



Important Notice
National Securities Clearing Corporation

A #:	9515
P &S:	9088
Date:	November 15, 2024
To:	ALL MEMBERS AND LIMITED MEMBERS
Category:	MUTUAL FUND SERVICES
From:	WEALTH MANAGEMENT SERVICES – MUTUAL FUNDS
Attention:	MANAGER MUTUAL FUNDS OPERATIONS, MANAGER DATA PROCESSING, MANAGER CASHIERS, MANAGER P&S DEPARTMENT
Subject:	Modified Mutual Funds Saturday Processing Schedule

Effective **January 11, 2025**, National Securities Clearing Corporation (“NSCC”) will implement changes to the Mutual Fund Services Networking Saturday Transmission Schedules in the Production region.

As the cyber landscape continues to evolve, DTCC remains committed to our mission to reduce systemic risk for our clients and the mutual funds industry as a whole. To further reduce risk and enhance operational resiliency, Mutual Fund Services **will modify the Saturday Transmission Schedule to an earlier cut off** for clients’ inbound data submissions. The modified transmission schedule will provide DTCC with the expanded window for comprehensive disaster recovery exercises which will further strengthen DTCC’s ability to protect our clients from the ever-changing cyber threats and further streamline the recovery capabilities. The revised schedule will also allow for more frequent business continuity and disaster recovery exercises and will eliminate the need for scheduling adjustments, thus mitigating the risks associated with manual interventions and exception processing.

The revised Saturday processing schedule will align with the existing Regulation Systems Compliance and Integrity (Reg SCI) Saturday schedule employed by NSCC during our business continuity and disaster recovery testing in compliance with our obligations under Reg SCI testing requirements.

If you have any questions, please contact your DTCC Relationship Manager or Wealth Management Services at WMSconnect@dtcc.com.

Yana Granovskiy
Product Manager

DTCC Wealth Management Services

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.

Appendix A
Key Points for the Modified Saturday Processing Schedule

- **Saturday scheduling changes described in this Important Notice will impact the following services in Production:**
 - Networking
 - Omni/SERV Activity & Position, 529 Aggregation
 - Payment aXis

Note: PSE DOES NOT run on Saturdays and will not be impacted.

- **The cutoff time to submit files to DTCC (mainframe and web) will be Saturday at 5:00am EST, with the exception of the following files which will 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.
- **For the complete modified Saturday schedule please refer to Appendix B.**

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.

Appendix B
Saturday Transmission Schedule - Networking and Omni/SERV
(Updated schedule is depicted in red font)

Production Environment								
Description	Input to NSCC				NSCC Output			
	DataTrak SYSID	Input By	Input Time		AutoRoute Numbers	Receives Output	Output Time	
			Existing Saturday Schedule	Modified Saturday Schedule			Existing Saturday Schedule	Modified Saturday Schedule
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

Saturday Transmission Schedule - Networking and Omni/SERV

(Updated schedule is depicted in red font)

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			
Existing Saturday Schedule		Modified Saturday Schedule		Existing Saturday Schedule		Modified Saturday Schedule	
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	98		

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			
Existing Saturday Schedule		Modified Saturday Schedule		Existing Saturday Schedule		Modified Saturday Schedule	
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	98		

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			
Existing Saturday Schedule		Modified Saturday Schedule		Existing Saturday Schedule		Modified Saturday Schedule	
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	98		
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	98		

Networking Standard Data Reporting (SDR) Cycles					Production Environment		
Input Received from Firms (B) - DataTrak SYSID: 26327				Output Sent to F/B - AutoRoute File: 02100327			
Input Received from Funds (F) - DataTrak SYSID: 26398				Output Sent to B/F - AutoRoute File: 02100298			
Input to NSCC				NSCC Output			
Existing Saturday Schedule		Modified Saturday Schedule		Existing Saturday Schedule		Modified Saturday Schedule	
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	98	06:00 AM	98

Networking Retirement Plan Reporting Files	Production Environment
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Input Received from Firms (B): DataTrak SYSID: 26590	Output Sent to Firms (B): AutoRoute File: 02101322
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Input to NSCC				NSCC Output			
Existing Saturday Schedule		Modified Saturday Schedule		Existing Saturday Schedule		Modified Saturday Schedule	
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	98	06:00 AM	98

Saturday Transmission Schedule - DTCC Payment aXis

(Updated schedule is depicted in red font)

Production Environment								
Datatrak Sysids & Autoroute Product Numbers								
Description	Datatrak Sysid	Input via	Input Time Until		AutoRoute Numbers	Receives Output	Output Time	
			Existing Saturday Schedule	Modified Saturday Schedule			Existing Saturday Schedule	Modified Saturday Schedule
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