



<b>A#:</b>	8923
<b>P&amp;S:</b>	8496
<b>Date:</b>	November 2, 2020
<b>To:</b>	ALL MEMBERS AND LIMITED MEMBERS
<b>From:</b>	WEALTH MANAGEMENT SERVICES – MUTUAL FUNDS
<b>Attention:</b>	MANAGER MUTUAL FUNDS OPERATIONS, MANAGER DATA PROCESSING, MANAGER CASHIERS, MANAGER P&S DEPARTMENT
<b>Subject:</b>	Modified Mutual Funds Processing Schedule for Saturday December 12, 2020

Pursuant to **Important Notice [z0216](#)**, DTCC continuously evaluates its technology landscape to ensure we provide the most secure and reliable solutions to meet client needs. DTCC will implement an infrastructure upgrade that will enhance resiliency posture.

This infrastructure upgrade requires an extended maintenance window, accordingly, the cutoff time to submit mutual fund files in production will be shortened to **1:00 PM ET** on **Saturday, December 12, 2020**. PSE will be unavailable beginning at 11AM ET.

**Please be advised that during this weekend, DTCC production system will be unavailable between the hours of 1:00 PM (ET) Saturday and 8:00AM (ET) Sunday.**

As a result of this upgrade, Wealth Management Services (WMS) will follow a modified processing schedule during the weekend of December 12, 2020. For details on the revised processing schedule for your Mutual Fund Services application(s), please refer to the attached Appendix.

Regular processing and access will resume immediately following the upgrade.

Thank you in advance for your patience and cooperation during this upgrade. If you have any questions, please contact your DTCC Relationship Manager or Wealth Management Services at **212-855-8877**.

Therese Leahy  
Product Manager

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DTCC Wealth Management Services

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).

## Appendix A

### Key Points – December 12, 2020 Production Processing Schedule for Mutual Fund Services

- Production for the following products will run on a modified Saturday schedule.
  - Networking Account Conversion Fund
  - Networking Account Conversion Broker
  - Networking SDR – Fund and Firm
  - Networking Retirement Plan Reporting (RPR)
  - Omni/SERV 529 Aggregated
  - Omni/SERV Position
- The last cutoff time to submit production files to DTCC is Saturday at 1:00 PM EST with the exception of
  - Networking Fund Conversion (11:00 AM ET). This earlier cutoff is due to Fund Conversion processing must complete before Broker Conversion process commences.
- All production files received by **1:00pm ET** on Saturday will be monitored to ensure output is processed and distributed before the infrastructure upgrade commences
- Any transactions submitted during the upgrade will NOT be processed
- Mainframe connectivity to DTCC will be disabled during this upgrade - clients attempting to connect to DTCC during the upgrade will receive a connection error message
- DTCC Web Portal users should not access Production beginning at 1PM ET or PSE beginning at 11AM ET.
- Normal processing will commence after the upgrade completes at 8:00am EST on Sunday – files submitted after the install completes must have Monday's date in the DataTrak header or they will be rejected.

## December 12, 2020 Saturday Transmission Schedule - Mutual Fund Services Networking and Omni/SERV

(December 12, 2020 schedule is depicted in **Red font** - normal Saturday processing schedules have also been provided as reference)

