

A#:	8070
P&S#:	7645
DATE:	AUGUST 20, 2015
TO:	ALL PARTICIPANTS
FROM:	PRODUCT MANAGEMENT
SUBJECT:	ACATS ENHANCEMENTS 2015

Several new enhancements will be offered to NSCC's Automated Customer Account Transfer Service (ACATS) users. The goal of these enhancements is to expand current functionality that will improve the user experience and help firms manage their transfer business more efficiently. This document will provide a high level description of the enhancements; however a new User Guide will be available closer to the production date which will provide additional details on each feature. The following items will be addressed as part of this initiative:

1. Web Portal & Dynamic Menu Enhancements
2. New and Improved ACATS Statistics Reporting
3. Enhanced transfer inquiry capabilities
4. Access to ACATS print image reports and data files via the ACATS portal
5. Automated response to ACATS testing in the PSE (test) region

The enhancements will be available in PSE (Test) beginning September 23, 2015 and in Production beginning on November 20, 2015.

Firms are not required to make any programming changes for the enhancements being implemented. However, additional access may be required to the DTCC Portal applications.

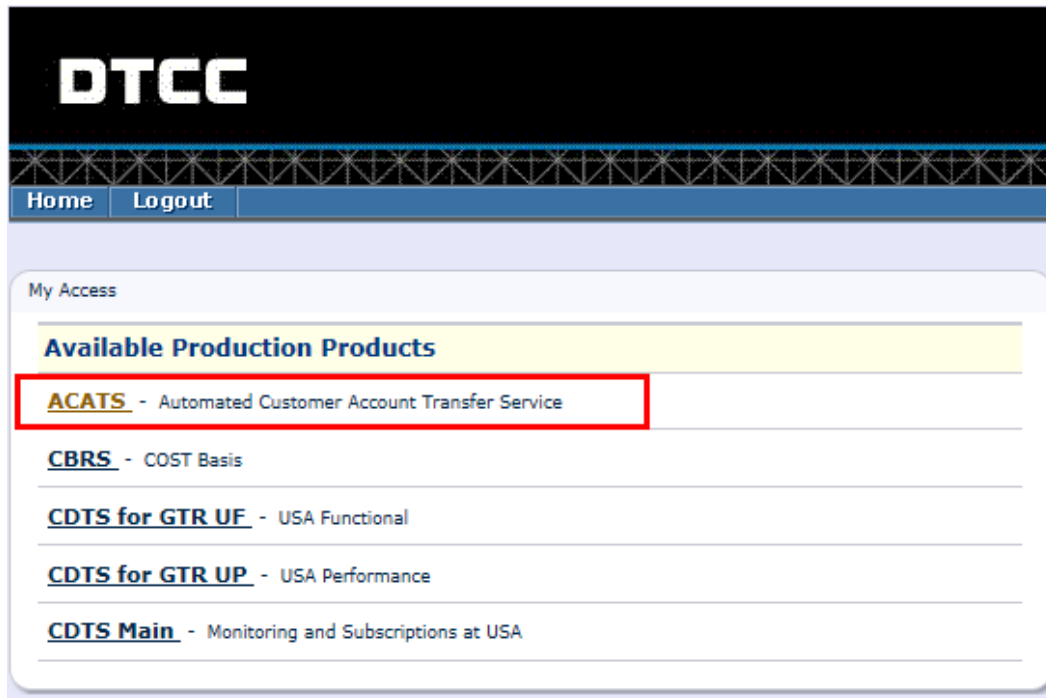
1. Web Portal & Dynamic Menu Enhancements

The Account Transaction History and ACATS Transaction Input have been combined into one link on the Portal creating one landing page for all ACATS web functionality.

Current Portal Menu



New Portal Menu



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

The new menu combines all ACATS functionality on to one landing page.

