



<b>B #:</b>	14379-20
<b>Date:</b>	12/02/2020
<b>To:</b>	All Participants
<b>Category:</b>	Operations /Reorganizations /Dividends /Settlement
<b>From:</b>	Asset Services – Corporate Actions ClaimConnect™ Service
<b>Attention:</b>	Operations Managers/Cashiers/Officers
<b>Subject:</b>	ClaimConnect™ Service Go-Live Announcement

DTC is pleased to announce that it has received regulatory approval from the U.S. Securities and Exchange Commission (SEC) to implement the ClaimConnect service. As such, the service's go-live date will be December 7, 2020.

On December 7, 2020, Participants can begin submitting claims for processing via the ClaimConnect Web application. In addition, a client-facing API for ClaimConnect will be available to allow for direct connectivity and automation. Important information regarding the ClaimConnect API is available via Important Notices [B13274-20](#) and [B13108-20](#). It is highly recommended that Participants review these two notices before submitting a request to gain access to the ClaimConnect API.

Instructions on how to request access to both the ClaimConnect Web application and the API are provided below. Please note that the roles associated with the ClaimConnect Web application and the API are different. Please refer to the Important Notices above for more information.

There is no fee to onboard to the Web application or API; however, there are two fees to use the service. The first is a matching fee of \$1.75 per Participant that will be applied whenever a claim matches to another or the claim is affirmed. The matching fee is expected to go into effect on January 1, 2021, pending SEC review. Claims matched prior to January 1, 2021 will not be billed to your account. The second fee is a \$.10 per made side Security Payment Order (SPO) fee that is applied to your account when a claim settles. This fee will be effective beginning December 7, 2020.

### **How to Access the ClaimConnect Web Application**

To access the ClaimConnect Web application, all users must be provisioned by their Super Access Coordinator (SAC) or Access Coordinator (AC) with the appropriate roles. SACs and ACs must send their request to [DTCCCAClaims@dtcc.com](mailto:DTCCCAClaims@dtcc.com) or to their DTCC Relationship Manager to have the roles added to their production profile.

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).

Once properly profiled, SACs can provision others at their firm. Below is a listing of all the associated roles and its descriptions.

**ClaimConnect™ Web Application Roles and Role Description:**

Role Name	Role Description
Web ClaimConnect™ External Update Access	Administrator role that allows a user to perform the functions listed below: <ul style="list-style-type: none"> <li>• Navigate to the home page</li> <li>• Perform inquiries via the Claim Search Engine</li> <li>• View Claim inquiry results</li> <li>• View the Report Center</li> <li>• Update the Client Profile (contact information)</li> </ul>
Web ClaimConnect External View Only	Allows the user to perform the functions listed below: <ul style="list-style-type: none"> <li>• Navigate to the home page</li> <li>• Perform inquiries via the Claim Search Engine</li> <li>• View inquiry results</li> <li>• View the Report Center</li> <li>• View the Client Profile</li> <li>• View Claims Pending Approval</li> </ul>
Web ClaimConnect External View/Input	Allows user to perform the functions listed below: <ul style="list-style-type: none"> <li>• Navigate to the Home Page</li> <li>• Enter Cash Claim</li> <li>• Claim Search Engine</li> <li>• Claims Inquiry Result</li> <li>• Cash Claim View</li> <li>• Affirm</li> <li>• Modify</li> <li>• DK</li> <li>• UnDK</li> <li>• Cancel</li> <li>• Report Center</li> <li>• Client Profile View</li> <li>• Claims Pending Approval</li> <li>• Claims Pending Approval – Reject</li> <li>• Approval Admin</li> </ul>

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Role Name	Role Description
Web ClaimConnect Approval Role	<p>Allows users to perform the functions listed below:</p> <ul style="list-style-type: none"> <li>○ Navigate to the Home Page</li> <li>○ Claim Search Engine</li> <li>○ Claims Inquiry Results</li> <li>○ Cash Claims View</li> <li>○ Report Center</li> <li>○ Cash Claim View – Add documents</li> <li>○ Client Profile View</li> <li>○ Claims Pending Approval</li> <li>○ Claims Pending Approval – Approve</li> <li>○ Claims Pending Approval – Reject</li> <li>○ Approval Admin</li> </ul>

### **How to Access the ClaimConnect API**

To use the ClaimConnect API, firms must establish access to (1) the ***DTCC API Marketplace*** and (2) the ***ClaimConnect API***. Access to both should be directed to the DTCC Cash Claims mailbox by clicking [here](#). Once your request is received, a DTCC representative will contact you and work with your SAC on provisioning the associated API roles.

### **ClaimConnect™ API roles and description:**

Role Name	Role Description
Cash Claim Management API Read Only	<p>Allows API users to read the ClaimConnect™ API functions listed below:</p> <ul style="list-style-type: none"> <li>● Cash Claim Query</li> </ul>
Cash Claim Management API Read/Write	<p>Allows API users to read and write the ClaimConnect™ API functions listed below:</p> <ul style="list-style-type: none"> <li>● Cash Claim Submission</li> <li>● Cash Claim Modification</li> <li>● Cash Claim Query</li> </ul>

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## **For Additional ClaimConnect Support**

To receive additional up-to-date information, users can review the ClaimConnect service page by clicking [here](#). Users can also review the ClaimConnect Service Guide, which will be available on December 7, 2021.

Questions about the ClaimConnect service can be directed to your Relationship Manager or to the CA Cash Claims mailbox at [DTCCCAClaims@dtcc.com](mailto:DTCCCAClaims@dtcc.com). Also, learning material regarding the service's functionality and onboarding is available via the DTCC Learning Center.

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