<b>Production Environment</b>								
<b>Description</b>	<b>Input to NSCC</b>				<b>NSCC Output</b>			
	<b>DataTrak SYSID</b>	<b>Input By</b>	<b>Input Time</b>		<b>AutoRoute Numbers</b>	<b>Receives Output</b>	<b>Output Time</b>	
			<b>Normal Saturday</b>	<b>12/12/2020 Saturday</b>			<b>Normal Saturday</b>	<b>12/12/2020 Saturday</b>
MFN Activity File	26597	F	04:00 AM - 12:00 noon	04:00 AM - 12:00 noon	02102029	B/F	1:00 PM	1:00 PM
MFN Daily Activity Settlement	N/A	N/A	N/A	N/A	02102429	B/F	1:00 PM	1:00 PM
MFN Fund Positions	26326	F	04:00 AM - 01:00 PM	04:00 AM - 1:00 noon	02102156	B/F	2:00 PM	2:00 PM
MFN Dividend File	26596	F	03:00 AM - 12:00 noon	03:00 AM - 12:00 noon	02102026	B/F	1:00 PM	1:00 PM
MFN Dividend Settling Trade Sum Report	N/A	N/A	N/A	N/A	02100188	B/F	1:00 PM	1:00 PM
MFN Dividend Settling Trade Sum File	N/A	N/A	N/A	N/A	02102193	B/F	1:00 PM	1:00 PM
MFN Dividend / Cap Gain Settlement Reversal Record	26195	F	03:00 AM - 12:00 noon	03:00 AM - 12:00 noon	02102026	B/F	1:00 PM	1:00 PM
MFN Monthly Bill Account Base	26186	B/F	N/A	N/A	N/A	N/A	N/A	N/A
MFN Account Maintenance	26048	F	4:00 AM - 12:00 noon	4:00 AM - 12:00 noon	02102172	B/F	1:00 PM	1:00 PM
MFN Fund Conversions	26598	F	8:00 AM - 12:00 noon	<b>8:00 AM - 11:00 AM*</b>	02102084	B/F	1:00 PM	<b>12:00 noon*</b>
MFN Broker Conversions	26599	B	12:30 PM - 2:00 PM	<b>10:00 AM - 1:00 PM*</b>	02102070	F/B	3:00 PM	<b>2:00 PM*</b>
MFN Share Aging (from firms)	26687	B	6:00 AM - 12:00 noon	6:00 AM - 12:00 noon	02100212	F/B	1:00 PM	1:00 PM
MFN Share Aging (from funds)	26688	F	6:00 AM - 12:00 noon	6:00 AM - 12:00 noon	02100212	B/F	1:00 PM	1:00 PM
MFN SDR Fund Data Request	26398	F	6:00 AM - 2:00 PM	<b>6:00 AM - 1:00 PM*</b>	02100298	B/F	3:00 PM	<b>2:00 PM*</b>
MFN SDR Firm Data Response	26327	B	6:00 AM - 2:00 PM	<b>6:00 AM - 1:00 PM*</b>	02100327	F/B	3:00 PM	<b>2:00 PM*</b>
MFN OMNI/SERV Activity	26943	B	01:00 AM - 12:00 noon	01:00 AM - 12:00 noon	02100943	F/B	1:00 PM	1:00 PM
MFN OMNI/SERV Position	26944	B	01:00 AM - 05:00 PM	<b>1:00 AM - 1:00 PM*</b>	02100944	F/B	6:00 PM	<b>2:00 PM*</b>
MFN OMNI/SERV - 529 Aggregation	26945	B/F	01:00 AM - 08:00 AM	1:00 AM - 8:00 AM	02101945	G/B/F	8:30 AM	8:30 AM
MFN OMNI/SERV 529 Aggregated	26946	G	06:00 AM - 02:00 PM	<b>06:00 AM - 1:00 PM*</b>	02101946	B/F/G	02:30 PM	<b>1:30 PM*</b>
MFN Retirement Plan Reporting	26590	B	04:00 AM - 04:00 PM	<b>04:00 AM - 1:00 PM*</b>	02101322	B	05:00 PM	<b>2:00 PM*</b>
MFN Security Master File Weekly (Friday)	N/A	N/A	N/A	N/A	02112198	F/B	N/A	N/A

## December 12, 2020 Saturday Transmission Schedule - Mutual Fund Services Networking and Omni/SERV Multi-Batch Input / Multi-Cycle Output Details

(December 12, 2020 schedule is depicted in **Red font** - normal Saturday processing schedules have also been provided as reference)

