



Important Notice
The Depository Trust Company

B #:	B21083-24
Date:	11/26/24
To:	Participants and ClaimConnect Users
Category:	Corporate Actions Processing
From:	DTCC
Attention:	All DTCC Clients and ClaimConnect users
Subject:	ClaimConnect Application Enhancement – Claim Upload – Testing Available

ClaimConnect is a centralized management tool that allows users to manage the lifecycle of a cash claim reducing risks and errors for an otherwise manual process. Claim Connect is accessible via the secure MyDTCC Portal and API interfaces.

DTCC is pleased to announce an upcoming enhancement to ClaimConnect for batch claim processing. The new batch upload feature will allow users to create and approve multiple claims at one time. DTCC identified the need for this enhancement through client outreach and the recent relaunch effort.

This new function is scheduled to be delivered in **December 2024**. The DTCC Learning Center and Help feature on the website will soon be updated to describe the new feature and to assist users with performing uploads. A subsequent Important Notice will be published announcing the production date of the claim upload feature and availability of the learning materials.

The new feature is available for testing as of Monday, November 25, 2024. DTCC encourages clients to test the new feature prior to using it in production. To access the testing region:

- Please access ClaimConnect by using the My DTCC PSE portal: <https://portalu.dtcc.com>.
- Please contact your firm’s Super Access Coordinator to receive PSE ClaimConnect entitlements to perform testing. For questions about this process, please contact DTC Integration Management (dtcintegration@dtcc.com).
- Updates to the online ClaimConnect help will be made that describe the new feature and to assist users with performing uploads.

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.

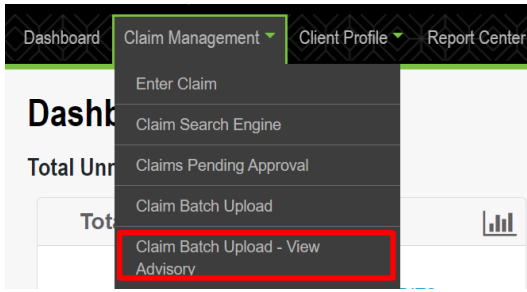
Claim Batch Upload Key Attributes:

The upload function will allow users to bulk submit and affirm claims. Current users can expect:

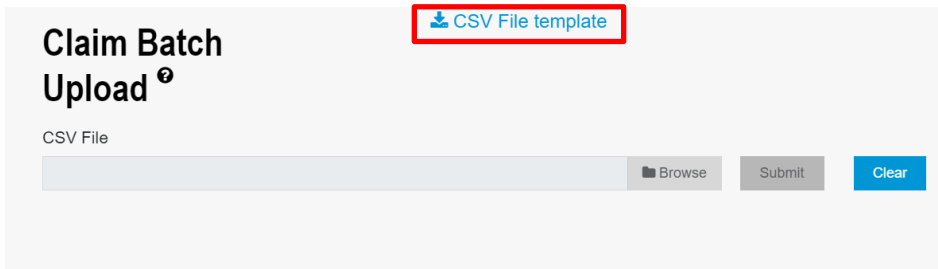
- The Claim Batch Upload feature to be viewable under *Claim Management*.
- Up to 1,000 claims per CSV file submission for both claim creation and affirmation can be processed at one time.
- The upload contains the same fields mandatory and optional on the single claim submission form on the UI.
- Each file will be systemically checked for field value validation before the claims are processed by the ClaimConnect application to ensure they are submitted accurately.
- Claims that do not pass the field value validation will appear as a reject on the application (shown in screenshots below). These rejected claims will need to be corrected and reuploaded. This can be done in one of two ways:
 - “Reject” all files and resubmit the modified file OR
 - ‘Submit’ the approved records and upload a new file for all the rejected events.
- View your submission progress while the claims are loaded into the application.
- Uploaded claims can be processed in near-real-time for matching purposes while claims from the file are still being loaded into the system.
- Modification and cancellation of claims is currently not supported via the upload function. All claims requiring modification / cancellation will need manual intervention.
- Accepted debits will be available for approval if above threshold. Otherwise, they will have matched or be available for affirmation from a Contra party.

Screen Previews for the Claim Upload:

To access the Claim Batch upload, click on the Claim Management Dropdown then select Claim Batch Upload.



Please refer to the hyperlink for the CSV File Template.



File upload rejects will be displayed as shown in the screen below. Please correct these rejects before submitting the file. Any rejects that are not resolved will not be processed on the upload.

Unprocessed Claims [4]

Action	Submitter	XREF	Cusip	Event Type	Transaction Type	Claim Type	Cash Claim Amount	Contra	Settle After Match	Cash Claim Settlement Date	Event Record Date
INSTRUCT	00000881	DEMO11220007	050105CK9	CAPG	C	CPAC	100.01	00005176	N	11	
INSTRUCT	00000881	DEMO11220008	050105CK9	CAPG	C	CPAC	100.01	00005176	N	11	

Upon submitting the file accepted and rejected records will be displayed as shown below.

Accepted [3]									
Claim ID	Action	Submitter	XREF	Cusip	Event Type	Transaction Type	Claim Type	Cash Claim Amount	Co
C202432700000467	INSTRUCT	00008608	DEMO11220006	050105CK9	CAPG	C	CPAC	100.01	000
C202432700000468	INSTRUCT	00008608	DEMO11220004	050105CK9	CAPG	C	CPAC	100.01	000
C202432700000469	INSTRUCT	00008608	DEMO11220005	050105CK9	CAPG	C	CPAC	100.01	000

Rejected [7]									
Reject Reason	Action	Submitter	XREF	Cusip	Event Type	Transaction Type	Claim Type	Cash Claim Amount	Contra
Invalid Cash STLMT Date	INSTRUCT	00008608	DEMO11220003	050105CK9	CAPG	C	CPAC	100.01	00008610
There were some problems with the data you entered.									

Accepted records will be available for bulk approval.