DTCC Automated Customer Account Transfer Service **DEV Test Site**

Home ACATS Transaction Inputs ACATS Inquiry ACATS Output ACATS Statistical Reports Help Logout

Tue Jul 28 13:41:41 EDT 2015

ACATS Home Page

ACATS Transaction Inputs	ACATS Inquiry
Fail Reversal	Transaction History
Full Transfer	Transfer Position
Mutual Fund Cleanup	Transfer Settlement
Partial Transfer Deliverer	Participant Master Inquiry
Partial Transfer Receiver	Asset Master Inquiry
Position Transfer Fund	
Residual Credit	
Reclaim	
Adjust Transfer	
Reject Transfer	
Accelerate a Transfer	
Add an Asset	
Adjust an Asset	
Delete an Asset	
Fund Registration	
Insurance Registration	
Data Review / Send	
Summary	
Send	
Sent Batches	

ACATS Output
Reports
Data Files
Statistical Reports - NEW

ACATS Statistical Reports
Create Reports - NEW

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

2. New and Improved ACATS Statistics Reporting

A new “Create Reports” function (see figure 1) on the DTCC Web portal will be available to reproduce the current PIER (Participant Information and Efficiency Reports) PDF reports in a download to Excel report that is writable. This new process will:

- provide added flexibility by allowing users to enter report selection criteria using a start and end date field.
- aggregate data by the date range selected (see figures 1, 2, 3 & 4).
- allow users to submit interactive/on demand report requests.
 - A maximum of 31 days (or one full month) can be retrieved real-time.
 - Greater than 31 days can be created at a scheduled time for users to retrieve using ACATS Output area of the portal (see figures 5 & 6).

The functionality will include data for all ACATS and ACATS-Fund/SERV participants—banks, brokers, and mutual fund companies. Note: Data related to a transfer that uses a Mutual Fund Agent will be attributed to the original broker, not the Agent (as currently used in the PIER reports).

Traditional PIER Reports will continue to be available as well via the separate PIER application on the DTCC Portal.

Reporting Enhancements:

In addition to reproducing the statistics in the current PIER reports, the following additions/modifications will be made available:

- Dollar value of settled transactions will be added to the ACATS standard (full) transfers report.

DTCC Automated Customer Account Transfer Service ACATS				
Report Date :	08/19/2015	Start Date : July 1 2015	End Date : July 31 2015	
National Securities Clearing Corporation				
Participant Information and Efficiency Report				
Participant Number:	XXXX	Participant Name	TEST PARTICIPANT	
ACATS (Broker to Broker Transfers)				
	Your Receiver/Deliver ratio :	67%		
Receive Processing	Your Firm	\$Value	% of Total	Industry Average
TIFS Processed:	13982			
Accounts Received:	12279	5397041134.42	87.82%	90.08%
Accounts Rejected By Deliverer:	1541	.00	11.02%	8.38%
Incoming Accounts Rejected By Your Firm:	160	.00	1.14%	1.52%
Accounts Purged:	2	.00	0.01%	0.02%
Deliver Processing	Your Firm	\$Value	% of Total	Industry Average
TIFS Processed:	20894			

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

- Participant Numbers will be added to reports which have the name of firms.
- New report sub-sections for reject statistics that show rejects by counterparty for Broker to Broker Transfers and ACATS (Free Delivery):
 - Report Sub-Section name will be: “Top Five Rejects per Counterparty”.
 - This will be produced for Standard transfers only.
- New report sub-sections that show how long each participant’s transfers take: e.g., X transfers settle in three days, Y transfers settle in four days, Z transfers settle in five days; The time period to measure starts from the process date of the TI to ACATS settlement date for that TI. Weekends and Holidays will be excluded.
 - Two new report sub sections will be produced for ACATS (Broker to Broker Transfers) and ACATS (Free Delivery) report sections:
 - Both report Sub-Section names will be: “Settled Transfers Statistics”.
 - These statistics will be calculated for broker-to-broker standard transfers and broker-to/from-bank standard transfers.
- New statistics for PTF only transfers will be created as standalone report. Three additional Report Sub-Sections for PTF transfers only under ACATS Mutual Funds Section will be created as:
 - Receive/Deliver Processing (PTF)
 - Top Five Funds Rejecting (PTF)
 - Top Five Reject Reasons (PTF)