Networking Omni/SERV Position Cycles				Production Environment			
<b>Input Received from Firms (B)</b> DataTrak SYSID: 26944 - Omni/SERV Position				<b>Output Sent to Funds (F), Firms (B)</b> AutoRoute File: 02100944 - Omni/SERV Position			
Input to NSCC				NSCC Output			
Normal Saturday		December 12, 2020		Normal Saturday		December 12, 2020	
From	Until	From	Until	Time	Cycle Counter	Time	Cycle Counter
12:00 AM	01:00 AM	12:00 AM	01:00 AM	02:00 AM	1	02:00 AM	1
01:00 AM	02:00 AM	01:00 AM	02:00 AM	03:00 AM	2	03:00 AM	2
02:00 AM	03:00 AM	02:00 AM	03:00 AM	04:00 AM	3	04:00 AM	3
03:00 AM	04:00 AM	03:00 AM	04:00 AM	05:00 AM	4	05:00 AM	4
04:00 AM	05:00 AM	04:00 AM	05:00 AM	06:00 AM	5	06:00 AM	5
05:00 AM	06:00 AM	05:00 AM	06:00 AM	07:00 AM	6	07:00 AM	6
06:00 AM	07:00 AM	06:00 AM	07:00 AM	08:00 AM	7	08:00 AM	7
07:00 AM	08:00 AM	07:00 AM	08:00 AM	09:00 AM	8	09:00 AM	8
08:00 AM	09:00 AM	08:00 AM	09:00 AM	10:00 AM	9	10:00 AM	9
09:00 AM	12:00 PM	09:00 AM	<b>10:00 AM*</b>	01:00 PM	10	<b>11:00 AM*</b>	10
12:00 PM	02:00 PM	<b>10:00 AM*</b>	<b>11:00 AM*</b>	03:00 PM	11	<b>12:00 PM*</b>	11
02:00 PM	03:00 PM	<b>11:00 AM*</b>	<b>12:00 PM*</b>	04:00 PM	12	<b>01:00 PM*</b>	12
03:00 PM	04:00 PM	<b>12:00 PM*</b>	<b>12:30 PM*</b>	05:00 PM	13	<b>01:30 PM*</b>	13
04:00 PM	05:00 PM	<b>12:30 PM*</b>	<b>01:00 PM*</b>	06:00 PM	14	<b>02:00 PM*</b>	14

**Networking Omni/SERV Activity Cycles**

**Production Environment**

**Input Received from Firms (B)**

DataTrak SYSID: 26943 - Omni/SERV Activity

**Output Sent to Funds (F), Firms (B)**

AutoRoute File: 02100943 - Omni/SERV Activity

Input to NSCC				NSCC Output			
Normal Saturday		December 12, 2020		Normal Saturday		December 12, 2020	
From	Until	From	Until	Time	Cycle Counter	Time	Cycle Counter
12:00 AM	01:00 AM	12:00 AM	01:00 AM	02:00 AM	1	02:00 AM	1
01:00 AM	02:00 AM	01:00 AM	02:00 AM	03:00 AM	2	03:00 AM	2
02:00 AM	03:00 AM	02:00 AM	03:00 AM	04:00 AM	3	04:00 AM	3
03:00 AM	04:00 AM	03:00 AM	04:00 AM	05:00 AM	4	05:00 AM	4
04:00 AM	05:00 AM	04:00 AM	05:00 AM	06:00 AM	5	06:00 AM	5
05:00 AM	06:00 AM	05:00 AM	06:00 AM	07:00 AM	6	07:00 AM	6
06:00 AM	07:00 AM	06:00 AM	07:00 AM	08:00 AM	7	08:00 AM	7
07:00 AM	08:00 AM	07:00 AM	08:00 AM	09:00 AM	8	09:00 AM	8
08:00 AM	09:00 AM	08:00 AM	09:00 AM	10:00 AM	9	10:00 AM	9
09:00 AM	12:00 noon	09:00 AM	12:00 noon	01:00 PM	10	01:00 PM	10

