sensitive Function 9 will be able to process that transaction type via both the screen-based and upload applications in the Settlement Web.

Pledgee Access
The **Pledgee Bank Inquiry and Update Access** role will allow pledgee bank users to inquire on pledgee bank activity as well as approve release requests and processing release returns of pledges via both the screen-based and upload applications in the Settlement Web. The Pledgee Bank Inquiry Only Access role will allow pledgee bank users to inquire on pledge activity associated with their pledgee bank.

Pending Transaction Access
Users who wish to process pending transaction updates in the Settlement Web must contact their Access Coordinators to request that they are provisioned with a core role containing the **Transaction Update** layer of permission.

Please see Appendix 1 for the current PTS/PBS retirement schedule, and ensure that users are correctly provisioned with appropriate Settlement Web roles in advance the corresponding dates. See Appendices 2 & 3 for information on Settlement Web access and Roles/Functions. Questions regarding this notice should be directed to the Client Account Representative Team at 212-855-4270, option 2 or rmsupport@dtcc.com.

DTCC Public (White)

APPENDIX 1

Settlement Web Function / Settlement Web Update Role	Settlement Web Live Date	PTS/JPTS Menus	PTS/JPTS Retirement Date	PBS Menu	PBS Retirement Date
Pending Activity / Any Core Role with Transaction Update	2/1/2012	PEND, PENC, PNCN, PNDC, PNDM	10/17/2013	Pending Activity	1/24/2014
Day Deliver Orders / Sensitive Function 2	6/1/2013	DO, DOAP, DOAD, DOAR, DOCD, DOLD, DORI, DOT, NDO, NDOA, NDOB, NDOD, NDOM, NDOO, NDOR, NDOT, NDOU	11/22/2013 RETIRED	Quick Deliver Order Input, DO Reason Code Inquiry, DO Reason Code Add/Update/Delete, Fed Deliver Order Input Day/Night Deliver Order Input	2/27/2014
Federal Reserve Deliver Orders / Sensitive Function 2					
Future Dated Deliver Orders (NDOs) / Sensitive Function 2					
Premium Payment Orders / Sensitive Function 3		POLI, POLU		Premium Payment Orders, Security Payment Orders	
Security Payment Orders / Sensitive Function 3					
Account Segregations & Releases / Sensitive Function 4		SEG, RSEG, RSGT, SSEG, SEGT		Segregation/Release,	
Investment Id/Releases / Sensitive Function 5		INID, INIT, RNID, RNIT		Investment Identification/Release,	
Memo Segregations / Sensitive Function 6		MSEG, MSGT		Memo Segregation/Release,	
Collateral Moves (MA/NA) / Sensitive Function 7		DYMA, DYNA, NTMA, NTNA, NNAT, NMAT, DMAT, DNAT		Collateral Classifications	
Settlement Transaction File Upload / Sensitive Functions 2-9		NO PTS FUNCTION		Settlement Transaction File Upload (DO Only)	
Collateral Loan Services / Sensitive Function 9 Pledgee Bank Inquiry and Update	10/4/2013	COLL, COLF, COLC, COLN, COLT	1/24/2014	Collateral Loan Service Menu	1/24/2014
Position Inquiry / No Updates	2/1/2012	POS, POSM	Q3 2014	Security Position	Q3 2014
Activity Inquiry / Core Role with Transaction Update	8/1/2011	ART, ATAM	Q4 2014	Activity Research Tool	Q4 2014
Participant Settlement Statements / Any Core Role With Inquiry	Q1 2014	SETP	Q4 2014	Settlement Statements	Q4 2014

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.   Non-Confidential

APPENDIX 2

About Core Roles

As outlined in previous notices, there are 4 primary types of access within the Settlement Web: Inquiry, Transaction Update, Approval and Profile Management. Each of these affords different levels of functionality.
In order to provide participants with each possible combination of access, we've created 8 "Core Roles". CRS Access Coordinators should assign a single core role (select one from the right) for each user based on the appropriate level of access. The table below provides an explanation of each access type and lists examples of the functionality that each provides. At the industry's request, transaction input roles are governed by Sensitive Functions.