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

Creation and Retrieval of ACATS Statistical Reports with a date range less than 31 days

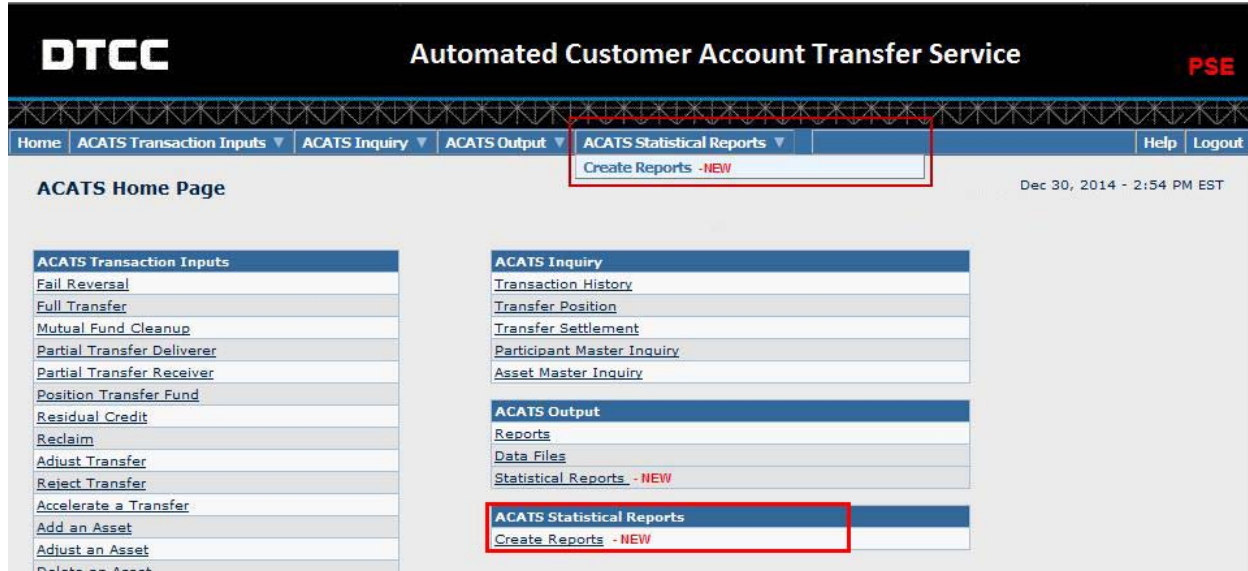


Figure 1

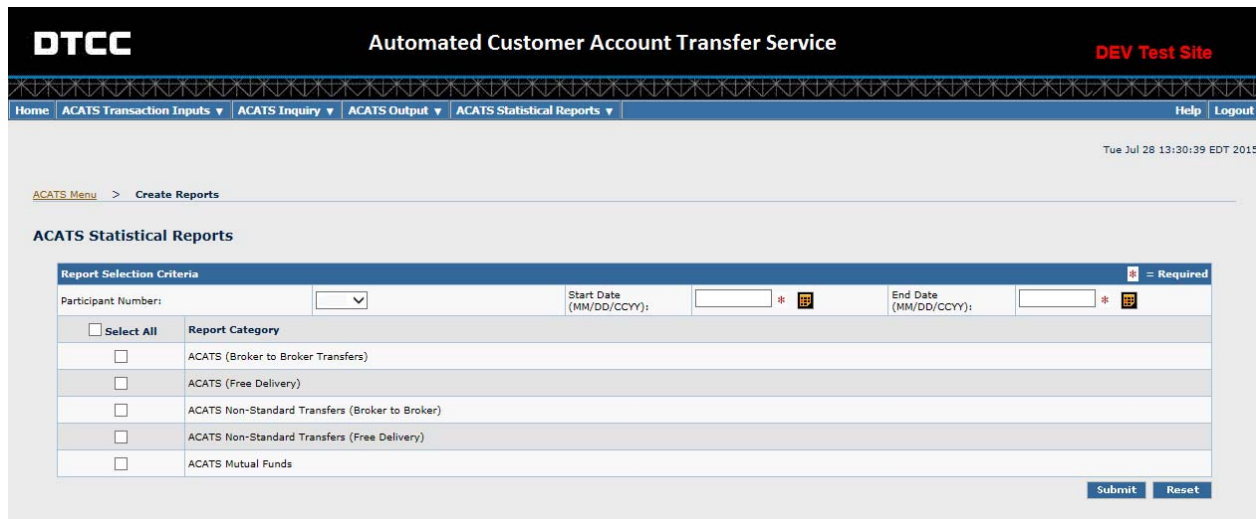


Figure 2

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

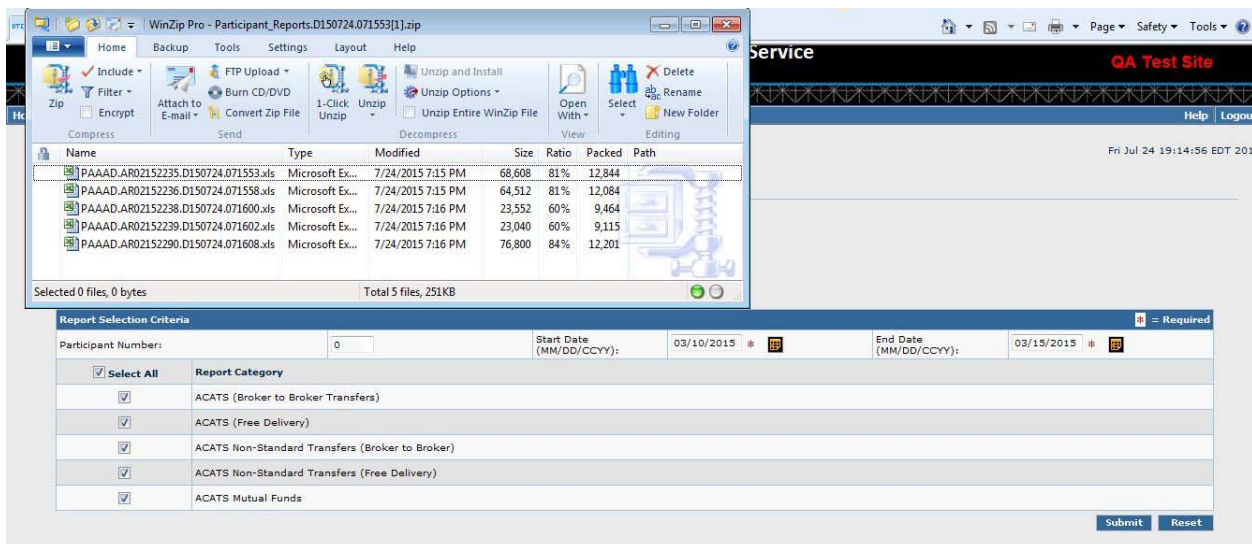


Figure 3

DTCC Automated Customer Account Transfer Service ACATS					
Report Date :	07/24/2015	Start Date : March 10 2015	End Date : March 15 2015		
National Securities Clearing Corporation					
Participant Information and Efficiency Report					
Participant Number:	1234	Participant Name	The name		
ACATS (Broker to Broker Transfers)					
Your Receiver/Deliver ratio :	69%				
Receive Processing	Your Firm	\$Value	% of Total	Industry Average	
TIFS Processed:	2500				

Figure 4

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

Creation and Retrieval of Statistical Reports with a date range greater than 31 Days

DTCC Automated Customer Account Transfer Service QA Test Site

Home | ACATS Transaction Inputs | ACATS Inquiry | ACATS Output | ACATS Statistical Reports | Help | Logout

Reports
Data Files
Statistical Reports - NEW

ACATS Menu > Create Reports

The report(s) has been submitted. Please go to ACATS Output --> Statistical Reports to retrieve.

