



<b>A#:</b>	<b>8070</b>
<b>P&amp;S#:</b>	<b>7645</b>
<b>DATE:</b>	<b>AUGUST 20, 2015</b>
<b>TO:</b>	<b>ALL PARTICIPANTS</b>
<b>FROM:</b>	<b>PRODUCT MANAGEMENT</b>
<b>SUBJECT:</b>	<b>ACATS ENHANCEMENTS 2015</b>

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.**

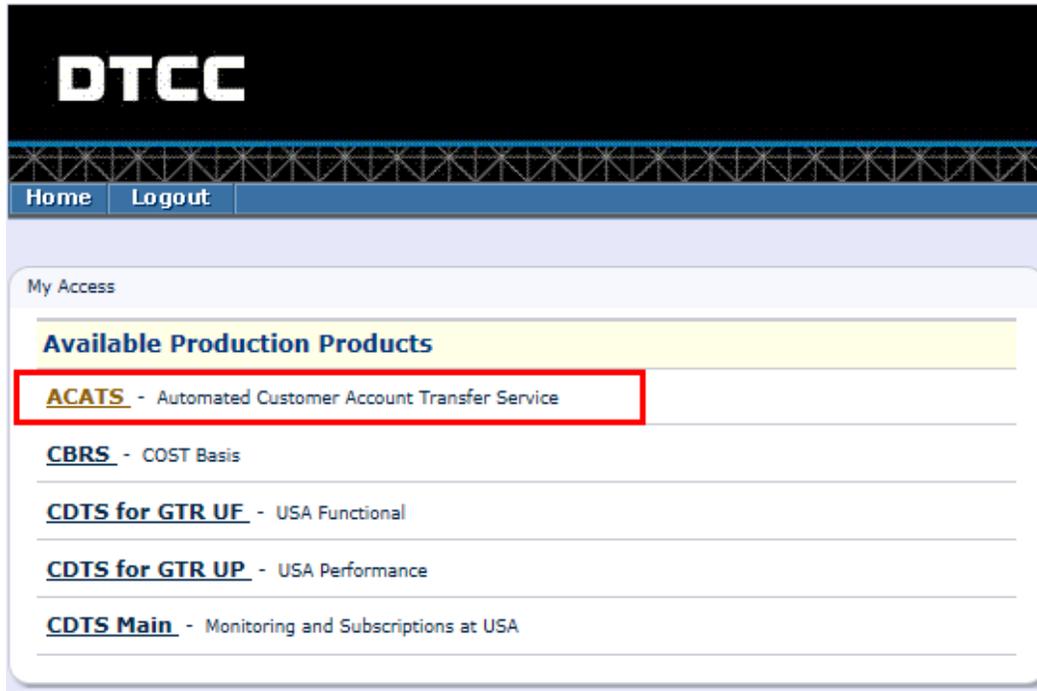
## 1. Web Portal & Dynamic Menu Enhancements

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



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

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

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### ACATS Home Page

ACATS Transaction Inputs	ACATS Inquiry	
<a href="#">Fail Reversal</a>	<a href="#">Transaction History</a>	
<a href="#">Full Transfer</a>	<a href="#">Transfer Position</a>	
<a href="#">Mutual Fund Cleanup</a>	<a href="#">Transfer Settlement</a>	
<a href="#">Partial Transfer Deliverer</a>	<a href="#">Participant Master Inquiry</a>	
<a href="#">Partial Transfer Receiver</a>	<a href="#">Asset Master Inquiry</a>	
<a href="#">Position Transfer Fund</a>	<th>ACATS Output</th>	ACATS Output
<a href="#">Residual Credit</a>	<a href="#">Reports</a>	
<a href="#">Reclaim</a>	<a href="#">Data Files</a>	
<a href="#">Adjust Transfer</a>	<a href="#">Statistical Reports - NEW</a>	
<a href="#">Reject Transfer</a>	<th>ACATS Statistical Reports</th>	ACATS Statistical Reports
<a href="#">Accelerate a Transfer</a>	<a href="#">Create Reports - NEW</a>	
<a href="#">Add an Asset</a>		
<a href="#">Adjust an Asset</a>		
<a href="#">Delete an Asset</a>		
<a href="#">Fund Registration</a>		
<a href="#">Insurance Registration</a>		
<th>Data Review / Send</th> <td></td>	Data Review / Send	
<a href="#">Summary</a>		
<a href="#">Send</a>		
<a href="#">Sent Batches</a>		

