



<b>P&amp;S#:</b>	<b>7379</b>
<b>A#:</b>	<b>7809</b>
<b>DATE:</b>	<b>MARCH 27, 2014</b>
<b>TO:</b>	<b>ALL MEMBERS</b>
<b>FROM:</b>	<b>PRODUCT MANAGEMENT, EQUITIES CLEARANCE</b>
<b>ATTENTION:</b>	<b>MANAGING PARTNER/OFFICER, OPERATIONS PARTNER/OFFICER MANAGER P&amp;S DEPARTMENT, MANAGER DATA PROCESSING DEPARTMENT</b>
<b>SUBJECT:</b>	<b>ENHANCEMENTS TO CNS CORPORATE ACTION DATABASE – REGISTRATION FOR SMART/TRACK FOR CNS CORPORATE ACTIONS</b>

As previously announced in Important Notice A#7806, P&S# 7376 dated March 24, 2014, the National Securities Clearing Corporation (“NSCC”) outlined the registration process for **SMART/Track for CNS Corporate Actions (Product “CNR”)** which will become available on the Customer Registration system on **Friday, April 11, 2014**. On this date, NSCC Members’ Super Access Coordinators (SAC) can begin to grant entitlements to the product to the Access Coordinator(s) or internal users at their firms.

Listed below are the roles available for **SMART/Track for CNS Corporate Actions**. The roles are divided into either inquiry access or update access for voluntary corporate actions, mandatory corporate actions, and optional dividends. **The SAC at each firm is responsible for granting the roles allowed to internal users.**

<b>Role</b>	<b>Function</b>	<b>Description</b>
CNR Voluntary Inquiry Access	Inquiry	Allows users to view: <ul style="list-style-type: none"><li>• Voluntary Corporate Actions</li><li>• Voluntary Corporate Action Instructions</li><li>• Voluntary Corporate Action Liabilities</li></ul>
CNR Voluntary Instructions Update Access	Update	Allows users to add/update Voluntary Corporate Action Instructions
CNR Mandatory Inquiry Access	Inquiry	Allows users to view Mandatory Corporate Actions
CNR Dividend Inquiry Access	Inquiry	Allows users to view Optional Dividends
CNR Dividend Update Access	Update	Allows users to add/update Optional Dividend Elections

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](http://www.dtcc.com/subscription_form.php).

Members are reminded that **SMART/Track for CNS Corporate Actions** will be implemented in a phased approach. Phase one will implement the enhancements for processing optional dividends. Subject to regulatory approval of a proposed rule change, the Phase one is scheduled for **May 16, 2014**.

### **Additional Information**

A copy of this Important Notice can be obtained from the web site of NSCC's parent corporation, The Depository Trust & Clearing Corporation, at <http://www.dtcc.com>. If you have any questions regarding these enhancements, please contact your DTCC Relationship Manager or CNS Operations at (888) 382-2721, Option 2, then 2.