ACATS Statistical Reports

Report Selection Criteria * = Required

Participant Numbers: 1234 Start Date (MM/DD/CCYY): 03/01/2015 * End Date (MM/DD/CCYY): 04/15/2015 *

Select All	Report Category
<input checked="" type="checkbox"/>	ACATS (Broker to Broker Transfers)
<input type="checkbox"/>	ACATS (Free Delivery)
<input type="checkbox"/>	ACATS Non-Standard Transfers (Broker to Broker)
<input type="checkbox"/>	ACATS Non-Standard Transfers (Free Delivery)
<input type="checkbox"/>	ACATS Mutual Funds

Submit Reset

Figure 5

Home | ACATS Transaction Inputs | ACATS Inquiry | ACATS Output | ACATS Statistical Reports | Help | Logout

ACATS Menu > Statistical Reports

ACATS Output Statistical Reports

Files for

Participant Id / Originator Code: 1234

Files for participant 1234 found

File Name	Cycle	Date
ACATS BROKER TO BROKER REPORT	C01	07-01-15
ACATS BROKER TO BROKER REPORT	C01	07-07-15
ACATS BROKER TO BROKER REPORT	C01	07-09-15
ACATS BROKER TO BROKER REPORT	C01	07-17-15
ACATS BROKER TO BROKER REPORT	C01	07-19-15
ACATS BROKER TO BROKER REPORT	C01	07-21-15
ACATS FREE DELIVERY REPORT	C01	07-09-15
ACATS FREE DELIVERY REPORT	C01	07-21-15
ACATS NON-STAND BROKER TO BROKER REPORT	C01	07-09-15
ACATS NON-STAND FREE DELIVERY REPORT	C01	07-09-15
ACATS MUTUAL FUNDS REPORT	C01	07-09-15

Figure 6

- In order to create and retrieve ACATS Statistical Reports, the user must contact the Super Access Coordinator (SAC) at their firm. The SAC will register the user for the new Statistical Reports role within the Customer Registration System. For more information, contact your Relationship Manager.

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.

3. Enhanced Transfer Inquiry Capabilities

ACATS offers firms the ability to search existing ACATS transactions via the DTCC Portal's Transaction History screens. The following enhancements have been made to this functionality:

- CUSIP and Option identifier search criteria fields have been added to further filter Transaction History results.

DTCC Automated Customer Account Transfer Service **DEV Test Site**

Home | ACATS Transaction Inputs | ACATS Inquiry | ACATS Output | ACATS Statistical Reports | Help | Logout

* The 'OPTION' search criteria can be entered at 3 levels: Option Symbol (up to 6 characters) and/or Expiration Date (CCYYMMDD) and/or Price (99999999)

ACATS Menu > Transaction History

Transaction History

Advanced Search

Deliverer Number:	<input type="text"/>	Receiver Number:	<input type="text"/>	Security:	OPTION AA 05232015 X
Deliverer Account Number:	<input type="text"/>	Receiver Account Number:	<input type="text"/>	Transfer Type:	<input type="text"/>
Process Date (MM/DD/CCYY):	<input type="text"/>	Cycle Number:	<input type="text"/>	System Action:	<input type="text"/>

Quick Search

ACATS Control Number:

Search Reset

- Expanded search criteria fields on ACATS Position Inquiry and Settlement Inquiry screens to narrow down searches. Previously, only ACATS Control Number, Deliverer Account Number, Receiver Account Number were available search criteria.
- The ACATS Control Number field on the Transaction, Position and Settlement Inquiry screens was modified to allow a dash to be accepted. This feature provides a more user friendly option when copying and pasting the ACATS control number from the printable version of the output reports.
- Improved display capabilities by allowing 100 result rows per screen and up to 5000 results for the Transaction, Position and Settlement Inquiry screens.

