



**Important Notice**  
National Securities Clearing Corporation

<b>A#:</b>	9397
<b>P&amp;S:</b>	8970
<b>Date:</b>	February 23, 2024
<b>To:</b>	ALL MEMBERS AND LIMITED MEMBERS
<b>From:</b>	WEALTH MANAGEMENT SERVICES – MUTUAL FUNDS
<b>Attention:</b>	MANAGER MUTUAL FUNDS OPERATIONS, MANAGER DATA PROCESSING, MANAGER CASHIERS, MANAGER P&S DEPARTMENT
<b>Subject:</b>	Mutual Fund Profile Service II – Profile Security Web and Batch File Enhancements

Effective **Monday, May 20, 2024**, National Securities Clearing Corporation (NSCC) will implement **enhancements to the Mutual Fund Profile Service II – Profile Security database** (Profile Security). The enhancements summarized below will be included in this release. Details illustrating the specific enhancements are included in the attached Appendix. ***The Appendix is for informational purposes and may not represent the final record layouts. NSCC reserves the right to make additional changes prior to implementation.***

***Clients are required to make programming changes to their systems to process and receive the changes indicated below. Clients should consult with their programmers to determine the method used to currently take in or download these output files from the batch to avoid disruption to their file processing.***

**A. Fund/SERV® Security Master File Data points (Web and Batch File)**

With the industry move to T+1 settlement, the need to have timely operational information to support Fund/SERV® order and correction processing is essential. Clients have requested information to identify whether a security allows a Firm Exit in the event a trade needs to be cancelled, in addition to other key data to facilitate order and correction processing. To provide the transparency on key operational data points clients have requested, NSCC will expand the securities within Profile II to include Fund/SERV® Security Issue ID Master File information.

- I. The following Fund/SERV® Security Issue ID data points will be added to the Profile Security Web interface and the Profile Security Fund/SERV Security Master Data Record (027):

- Fund Company Name

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- Security Symbol
- Share Class
- ACATS Eligibility Indicator
- PTF Eligibility Indicator
- Firm Delete Eligibility Indicator (102 Record)
- ToRA Eligibility Indicator
- Correction Indicator (003 Record) – Blocked Transaction Codes
- As Of Order Indicator (004 Record) – Blocked Transaction Codes
- Order Indicator (001 Record) – Blocked Transaction Codes
- As of Exchanges Indicator (015 record 'As of Indicator' field) – Blocked Transaction Codes

II. The following data points will also be added to the Profile Security Web interface - these datapoints already exist in the Profile Security Fund/SERV Security Master Data (027) Record:

- Registration Indicator
- Alternate Settlement Indicator
- Currency Code
- Alternate Settlement Currency Code
- Alternate Settlement Cycle (Days)
- Exchange Settlement Cycle (Days)
- Money Market Cutoff Purchase Time
- Money Market Cutoff Liquidation Time
- As Of Process Range (days)
- Order Settlement Cycle (days)
- As Of Settlement Cycle (days)
- Cash Adjustment Settlement Cycle (days)
- Effective Start Date
- Effective End Date
- Cash Adjustment Eligibility Indicator (011 Record)
- Firm Exit Indicator (139 Record) – Blocked Transaction Codes
- Exchanges Indicator (015 Record) – Blocked Transaction Codes

## **B. 529 Plan Enhancements**

Additional operational data points and functionality will be introduced to further support 529 plans.

### **I. Updated / New Data Point Fields– User Interface and Record Layouts**

1. 529 Products Included – field at the Management Company level to identify if the Security Issue ID is a 529 Security – NID data point
2. 529 State Plan Level - Indicates applicable state for 529 plan – NID data point
3. 529 State Level Maximum Account Balance Limit- Indicates the maximum account value for a beneficiary in 529 plans for a state – NID data point
4. 529 Share Class - Indicates if all or specific share classes have 529 Security Issue IDs – NID data point

5. 529 Share Class Listing - Indicates share classes that have 529 Security Issue IDs – NID Datapoint
6. 529 ROA / LOI Aggregation Inclusion - Indicates if ROA / LOI includes only 529 or both 529 and Mutual Funds – NID data point
7. CDSC 529 Plan Waivers - Indicates if CDSC is waived – NID data points
  - CDSC Plan Specific Waiver
  - CDSC 529 Plan Account - Beneficiary Disability Waiver
  - CDSC 529 Plan Waiver - Beneficiary Death Waiver
  - CDSC 529 Plan Waiver - Beneficiary Scholarship Waiver
8. Updated Social Code Drop-Down Selection - New drop-down for 529 social codes – NID data point
9. Date of Current 529 Program Description - The effective date of the fund's most current 529 Program Description – NID datapoint
10. Recent Supplement Date for 529 Program Description - The effective date of the fund's most current Supplement for a Fund's 529 Program Description – NID datapoint

