



<b>A#:</b>	<b>7973</b>
<b>P&amp;S#:</b>	<b>7548</b>
<b>DATE:</b>	<b>JANUARY 30, 2015</b>
<b>TO:</b>	<b>ALL MEMBERS AND LIMITED MEMBERS</b>
<b>ATTENTION:</b>	<b>MANAGER MUTUAL FUNDS OPERATIONS, MANAGER DATA PROCESSING, MANAGER CASHIERS, MANAGER P&amp;S DEPARTMENT</b>
<b>FROM:</b>	<b>WEALTH MANAGEMENT SERVICES - MUTUAL FUNDS</b>
<b>SUBJECT:</b>	<b>NSCC FUND/SERV SECURITY ISSUE ID AND MEMBER PROFILE MODIFY FORMS TO BE RELOCATED TO THE DTCC WEB PORTAL</b>

Effective February 13, 2015, National Securities Clearing Corporation (NSCC) will relocate the following Wealth Management Services (WMS) Fund/SERV® Security Issue ID and Member Profile forms from the DTCC website to the DTCC Web Portal.

- Fund/SERV® Security Issue ID Add
- Fund/SERV® Security Issue ID Modify
- Fund/SERV® Security Issue ID Delete
- Fund/SERV® Member Profile Modify

These forms currently reside in the WMS section of the DTCC website under the [Fund/SERV Forms](#) menu and are leveraged to add, modify, and delete Fund/SERV® Eligible Fund securities and to modify member processing parameters on Fund/SERV® and Networking. Relocating the forms to the DTCC Web portal will provide enhanced security controls for validating a user when accessing and submitting a form. To facilitate a smooth transition, the forms will continue to be available on the DTCC website through April 13, 2015. Effective April 14, 2015, the forms will only be available via the DTCC Web portal.

#### **How to obtain access to the NSCC Fund/SERV Security Issue ID and Member Profile Modify Forms**

The forms will be located on the [DTCC Web Portal](#) under the **Fund/SERV** product menu option. To access these forms, you should contact your firm's Super Access Coordinator (SAC) and have the SAC grant you access to the new '**MFS forms**' role under the **Fund/SERV** product. Once the **MFS forms** role is granted, no further action is required.

If a SAC does not have entitlement to grant access to the **Fund/SERV** product, or if a SAC needs to be established, you may contact your DTCC Relationship Manager to request access.

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).

**Please Note:** SAC set-up to obtain entitlement to the Fund/SERV product will take approximately three to five business days; we recommend requesting access as soon as possible to avoid delays in adding, modifying or deleting Fund/SERV Eligible Fund securities or updating a member profile on our platform.

### **Additional Information – Decommissioning of Existing Forms**

In conjunction with the aforementioned forms being relocated to the DTCC Web Portal, the following forms currently residing in the WMS section of the DTCC website (under the [Fund/SERV Forms](#) menu item) will be decommissioned effective April 14, 2015. These forms are obsolete as requests for the processes covered by these forms are currently being directed and managed through your DTCC Relationship Manager.

- Fund/SERV Member Profile Add
- Fund/SERV Member Profile Delete
- Fund/SERV Underwriting / Tender Offers – Initiation Form
- Fund/SERV Underwriting / Tender Offers – Notice of Cancellation

Questions and comments regarding this Important Notice may be directed to Wealth Management Services at 212-855-8877.

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DTCC Wealth Management Services