



B #:	B17404-22
Date:	September 26, 2022
To:	All Participants
Category:	Participant Services
From:	Asset Services Product Management
Attention:	Managing Partner/Officer, Operations Management
Subject:	Client Requests for Position Confirmations

Periodically, it is necessary for Clients of The Depository Trust & Clearing Corporation and its affiliates (collectively “DTCC”) to confirm holdings for regulatory compliance or other reasons. As part of the process, clients may direct to have these positional reports sent directly to auditors.

This Important Notice pertains to requests for the following position statements listed below. Requests for other reports, not detailed below, are not changing at this time.

For DTC:

- DTC Position Statement
- DTC Pledgor Position Statement
- DTC Pledgee Position Statement
- DTC Preferred Stock Balance
- DTC Participant Fund Balance (Month End Only)

For NSCC:

- NSCC Clearing Fund Balance (Month End Only)
- CNS Accounting Summary

For FICC:

- GSD CFM Daily Deposit Summary Report
- GSD FAIL Report
- GSD FUNDS Settlement Statement
- DVP Repo & Rev Repo Query
- GCF FUNDS Settlement Statement
- MBSD CFM Daily Deposit Summary Report
- GCF Repo & Rev Repo Query
- MBSD Full Open Commitment Report

Beginning 09/29/2022 (September 29, 2022), DTCC will implement an enhancement to this service by introducing a more streamlined, digitized workflow. Attached to this notice are details for how clients will request, direct, and receive these positional reports.

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.

Client Requests for Positional Reports and Instructions for Requesting Positional Reports Be Sent to a 3rd Party (if required)

1. Client initiates the request by sending an email to either PAR@dtcc.com or FICCconfirmations@dtcc.com requesting a specific form; DTC, NSCC, or FICC.
 - Note: A client can request multiple forms on behalf of multiple client numbers but DTCC will break them into separate work items. One client number per one form.
2. DTCC will respond by initiating the new workflow by sending the requested DTC, NSCC, or FICC DocuSign form(s) to the client.
 - Note: This email will come from @docusign.net and include a link to review & complete the standard form.
3. Client completes all mandatory fields, digitally signs, and presses “Finish” on the DocuSign form.
 - Mandatory fields include: Client information, specifics of the requested reports, recipient information, and signature/attestation.
4. DTCC receives the completed DocuSign form and filters to ensure completeness.
 - If incomplete, DTCC will return the DocuSign form to the sender for amendments.
5. Once the DocuSign form received from the client is accepted as complete, DTCC will retrieve the requested reports and send them to the recipient email specified on the DocuSign form via encrypted zip files.
 - Note: These emails can be up to 20 MB in size and contain multiple attachments.

Additional notes:

- Both designated report recipient and client (submitter) will be updated via systemic emails on the status of the request through the task lifecycle.
- DTCC staff will no longer be able to accommodate requests for ad hoc reports outside of the workflow detailed above.