



<b>A#:</b>	<b>9299</b>
<b>P&amp;S:</b>	<b>8872</b>
<b>Date:</b>	<b>May 19, 2023</b>
<b>To:</b>	<b>ALL MEMBERS AND LIMITED MEMBERS</b>
<b>From:</b>	<b>WEALTH MANAGEMENT SERVICES – MUTUAL FUNDS</b>
<b>Attention:</b>	<b>MANAGER MUTUAL FUNDS OPERATIONS, MANAGER DATA PROCESSING, MANAGER CASHIERS, MANAGER P&amp;S DEPARTMENT</b>
<b>Subject:</b>	<b>Mutual Fund Profile Service II – Profile Security: Not In Document (NID) Review and Acknowledgement</b>

In March, 2020, NSCC introduced a process requiring Funds to review and acknowledge Not In Document (“NID”) datapoints in Mutual Fund Profile Service II – Profile Security ([Important Notice a8825](#)). This periodic acknowledgment process was introduced to assist Funds in the review process and to ensure the NID data points remain current and provides firms with added confidence in their accuracy. Phase One, review and acknowledgement of non-extractable data points, commenced on April 15, 2022 ([Important Notice a9121](#)).

**Effective June 30, 2023**, NSCC will set the status of Social Code eligibility NID data points (Phase Two) to “Review Required”, except for those social code NID data points that were acknowledged on or after June 30, 2022. NID data points acknowledged on or after June 30, 2022, will be set to “Review Required” on the **applicable** review date, which is defaulted to a maximum of 365 days but can be adjusted to a lower threshold by the Fund. For example, if a NID datapoint with an annual review period was acknowledged on July 1, 2022, the status will be set to “Review Required” on July 1, 2023.

While Fund clients will be able to acknowledge all their NID data points, the status of those data points **requiring review and acknowledgment** will occur in the following phased approach:

- Phase One: Non-extractable data points, excluding social codes – data points that are never disclosed in a document (for example, Blue Sky data) - Commenced April 15, 2022
- Phase Two: Social Code eligibility data points - Commencing June 30, 2023
- Phase Three: Extractable Data points – data points that are normally extractable but are silent in the most recent document filing – Commencing Q1 2024

A notification will be distributed prior to Phase Three going into effect.

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).

Funds will be able to review and acknowledge the applicable security issue ids by generating the “Only Social Codes” NID report

**Not In Document Report**

It is the fund's responsibility to regularly review and acknowledge Not In Document data points to ensure they are accurate. Data point updates may take several minutes before they will be reflected in the report.

Select a Company:

Select Data Point:  Extractable  Non-extractable (Excluding Social Codes)  All (excluding Social Codes)  Only Social Codes

The “acknowledgment” column will indicate “Review Required”

Save as: [Excel](#)

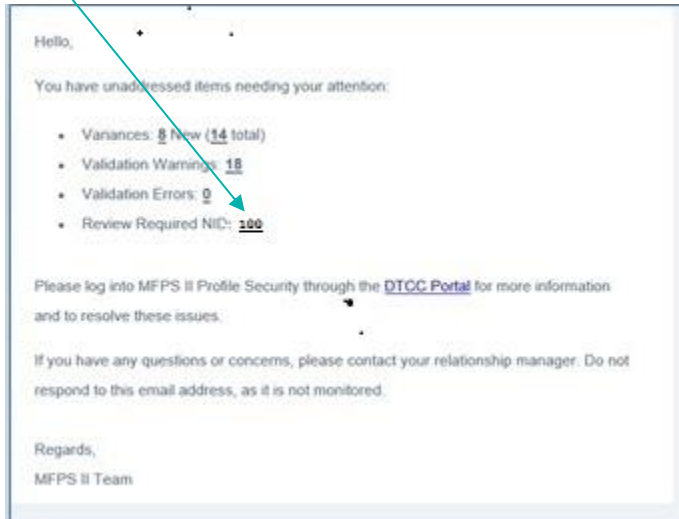
Fund Portfolio	Share Class	Ticker	Security Issue ID	Data Point	Profile Value	Extractable	Acknowledgement	Acknowledged By	Acknowledged Date	NID Effective Date
DEMO FUND 1	CLASS A	ACEAX	002542108	Social Code 1, Eligibility Code	Eligible, No Restrictions	No	Review Required	--	--	2022-06-30
DEMO FUND 1	CLASS A	ACEAX	002542108	Social Code 11, Eligibility Code	Eligible, Restrictions May Apply	No	Review Required	--	--	2022-06-30

To review and acknowledge Social Codes individually, type “Social Code X” in the “Data Point” column. This will return all data points associated with that specific social code / security issue id combination

Save as: [Excel](#)

Fund Portfolio	Share Class	Ticker	Security Issue ID	Data Point	Profile Value	Extractable	Acknowledgement	Acknowledged By	Acknowledged Date	NID Effective Date
				Social Code 1,						
DEMO FUND 1	CLASS A	ACEAX	002542108	Social Code 1, Eligibility Code	Eligible, No Restrictions	No	Review Required	--	--	2022-06-30
DEMO FUND 1	CLASS A	ACEAX	002542108	Social Code 1, Eligibility Date	99991231	No	Review Required	--	--	2022-06-30
DEMO FUND 1	CLASS A	ACEAX	002542108	Social Code 1, Eligible Social Code	01	No	Review Required	--	--	2022-06-30
DEMO FUND 1	CLASS A	ACEAX	002542108	Social Code 1, Max Asset Size for Eligibility	99999999999999.99	No	Review Required	--	--	2022-06-30

Similar to Phase One, the number of security issue id's NID data point attribute combinations requiring review and acknowledgement will be included in the daily summary notification e-mails. For example, if there are 20 security codes and each one has 5 social code data points requiring review (Eligible Social code, Eligibility Code, Eligibility date, Number of Active Participant Minimum and Maximum Size for Eligibility), the number provided in the notification will be 100.



While the NID data points and review process are not factored into the quality index score, Funds will continue to receive the notifications for outstanding reviews with their daily summary emails until such time as the data points have been acknowledged. These items can be reviewed and updated either individually or by a bulk acknowledgement process.

To assist in this review and acknowledgment process, please see the user guides and educational videos available on the [DTCC Learning Center](#).

Questions and comments regarding this Important Notice may be directed to your Relationship Manager or Wealth Management Services at **212-855-8877** or [WMSconnect@dtcc.com](mailto:WMSconnect@dtcc.com).

Sharon Wilner  
Product Manager

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DTCC Wealth Management Services