DTCC Automated Customer Account Transfer Service **DEV Test Site**

Home | ACATS Transaction Inputs | ACATS Inquiry | ACATS Output | ACATS Statistical Reports | Help | Logout

ACATS Menu > Transfer Position

Transfer Position

Search Criteria

Deliverer Number:	<input type="text"/>	Receiver Number:	<input type="text"/>	Security:	OPTION AA 05232015 X
Deliverer Account Number:	<input type="text"/>	Receiver Account Number:	<input type="text"/>	Transfer Type:	<input type="text"/>
Settlement Date (MM/DD/CCYY):	<input type="text"/>	Settling Location:	<input type="text"/>	Settling Reason:	<input type="text"/>

Quick Search

ACATS Control Number:

Search Reset

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

DTCC
Automated Customer Account Transfer Service
DEV Test Site

Home
ACATS Transaction Inputs
ACATS Inquiry
ACATS Output
ACATS Statistical Reports
Help
Logout

Wed Jul 29 12:06:36 EDT 2015

ACATS Menu
>
Transfer Settlement

Transfer Settlement

Search Criteria
= Required

Deliverer Number:

Receiver Number:

Security:

Deliverer Account Number:

Receiver Account Number:

Transfer Type:

Settlement Date (MM/DD/CCYY):

Settling Location:

Settling Reason:

Quick Search

ACATS Control Number:

Search
Reset

- Improved navigation between inquiry screens using the same ACATS Control Number. You can now click from Transaction, Position, and Settlement Inquiry screens within the same ACATS control number.

DTCC
Automated Customer Account Transfer Service
DEV Test Site

Home
ACATS Transaction Inputs
ACATS Inquiry
ACATS Output
ACATS Statistical Reports
Help
Logout

Tue Jul 28 13:51:32 EDT 2015

Transaction List

Go To:
Transfer Position
Transfer Settlement

ACATS Control Number: 0003
Receiver Account Number: N003
Deliverer Account Number: N003

Transfer Type: FUL
Receiver: 0
Deliverer: 0

Current Transfer Status: 100
Days in Status: 1
Settlement Date:

Transaction Information

Process Date (MM/DD/CCYY): 07/24/2015
Cycle: 1
System Action: ACC

Page: 1
Records Displayed: 1

Action	Submitter	Process Date	Cycle #	Transaction Type	Transaction Action	Asset Sequence	Asset ID	System Acc/Rej	Rej Reason
Select Action	01	07/24/2015	1	TI	A	000000		ACC	

Page: 1
Records Displayed: 1

< Back

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

4. Access to ACATS Print Image Reports & Datafiles via ACATS portal

- A new ACATS Output function will provide access to all ACATS print image reports and data files without having to leave the ACATS application. Previously, firms would need to log in to the Utilities function for access to this information. Note: Utilities will still be available if needed.
- A new CSV version of the existing ACATS Participant Masterfile report will be available via the ACATS Output Datafiles option. Currently, this data is only provided in an MRO (Machine Read Only) format.
- In order to access ACATS print image reports and data files under the ACATS menu, the user must contact the Super Access Coordinator (SAC) at their firm. The SAC will register the user for the new Reports and Data files roles within the Customer Registration System. For more information, you may also contact your Relationship Manager.

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

5. ACATS Testing functionality changes

New functionality in the ACATS PSE (Test) region will enable firms to test certain ACATS transactions without requiring a testing partner. ACATS will create automatic responses to a Transfer Initiation record (TI) entered by a firm acting as a receiver. This new functionality will be available for Full Transfers (FUL) and Partial Transfer Receiver (PTR) transfer types only.

To support this new functionality, **a new test broker (4774)** will be created for exclusive use in the PSE environment for this capability.

The following rules will be implemented for the automated response functionality:

- For a Full Transfer, ACATS will automatically respond to a TIF with specific pre-defined assets, such as CNS eligible CUSIPs, cash, memo, etc. The response will contain assets with both short and long positions and for all available settling locations and reasons.
- For PTR (Partial Transfer Receiver) Transfers, ACATS will automatically responds with the same assets that were requested by the receiver.

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.

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