



Important Notice

National Securities Clearing Corporation

A#:	8868
P&S:	8441
Date:	July 10, 2020
To:	All NSCC Members and Limited Members
Category:	Cybersecurity Confirmation
From:	DTCC Chief Security Office, Technology Risk Management
Attention:	Managing Partner/Officer, Operations Officer, Chief Information Security Officer (CISO), Chief Risk Officer (CRO)
Subject:	NSCC Information for the Confirmation of a Cybersecurity Program / Compliance to Rule File: NSCC SR-NSCC-2019-003

The National Securities Clearing Corporation (“NSCC”) proposed rule change [File Number SR-NSCC-2019-003](#) pursuant to Rule 19b-4 under the Securities Exchange Act of 1934 was approved by the Securities and Exchange Commission (“SEC”) on December 09, 2019. NSCC created a Client Cybersecurity Program to ensure that all its Members have implemented a cybersecurity program designed from a recognized security framework so that such Member’s SMART network and/or other connectivity is adequately protected against cybersecurity risks.

As part of the rule implementation, each NSCC Members’ designated Control Officer (a senior executive that is accountable for overseeing The Company’s cybersecurity program) will receive a DocuSign electronic Confirmation Form on **July 13, 2020** sent by NSCC and will be given **183 days** to adhere to the cybersecurity requirements of NSCC. As proof of compliance, the Control Officer of each NSCC Member must **digitally sign** and submit the Confirmation Form **via DocuSign no later than January 12, 2021**. As defined in the rule, Members identified as being non-compliant may be subject to a fine.

Please take note that NSCC will only accept digitally signed confirmation. Printed confirmations or manually signed confirmation forms will not be accepted.

In addition to the initial Client Cybersecurity Confirmation form, each Member will be required to sign an updated Confirmation form once every two years from the time the form was initially sent.

Questions regarding this Important Notice may be addressed to your Relationship Manager.

For more information about DTCC’s Client Cybersecurity Program and for a complete list of accepted standards and/or frameworks please read the [Client Cybersecurity Program FAQs](#)

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