



Important Notice

National Securities Clearing Corporation

A#:	9241
P&S:	8814
Date:	December 7, 2022
To:	All Participants
From:	Asset Services Product Management
Attention:	Managing Partner/Officer, Operations Management
Subject:	Revision to Important Notice B#17404-22 – Client Requests for Position Confirmations

On September 26, 2022, DTCC issued Important Notice B#17404-22 in which DTCC communicated that as of September 29, 2022, DTCC clients would be required to initiate requests for the various statements and reports listed in that Important Notice to be sent to third parties, including independent auditing firms. The change to require clients to initiate such requests was intended to facilitate enhancements to the service by introducing a more streamlined workflow that would increase processing efficiency and transparency, while reducing risk.

Recently, however, DTCC became aware of certain workflow requirements that are limited by this new process. Therefore, effective immediately, clients should no longer follow the new process communicated in Important Notice B#17404-22. Instead, clients should revert to the original email-based process for requesting such statements and reports that was in place prior to September 29, 2022.

Specifically, clients and authorized third parties should send requests for Position Statements to the appropriate group email box: PAR@DTCC.com for DTC and NSCC requests or FICCconfirmation@DTCC.com for FICC requests.

DTCC client authorizations also will revert to the original, pre-September 29, 2022 method, including authorization via a Medallion Stamp or client signature confirmed via a Certificate of Incumbency on file with DTCC.

This original process should be followed until such time that DTCC is able to make the necessary modifications to the new workflow process to address the limitations. Once such modifications are complete, DTCC will issue a subsequent Important Notice communicating the updated process.

Questions regarding this notice may be directed to your Relationship Manager.

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.