Core Role #1: Inquiry Only Access

Core Role #2: Inquiry plus Transaction Update

Core Role #3: Inquiry plus Approval

Core Role #4: Inquiry plus Profile Management

Core Role #5: Inquiry plus Transaction Update plus Profile Management

Core Role # 6: Inquiry plus Approval plus Transaction Update

Core Role #7: Inquiry plus Profile Management plus Approval

Core Role #8: Inquiry plus Transaction Update plus Approval plus Profile Management

Inquiry	Provides inquiry access to all functions within the Settlement Web
Transaction Update	Transaction update refers to taking an action on an existing instruction. Common examples include: canceling a pending delivery, holding and releasing a pending delivery, canceling or approving a transaction in RAD, or reclaiming a receive.
Approval	Provides the ability to approve transactions that are subject to secondary approval and applicable profile creations and modifications An example includes approving RAD limit profile.
Profile Management	Provides the ability to create or modify settlement related profiles. An example is creating a bilateral RAD limit profile.

Additional Functions

Additional roles have been created to govern access to sensitive or specific functionality in the Settlement Web. The roles are outlined below:

Additional Role	DESCRIPTION
Pledgee Bank Inquiry Only Access	This role will allow pledgee bank users to inquire on pledgee activity
Pledgee Bank Inquiry and Update Access	This role will allow pledgee bank users to inquire on pledgee activity and perform updates, e.g., release request approvals and returns

SENSITIVE FUNCTION 1 - Collateral Group Privileges (Add-on to above core roles)	Add Collateral Group privileges to the Core Roles.
SENSITIVE FUNCTION 2 - Deliver Order Input (Add-on to above core roles)	This add-on to the Core Roles will allow a user to submit Deliver Orders via screen or upload in the Settlement Web.
SENSITIVE FUNCTION 3 - Payment Order Input (Add-on to above core roles)	This add-on to the Core Roles will allow a user to submit Security Payment Orders (SPOs) or Premium Payment Orders (PPOs) via screen or upload in the Settlement Web.
SENSITIVE FUNCTION 4 - Segregation/Release of Segregation Input (Add-on to above core roles)	This add-on to the Core Roles will allow a user to move securities to and from their general free account to their segregation account via screen or upload in the Settlement Web.
SENSITIVE FUNCTION 5 - Memo Segregation Input (Add-on to above core roles)	This add-on to the Core Roles will allow a user to add, delete or overlay their memo segregation counter via screen or upload in the Settlement Web.
SENSITIVE FUNCTION 6 - Investment ID/Release of Investment ID Input(Add-on to above core roles)	This add-on to the Core Roles will allow a user to move securities to and from their general free account to their Investment ID account via screen or upload in the Settlement Web.
SENSITIVE FUNCTION 7 - MA/NA Collateral Movement Input (Add-on to above core roles)	This add-on to the Core Roles will allow a user to move securities between the collateral designations Minimum Amount (MA) and Net Additions (NA) via screen or upload in the Settlement Web.
SENSITIVE FUNCTION 8 – IPA Inquiry Privileges (Add-on to above core roles)	This add-on to the Core Roles will allow IPA users to inquire on Money Market activity.
SENSITIVE FUNCTION 9 - Pledge / Release Request Input	This add-on to the Core Roles will allow a user to pledge and request release returns via screen or upload in the Settlement Web