Networking Omni/SERV 529 Aggregation Files						Production Environment	
Input Received from Firms/Funds (B/F) DataTrak SYSID: 26945				Output Sent to Fund Aggregator (G), Firm/Fund (B/F) AutoRoute File: 02101945			
Input to NSCC				NSCC Output			
Normal Saturday		December 12, 2020		Normal Saturday		December 12, 2020	
From	Until	From	Until	Time	Cycle Counter	Time	Cycle Counter
01:00 AM	04:00 AM	01:00 AM	04:00 AM	04:30 AM	1	04:30 AM	1
04:00 AM	06:00 AM	04:00 AM	06:00 AM	06:30 AM	2	06:30 AM	2
06:00 AM	08:00 AM	06:00 AM	08:00 AM	08:30 AM	3	08:30 AM	3
Input Received from Fund Aggregator (G) DataTrak SYSID: 26946				Output Sent to Firms/Funds (B/F), Fund Aggregator (G) AutoRoute File: 02101946			
06:00 AM	10:00 AM	06:00 AM	10:00 AM	10:30 AM	1	10:30 AM	1
10:00 AM	12:00 PM	10:00 AM	12:00 noon	12:30 PM	2	12:30 PM	2
12:00 PM	02:00 PM	12:00 PM	01:00 PM*	02:30 PM	3	1:30 PM*	3

Networking Standard Data Reporting (SDR) Cycles						Production Environment	
Input Received from Firms (B) - DataTrak SYSID: 26327 Input Received from Funds (F) - DataTrak SYSID: 26398				Output Sent to F/B - AutoRoute File: 02100327 Output Sent to B/F - AutoRoute File: 02100298			
Input to NSCC				NSCC Output			
Normal Saturday		December 12, 2020		Normal Saturday		December 12, 2020	
From	Until	From	Until	Time	Cycle Counter	Time	Cycle Counter
06:00 AM	09:00 AM	06:00 AM	09:00 AM	10:00 AM	1	10:00 AM	1
09:00 AM	12:00 PM	09:00 AM	12:00 PM	01:00 PM	2	01:00 PM	2
12:00 PM	02:00 PM	12:00 PM	01:00 PM*	03:00 PM	3	02:00 PM*	3

Networking Retirement Plan Reporting Files						Production Environment	
<b>Input Received from Firms (B):</b> DataTrak SYSID: 26590					<b>Output Sent to Firms (B):</b> AutoRoute File: 02101322		
Input to NSCC				NSCC Output			
Normal Saturday		December 12, 2020		Normal Saturday		December 12, 2020	
From	Until	From	Until	Time	Cycle Counter	Time	Cycle Counter
04:00 AM	12:00 PM	04:00 AM	<b>11:00 AM*</b>	01:00 PM	1	12:00 PM	1
12:00 PM	01:00 PM	<b>11:00 AM *</b>	<b>12:00 PM*</b>	02:00 PM	2	<b>01:00 PM*</b>	2
01:00 PM	04:00 PM	<b>12:00 PM *</b>	<b>01:00 PM*</b>	05:00 PM	3	<b>02:00PM*</b>	3

**December 12, 2020 Saturday Transmission Schedule - DTCC Payment aXis & Global Update**

(December 12, 2020 schedule is depicted in **Red font** - normal Saturday processing schedules have also been provided as reference)

Production Environment								
Datatrak Sysids & Autoroute Product Numbers								
Description	Datatrak Sysid	Input via	Input Time		AutoRoute Numbers	Receives Output	Output Time	
			Normal Saturday	Dec. 12, 2020			Normal Saturday	Dec. 12, 2020
Commission Settlement File	26088	B/F	12:45 PM	12:45 PM	02102202	B/F	01:45 PM	01:45 PM
Commission Settlement Summary MRO (including Invoicing Settlement data)					02102203	B/F	01:45 PM	01:45 PM
Invoicing and Fee Settlement File	26947	B/F	12:45 PM	12:45 PM	02101947	B/F	01:45 PM	01:45 PM
Global Branch Changes	26342	B	12:00 PM	12:00 PM	02100204	B/F	01:00 PM	01:00 PM