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## 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	5397941134.42	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				

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- 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)

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

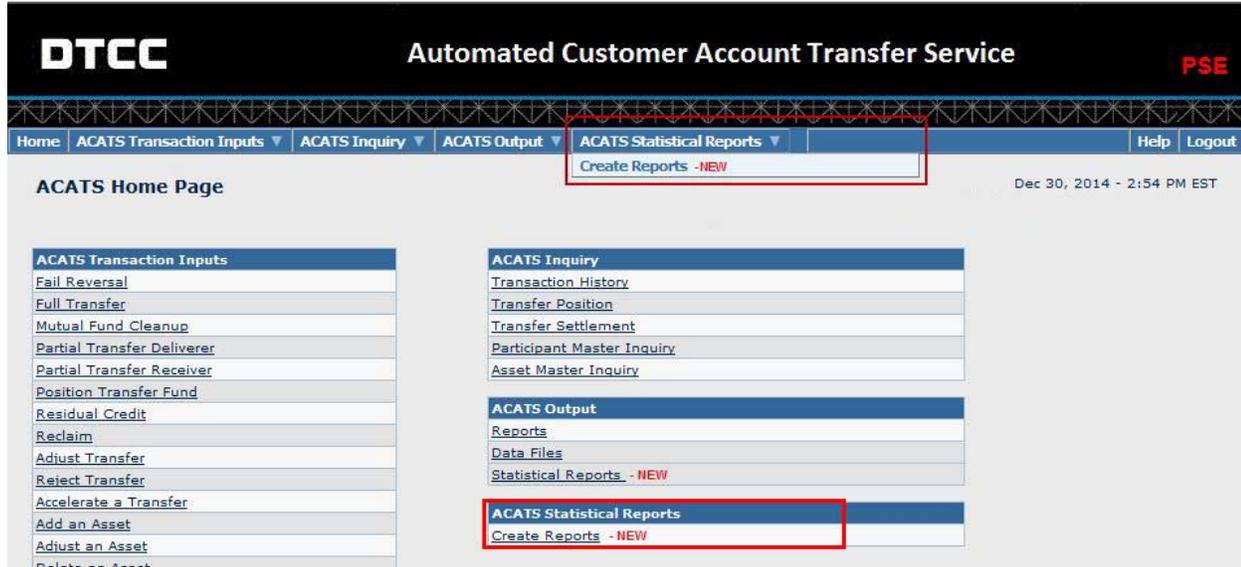


Figure 1

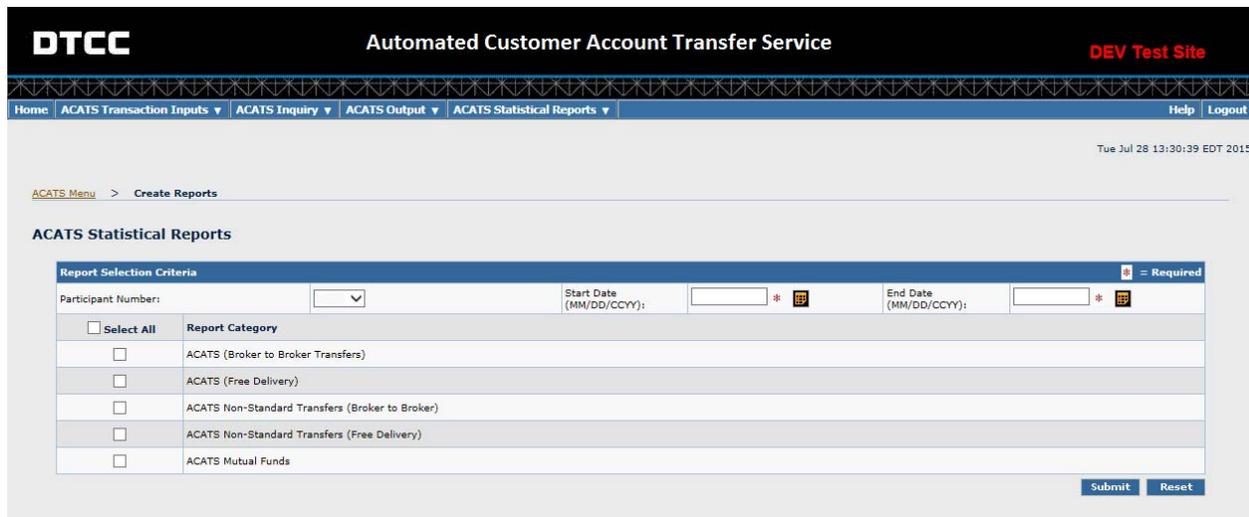


Figure 2

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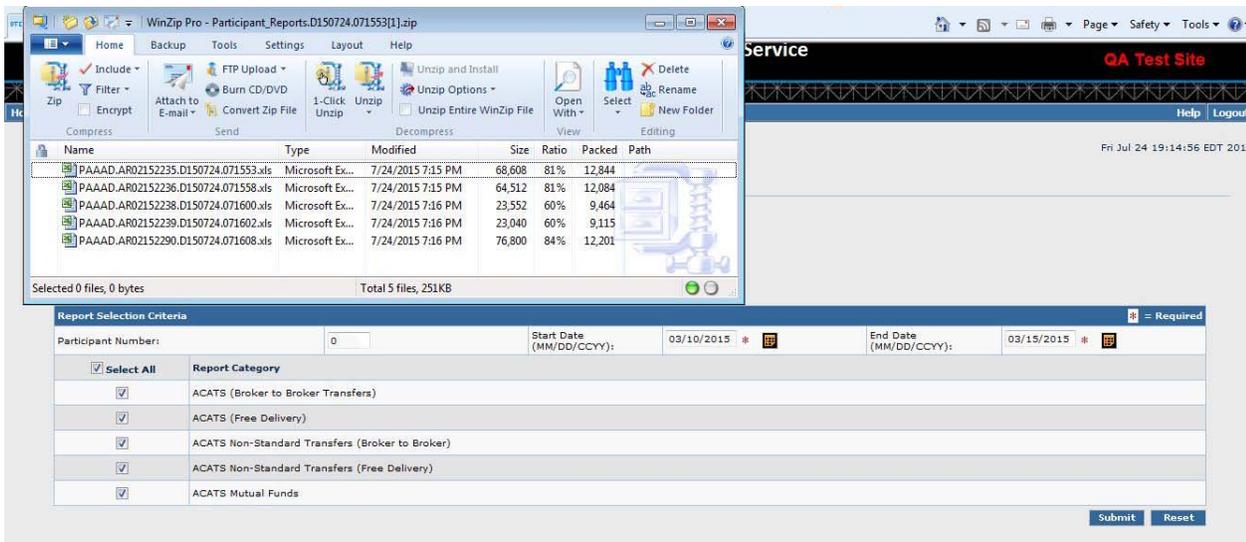


Figure 3

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				
<a href="#">01-Receive &amp; Deliver Processing</a> <a href="#">02-Top Ten Firms</a> <a href="#">03-Top Five Reject Reasons</a> <a href="#">04-Top Five Rejects per CP</a> <a href="#">05-Set</a>					

Figure 4

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

Figure 5

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.

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### 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.

- 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.

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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.

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### Transaction List

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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
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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

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#### **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.

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## 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.

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