Appendix 3A: User Walkthrough

STEP 1. CLAIM YOUR IDs. This step requires users to verify their DTC id.
   a. Log into the PBS portal and click on the "**User Profile Setup**" link.
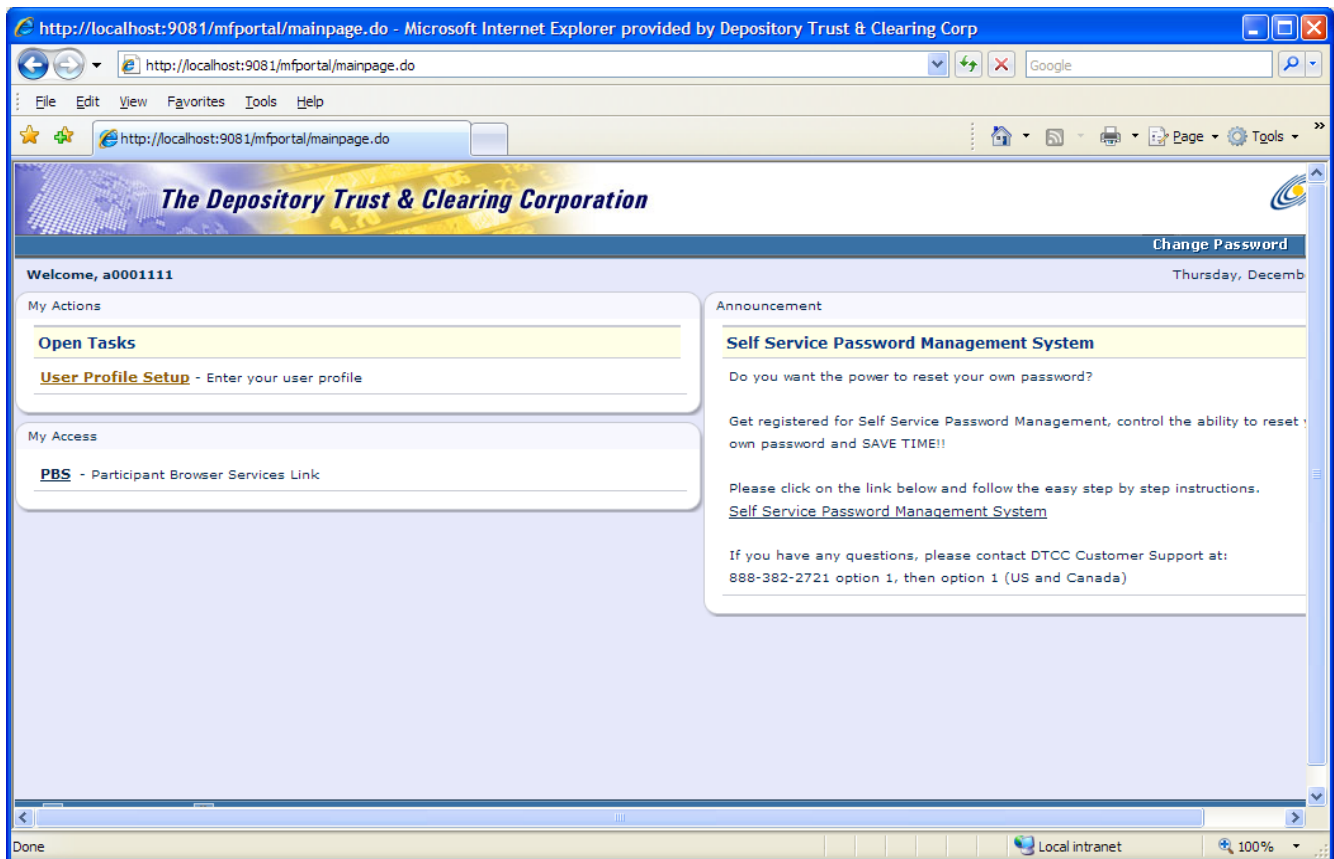
   b. Enter your personal profile information as prompted and click "**Continue.**" This information will be used to register this ID in your name and will indicate to your Access Coordinator that you "own" this ID.

c. The Confirmation screen will display what you just entered. Verify that everything is correct and then click "Submit". If there are changes needed here you need to click the Edit button, make the changes and then click Continue again before clicking Submit.

