



A#:	9304
P&S:	8877
Date:	May 30, 2023
To:	ALL MEMBERS AND LIMITED MEMBERS
From:	WEALTH MANAGEMENT SERVICES – MUTUAL FUNDS
Attention:	MANAGER MUTUAL FUNDS OPERATIONS, MANAGER DATA PROCESSING, MANAGER CASHIERS, MANAGER P&S DEPARTMENT
Subject:	NSCC Business Continuity and Disaster Recovery – 2023 Testing Dates and Modified Mutual Funds Processing Schedule

Pursuant to [Important Notice A9291](#) issued by DTCC Global Business Continuity on April 26, 2023, National Securities Clearing Corporation (“NSCC”) will conduct a test of our business continuity and disaster recovery plans in compliance with our obligations under Regulation Systems Compliance and Integrity (Reg SCI) testing requirements.

The testing is scheduled to take place over the course of the following three weekends:

- August 26 - 27
- September 23 - 24
- October 14 – 15

Please be advised that during these testing weekends, DTCC systems will be unavailable between the hours of 5:00AM (ET) Saturday and 8:00AM (ET) Sunday.

As a result of this testing, Wealth Management Services (WMS) will follow a modified processing schedule during the aforementioned weekends. For details on the revised processing schedule for your Mutual Funds service application(s), please refer to the attached Appendix.

Regular processing and access will resume immediately following the exercises.

Thank you in advance for your patience and cooperation during these exercises. If you have any questions, please contact your DTCC Relationship Manager or Wealth Management Services at **212-855-8877**.

Sharon Wilner
Product Manager

DTCC Wealth Management Services

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Appendix A
Key Points - Reg SCI Production Processing Schedule for Mutual Funds

- Production for the following products will run on a modified Saturday schedule (PSE does not run on Saturdays and is not impacted):
 - Networking
 - Omni/SERV Activity & Position, 529 Aggregation
 - Payment aXis
- The cutoff time to submit files to DTCC (mainframe and web) is Saturday at 5:00am EST, with the exception of the following files which have an earlier cutoff time:
 - Networking Fund Conversions (3:30am EST cutoff) – earlier cutoff due to Fund Conversion processing must complete before Broker Conversion process commences
 - 529 Aggregation (3:00am EST cutoff) – earlier cutoff due to 529 Aggregation processing must complete before 529 Aggregated process commences
- All files received by 5:00am EST on Saturday will be monitored to ensure output is processed and distributed before the test commences
- Any transactions submitted during the DR test will NOT be processed
- Mainframe connectivity to DTCC will be disabled during the test - clients attempting to connect to DTCC during the test will receive a connection error message
- DTCC Web Portal users attempting to select a Mutual Fund application during the test will receive an error message
 - Note for Web Portal Users: During the test, the ‘Utilities’ (UTF) facility will be accessible – no Mutual Fund files should be submitted
- Normal processing will commence after the test completes at 8:00am EST on Sunday – files submitted after the test completes must have Monday’s date in the DataTrak header or they will be rejected

Reg SCI Saturday Transmission Schedule - Mutual Fund Networking and Omni/SERV
 (Reg SCI schedule is depicted in **Red font** - normal Saturday processing schedules have also been provided as reference)

