



Important Notice
National Securities Clearing Corporation

A#: 7911
P&S# 7481
DATE: OCTOBER 8TH, 2014
TO: ALL PARTICIPANTS
ATTENTION: MANAGING PARTNER/OFFICER; P&S MANAGER, CASHIER;
OPERATIONS MANAGER; MANAGER, DATA PROCESSING MANAGER,
IT MANAGER
FROM: PRODUCT MANAGEMENT
SUBJECT: UNIVERSAL TRADE CAPTURE EXCHANGE TESTING AND
IMPLEMENTATION

As previously noted in Important Notice A#7277, P&S#6847, dated September 6, 2011, NSCC has begun supporting the conversion of exchanges (or “submitting entities”) to Universal Trade Capture (UTC) format messages. Beginning Friday October 10th, 2014, NASDAQ TRF (ACT) will submit Universal Trade Capture (UTC) FIX-format messages to NSCC.

Information relating to the conversions of submitting entities to UTC format messaging is available on the UTC website, at <http://dtcclearning.com/learning/clearance>. Exchange testing information is also available on the website under the section labelled “Review UTC Testing Information”.

For questions about this Important Notice or to begin the UTC output setup process, please contact your Relationship Manager or email the undersigned at ppieczara@dtcc.com.

Pawel Pieczara
Product Management, Equities Clearance

Non-Confidential

DTCC, on behalf of its subsidiaries, is now offering enhanced access to all important notices via a new, Web-based subscription service. The new 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.