d. Once you have submitted your information to claim the ID, you should receive a message stating "Thank you for submitting your user information for this ID." At this point you should notify your Access Coordinator that your ID has been claimed and it requires his or her approval. **Close all Internet Explorer browser windows.**

STEP 2. COMPLETING YOUR REGISTRATION
You will receive an email with the subject "User Profile Approved" once your Access Coordinator has approved your ID. At this point you need to complete your registration.

a. Login to PBS as you do today to access the mainframe portal.
b. Under "Open Tasks" you should now see a link that states "Click here to complete your registration!!!" Click on this link.

c. Once you click the link, you will be asked to answer three hint questions. Select a question and enter an answer for all three questions and then click the Submit button.

Home Hint Questions and Answers

Please select three hint questions and enter your answers. Answers to these hint questions can ONLY contain spaces, letters, and numbers. If you ever need to call DTCC for customer support, we will use these questions to confirm your identity.

Not all questions apply to all users. Please select questions that apply to you AND your answers will be easy to remember. For security reasons, NEVER write your answers down.

* Question 1:
[Select a Question]
* Answer 1:
* Question 2:
[Select a Question]
* Answer 2:
* Question 3:
[Select a Question]
* Answer 3:

Submit

    d.   Once you've completed your hint questions you will see a screen that states "Congratulations! You have successfully completed your registration." **At this point you should close all of your Internet Explorer Browser windows.**

You have now completed your registration. However, until your ID is provisioned with the Settlement Web product you will not be able to access the product. Ask your Access Coordinator to assign the product.

You should receive an email notifying you that your ID has been provisioned with the product once your Access Coordinator provisions your ID. The email will contain the subject "DTCC User ID Update: COMPLETED." At this time you can proceed to login to PBS as you do today and you should see a link under "Available Production Products" for SW. To access Settlement Web, click on the SW link and the product will launch.

Available Production Products

PBS - Participant Browser Services

SW - The Settlement Web

Appendix 3B: AC Walkthrough

As an Access Coordinator you assume the following Responsibilities:

1) **Verify Claimed Mainframe ID requests**
2) **Assign the Settlement Web to users**
3) **Assign a core role to each user**
4) **Assign participant account numbers to each user**

Step 1. Verifying and Approving Claimed Mainframe ID

Before you can actually assign the SW product to a user they must first submit a "claim" on their ID by registering it in their name. The following steps outline how you can verify and approve a claimed ID so that it may be provisioned with the SW product.

   a.   Log into CRS.
   b.   The User menu is used to create/modify/disable/enable and delete User ID's as well as Reset Passwords.   Move your mouse over the User menu and click on Claim ID Requests to see if there are any mainframe ID's awaiting approval.
        NOTE: If this screen does not display any items, there are no pending ID claim requests.
   c.   If there are ID's listed on this screen you can either click the Approve checkbox or click the Reject checkbox and then click Submit. This allows you to confirm or reject the specific PBS ID attached to a user. You should review the information to ensure it is accurate prior to approving/rejecting. **NOTE: If you choose to reject you will be required to enter a Reject Reason in the field and this will be sent back to the user explaining why they were rejected.**
   d.   Once you have approved an ID it is then eligible to be provisioned with the Settlement Web product.

Step 2. Provisioning a Mainframe ID in CRS for Settlement Web

   a.   Log into CRS using your existing login and password.
   b.   Move your mouse over the User menu and click on Manage User. Click the radio button to the left of the "Search Existing User" heading and enter the user ID you'd like to provision – then click continue.

c. After clicking continue you should be presented with the user information screen. If everything is correct here, click the Add New Products button. NOTE: If you are presented with a Warning simply click the Continue button

Add New Products

d. Expand the Clearance & Settlement section by clicking on the Plus symbol and you will see the Settlement Web product. To provision a user as an Operator, click the checkbox in the Operator column for Production and click Continue. To provision a user as an Access Coordinator you would select the checkbox in that column.