Production Environment								
Description	Input to NSCC				NSCC Output			
	DataTrak SYSID	Input By	Input Time		AutoRoute Numbers	Receives Output	Output Time	
			Normal Saturday	Reg SCI Saturday			Normal Saturday	Reg SCI Saturday
MFN Activity File	26597	F	4:00 AM - 12:00 noon	1:00 AM - 5:00 AM	02102029	B/F	1:00 PM	6:00 AM
MFN Daily Activity Settlement	N/A	N/A	N/A	N/A	02102429	B/F	1:00 PM	6:00 AM
MFN Fund Positions	26326	F	4:00 AM – 1:00 PM	1:00 AM - 5:00 AM	02102156	B/F	2:00 PM	6:00 AM
MFN Dividend File	26596	F	3:00 AM - 12:00 noon	1:00 AM - 5:00 AM	02102026	B/F	1:00 PM	6:00 AM
MFN Dividend Settling Trade Sum Report	N/A	N/A	N/A	N/A	02100188	B/F	1:00 PM	6:00 AM
MFN Dividend Settling Trade Sum File	N/A	N/A	N/A	N/A	02102193	B/F	1:00 PM	6:00 AM
MFN Dividend / Cap Gain Settlement Reversal Record	26195	F	3:00 AM - 12:00 noon	1:00 AM - 5:00 AM	02102026	B/F	1:00 PM	6:00 AM
MFN Monthly Bill Account Base	26186	B/F	N/A	N/A	N/A	N/A	N/A	N/A
MFN Fund Conversions	26598	F	8:00 AM – 11:00 AM	1:00 AM - 3:30 AM	02102084	B/F	12:00 PM	4:00 AM
MFN Broker Conversions	26599	B	11:30 PM – 1:00 PM	4:00 AM - 5:00 AM	02102070	F/B	2:00 PM	6:00 AM
MFN Share Aging (from firms)	26687	B	6:00 AM – 12:00 noon	1:00 AM - 5:00 AM	02100212	F/B	1:00 PM	6:00 AM
MFN Share Aging (from funds)	26688	F	6:00 AM – 12:00 noon	1:00 AM - 5:00 AM	02100212	B/F	1:00 PM	6:00 AM
MFN SDR Fund Data Request	26398	F	6:00 AM – 1:00 PM	1:00 AM - 5:00 AM	02100298	B/F	2:00 PM	6:00 AM
MFN SDR Firm Data Response	26327	B	6:00 AM – 1:00 PM	1:00 AM - 5:00 AM	02100327	F/B	2:00 PM	6:00 AM
MFN OMNI/SERV Activity	26943	B	01:00 AM - 12:00 noon	1:00 AM - 5:00 AM	02100943	F/B	1:00 PM	6:00 AM
MFN OMNI/SERV Position	26944	B	01:00 AM – 01:00 PM	1:00 AM - 5:00 AM	02100944	F/B	2:00 PM	6:00 AM
MFN OMNI/SERV - 529 Aggregation	26945	B/F	01:00 AM - 08:00 AM	1:00 AM - 3:00 AM	02101945	G/B/F	08:30 AM	4:00 AM
MFN OMNI/SERV 529 Aggregated	26946	G	06:00 AM - 01:00 PM	3:30 AM - 5:00 AM	02101946	B/F/G	01:30 PM	6:00 AM
MFN Retirement Plan Reporting	26590	B	04:00 AM – 01:00 PM	1:00 AM - 5:00 AM	02101322	B	02:00 PM	6:00 AM
MFN Security Master File Weekly (Friday)	N/A	N/A	N/A	N/A	02112198	F/B	N/A	N/A

Reg SCI Saturday Transmission Schedule - Mutual Fund Networking and Omni/SERV
Multi-Batch Input / Multi-Cycle Output Details

(Reg SCI schedule is depicted in **Red font** - normal Saturday processing schedules have also been provided as reference)

Networking Omni/SERV Position Cycles						Production Environment	
Input Received from Firms (B) DataTrak SYSID: 26944 - Omni/SERV Position				Output Sent to Funds (F), Firms (B) AutoRoute File: 02100944 - Omni/SERV Position			
Input to NSCC				NSCC Output			
Normal Saturday		Reg SCI Saturday		Normal Saturday		Reg SCI Saturday	
From	Until	From	Until	Time	Cycle Counter	Time	Cycle Counter
12:00 AM	01:00 AM	12:00 AM	01:00 AM	02:00 AM	1	02:00 AM	1
01:00 AM	02:00 AM	01:00 AM	02:00 AM	03:00 AM	2	03:00 AM	2
02:00 AM	03:00 AM	02:00 AM	03:00 AM	04:00 AM	3	04:00 AM	3
03:00 AM	04:00 AM	03:00 AM	04:00 AM	05:00 AM	4	05:00 AM	4
04:00 AM	05:00 AM	04:00 AM	05:00 AM	06:00 AM	5	06:00 AM	98
05:00 AM	06:00 AM			07:00 AM	6		
06:00 AM	07:00 AM			08:00 AM	7		
07:00 AM	08:00 AM			09:00 AM	8		
08:00 AM	09:00 AM			10:00 AM	9		
09:00 AM	10:00 AM			11:00 PM	10		
10:00 AM	11:00 AM			12:00 PM	11		
11:00 AM	12:00 PM			01:00 PM	12		
12:00 PM	12:30 PM			1:30 PM	13		
12:30 PM	01:00 PM			02:00 PM	14		

Networking Omni/SERV Activity Cycles

Production Environment

Input Received from Firms (B)
 DataTrak SYSID: 26943 - Omni/SERV Activity

Output Sent to Funds (F), Firms (B)
 AutoRoute File: 02100943 - Omni/SERV Activity

