



Important Notice
The Depository Trust Company

B #:	17640-22
Date:	November 10, 2022
To:	Participants
Category:	Securities Processing Service Update
From:	DTC Asset Services Product Management Team
Attention:	Officers / Operations Managers / Operations Users / Business Continuity Managers
Subject:	User Roles Required for Testing and Production Readiness for Automated Inventory Management (AIM) Inquiry and Access to Business Resumption Inquiry for the new Securities Processing Application (SPA) System - Updated

Please disregard the previous notice on this subject as the web addresses cited therein were incorrect. The addresses have been updated below.

The Depository Trust Company (DTC) is modernizing its Securities Processing system. The multi-year, multi-phase program will begin, subject to regulatory approval, with the Automated Inventory Management (AIM) Inquiry function via the new Securities Processing Application (SPA) system. The AIM Inquiry function will provide Participants in the DTC Custody service ("Custody Participants") with a modernized user interface and operational workflow to perform inquiries into their non-Cede Custody portfolio.

Currently Custody Participants access certificate and position level details of their non-Cede Custody holdings via the PTS/PBS CUST function, which is targeted to be retired in March 2023, subject to regulatory approval. In order for Custody Participants to access the new AIM Inquiry function, they will be required to access the new Securities Processing Application (SPA) system through the MYDTCC web portal via portal.dtcc.com.*

All Custody Participants must be provisioned to use the new SPA system on the DTCC Portal by November 30, 2022, in preparation for the testing period and in anticipation of the retirement of the CUST (Option 7) function targeted for March 2023, subject to regulatory approval.

Users' access and entitlements to SPA will require provisioning through the Custody Participants' respective Super Access Coordinators (SACs). All Custody Participants must email a request to DTCIntegration@dtcc.com in order to add SPA access to an existing SAC or to add a new SAC with SPA access. Once received, an Integration liaison will facilitate the request and advise the Custody Participants of the required documentation and forms. Please note that SACs should request access to both DTC's PSE (Test) and Production regions.

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Custody Participants must be provisioned with the following SPA entitlements (see chart for descriptions):

- SPA Participant Physical Inventory Inquiry
- SPA Business Resumption Participant Inquiry

New SPA Role	SPA Description	SPA Navigation	PTS Role	PBS Role
SPA Participant Physical Inventory Inquiry	This role is for All External users to access the SPA portal for performing Physical Inventory Inquiry for Custody holdings (Certificate, Transactions and Positions).	MyDTCC.com>Inventory>Physical Inventroy>Certificates>Positions>Transactions	CUST (Option 7)	Custody Services (Option 7)
SPA Business Resumption Participant Inquiry	Allows access to a backed up copy of the Detailed Transaction File of Transfer Agent Processing (DTFTAP) on the new system in the event of a system outage impacting the mainframe.	MyDTCC.com>Reconciliation>Business Resumption>Daily Transactions Activity	N/A	N/A

*Participants may also access the new SPA system through MYDTCC web portal via portal.dtcc.net, upon request.

Please direct any questions to your Relationship Manager.