Manage User	Select Product(s)			
1. User ID	Email Address: jlovetere@dtcc.com Company Name: PTS TRAINING ACCOUNT **First Name:** John **Last Name:** Lovetere **Telephone:** 1- 8134701501 **Ext:**			
2. User Information				
3. Select Products	**☐ Clearance & Settlement**			
4. Entitlements		**Environment**	**Operator**	**Access Coordinator**
a. Roles	**Settlement WEB**	**Production**	☑	☐
5. Confirmation		**PSE**	☐	☐
	☐ Customer Registration System			
	Cancel Reset		Back	Continue

Step 3. Assign a Core Role to Each User

You are now faced with selecting the role for the user ID. Select a **single core role** for the user by clicking the appropriate box and click continue. The sensitive function can be added to any role.

Manage User	Select Role(s)
1. User ID	Email Address: jlovetere@dtcc.com Company Name: PTS TRAINING ACCOUNT **First Name:** John **Last Name:** Lovetere **Telephone:** 1- 8134701501 **Ext:**
2. User Information	
3. Select Products	**Product :** **Settlement WEB**
4. Entitlements	**Roles :**
a. Roles	☐ CORE ROLE 1 - Inquiry Only Access
b. Account Groups	☐ CORE ROLE 2 - Inquiry PLUS Transaction Submission/Update
5. Confirmation	☐ CORE ROLE 3 - Inquiry PLUS Approval
	☐ CORE ROLE 4 - Inquiry PLUS Profile Management
	☐ CORE ROLE 5 - Inquiry PLUS Transaction Submission/Update PLUS Profile Management
	☐ CORE ROLE 6 - Inquiry PLUS Approval PLUS Transaction Submission/Update
	☐ CORE ROLE 7 - Inquiry PLUS Profile Management PLUS Approval
	☐ CORE ROLE 8 - Inquiry PLUS Transaction Submission/Update PLUS Approval PLUS Profile Management
	☐ SENSITIVE FUNCTION 1 - Collateral Group Privileges (Add-on to above core roles)
	Cancel Reset Back Continue

Step 4. Assign Participant Account Numbers to the User

    a.   The final step before confirmation is to select the accounts to which the user should be given access. Select the account(s) and click continue.

Manage User

1. User ID
2. User Information
3. Select Products
4. Entitlements
  a. Roles
b. Account Groups
5. Confirmation

Select Account Group(s)

Email Address: jlovetere@dtcc.com
Company Name: PTS TRAINING ACCOUNT
First Name: John
Last Name: Lovetere
Telephone: 1- 8134701501 Ext:

Product : Settlement WEB
Member Accounts :
  ☐ (OCODE: TST1) 00002199 (DTCPRT)

  ☐ 00002199 (DTCPRT)

Cancel   Reset   Back   Continue

    b.   The final step is the confirmation screen – this screen will show you exactly what you provisioned the user ID with and give you an opportunity to either cancel or modify the request. If everything looks good, click the Submit button.

Manage User

1. User ID
2. User Information
3. Select Products
4. Entitlements
  a. Roles
  b. Account Groups
5. Confirmation

Confirmation

User ID (current) : 021990ao
Pick one of the existing Legacy Id's to be your primary Id:
Legacy User ID: 021990ao ▾

Email Address: jlovetere@dtcc.com
Company Name: PTS TRAINING ACCOUNT
First Name: John
Last Name: Lovetere
Telephone: 1- 8134701501 Ext:

Product : Settlement WEB   (Add)
Roles :
  CORE ROLE 1 - Inquiry Only Access
Member Accounts :
  (OCODE: TST1) 00002199 (DTCPRT)

Cancel   Modify Request   Submit

    c.   After clicking Submit you will be presented with a final view showing the results of what you just completed. The user now needs to login to PBS and complete their registration in order to begin using the SW product.