Input to NSCC				NSCC Output			
Normal Saturday		Reg SCI Saturday		Normal Saturday		Reg SCI Saturday	
From	Until	From	Until	Time	Cycle Counter	Time	Cycle Counter
12:00 AM	01:00 AM	12:00 AM	01:00 AM	02:00 AM	1	02:00 AM	1
01:00 AM	02:00 AM	01:00 AM	02:00 AM	03:00 AM	2	03:00 AM	2
02:00 AM	03:00 AM	02:00 AM	03:00 AM	04:00 AM	3	04:00 AM	3
03:00 AM	04:00 AM	03:00 AM	04:00 AM	05:00 AM	4	05:00 AM	4
04:00 AM	05:00 AM	04:00 AM	05:00 AM	06:00 AM	5	06:00 AM	98
05:00 AM	06:00 AM			07:00 AM	6		
06:00 AM	07:00 AM			08:00 AM	7		
07:00 AM	08:00 AM			09:00 AM	8		
08:00 AM	09:00 AM			10:00 AM	9		
09:00 AM	12:00 noon			01:00 PM	10		

Networking Omni/SERV 529 Aggregation Files						Production Environment	
Input Received from Firms/Funds (B/F) DataTrak SYSID: 26945				Output Sent to Fund Aggregator (G), Firm/Fund (B/F) AutoRoute File: 02101945			
Input to NSCC				NSCC Output			
Normal Saturday		Reg SCI Saturday		Normal Saturday		Reg SCI Saturday	
From	Until	From	Until	Time	Cycle Counter	Time	Cycle Counter
01:00 AM	04:00 AM	01:00 AM	02:00 AM	04:30 AM	1	03:00 AM	1
04:00 AM	06:00 AM	02:00 AM	03:00 AM	06:30 AM	2	04:00 AM	98
06:00 AM	08:00 AM			08:30 AM	3		
Input Received from Fund Aggregator (G) DataTrak SYSID: 26946				Output Sent to Firms/Funds (B/F), Fund Aggregator (G) AutoRoute File: 02101946			
06:00 AM	10:00 AM	03:30 AM	04:00 AM	10:30 AM	1	05:00 AM	1
10:00 AM	12:00 PM	04:00 AM	05:00 AM	12:30 PM	2	06:00 AM	98
12:00 PM	01:00 PM			01:30 PM	3		

Networking Standard Data Reporting (SDR) Cycles						Production Environment	
Input Received from Firms (B) - DataTrak SYSID: 26327 Input Received from Funds (F) - DataTrak SYSID: 26398				Output Sent to F/B - AutoRoute File: 02100327 Output Sent to B/F - AutoRoute File: 02100298			
Input to NSCC				NSCC Output			
Normal Saturday		Reg SCI Saturday		Normal Saturday		Reg SCI Saturday	
From	Until	From	Until	Time	Cycle Counter	Time	Cycle Counter
06:00 AM	09:00 AM	01:00 AM	02:00 AM	10:00 AM	1	03:00 AM	1
09:00 AM	12:00 PM	02:00 AM	04:00 AM	01:00 PM	2	05:00 AM	2
12:00 PM	01:00 PM	04:00 AM	05:00 AM	02:00 PM	3	06:00 AM	98

Networking Retirement Plan Reporting Files						Production Environment	
Input Received from Firms (B): DataTrak SYSID: 26590					Output Sent to Firms (B): AutoRoute File: 02101322		
Input to NSCC				NSCC Output			
Normal Saturday		Reg SCI Saturday		Normal Saturday		Reg SCI Saturday	
From	Until	From	Until	Time	Cycle Counter	Time	Cycle Counter
04:00 AM	11:00 AM	01:00 AM	02:00 AM	12:00 PM	1	03:00 AM	1
11:00 AM	12:00 PM	02:00 AM	04:00 AM	01:00 PM	2	05:00 AM	2
12:00 PM	01:00 PM	04:00 AM	05:00 AM	02:00 PM	3	06:00 AM	98

Reg SCI Saturday Transmission Schedule - DTCC Payment aXis

(Reg SCI schedule is depicted in **Red font** - normal Saturday processing schedules have also been provided as reference)

Production Environment								
Datatrak Sysids & Autoroute Product Numbers								
Description	Datatrak Sysid	Input via	Input Time		AutoRoute Numbers	Receives Output	Output Time	
			Normal Saturday	Reg SCI Saturday			Normal Saturday	Reg SCI Saturday
Commission Settlement File	26088	B/F	12:45 PM	5:00 AM	02102202	B/F	01:45 PM	6:00 AM
Commission Settlement Summary MRO (including Invoicing Settlement data)					02102203	B/F	01:45 PM	6:00 AM
Invoicing and Fee Settlement File	26947	B/F	12:45 PM	5:00 AM	02101947	B/F	01:45 PM	6:00 AM