## II. Batch File Updates

New – **529 Plan Information (Record Type 034)** to support the new 529 Plan data points will be added to Profile Security Autoroute - 02110824 (MFPS II -Global Security) and 02110825 (MFPS II -Global Security Specific) files.

## III. New Data Validation Errors and Warning

New validation errors and warnings will be created within the Profile Security User Interface Data Quality section and displayed in the Fund Details section when the new data point/fields do not meet validation rules.

**NOTE: To provide clients with sufficient time to update their 529 data in Profile II without impacting their quality index score, these validation errors and warnings will not be initially generated. DTCC will issue a separate communication to advise when these validation errors and warnings will commence.**

## C. Bulk Update Functionality

Bulk update functionality will be added to additional data point attributes to allow multiple share classes, fund portfolio and Security Issues IDs to be updated in one instance rather than updating each data point attribute individually.

## DOCUMENTATION

Updated documentation will be available on the DTCC Learning website **on or about March 18, 2024**. An email notification will be sent when the revised documentation has been posted to our website.

<https://dtcclearning.com/products-and-services/mutual-fund-services.html?gated=wms-section>

## TESTING

**Effective Monday, April 29, 2024**, clients can begin testing the enhancements in the Participant Services Environment (PSE) test region.

Clients are requested to test and must contact their Relationship Manager before testing the user interface changes if access to the PSE region has not been previously established.

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

**Appendix**  
**MFPS II – Profile Security Enhancements**  
**(User Interface and Batch Files)**

**A. Fund/SERV® Security Master File Datapoints (Web and Batch)**

**I. Web User Interface Enhancements**

A new tab entitled “**Fund/SERV® Master File Information**” will be added to the Data Inquiry section of the User Interface and will contain the new datapoints for all active Fund/SERV® Security Issue IDs, even if they are not populated within Profile Security. The datapoints contained within the “Fund/SERV® Security Master File Information” tab are **read-only** and provide visibility to operational parameters established for securities on the Fund/SERV Security Master File.

**Data Inquiry Section**

1. A new tab will be added to the Data Inquiry section - “Fund/SERV® Master File Information.”
2. All active Fund/SERV® securities and associated data points will be visible in the tab even if the security is not active in Profile Security:
  - If the Security Issue ID is not active in Profile - only the “Fund/SERV® Master File Information” tab will be visible, and a message will display indicating that the Security Issue ID is not populated within Profile Security.  
*Note:* In these instances, NSCC will only display information contained in the Fund/SERV® Master File – no information will be sourced from EDGAR database filings.
  - If a Security Issue ID is not active for Fund/SERV and does not have Fund/SERV® data, but is active in the Profile Security database, the “Fund/SERV® Master File Information” tab will still be displayed but fields will be set to N/A.
3. The “Fund/SERV® Master File Information” data point attributes can be searched in the ‘Find a Data Point’ drop-down selection.
4. Changes to Fund/SERV® data points will be tracked in the Data Inquiry ‘Changes’ tab.

**Data Inquiry**

Management Company: **ABC FUND MANAGEMENT** Fund Portfolio: **ABC NATIONAL FUNDS** Security Issue: **A - 837299381**

837299381 View in FINRA FundAnalyzer

General	General Information
Transactions	Fund Company Name: <b>ABC FUND MANAGEMENT</b>
Dividends	Security Fund Number (NSCC #): <b>4885</b>
Qualified Plans	Security Issue ID: <b>837299381</b>
Breakpoints/Linking	Security Symbol: <b>ABCFX</b>
STR Fees	Share Class: <b>CLASS A</b>
CDSC Fees	Security Type: <b>Interval Fund</b>
12b-1 Fees	Security Description: <b>ABC NATIONAL FUNDS</b>
Fees/Expenses	Money Market Cutoff Purchase Time: <b>00:00:00</b>
Fee Schedules	Money Market Cutoff Liquidation Time: <b>00:00:00</b>
Blue Sky	Effective Start Date: <b>20230101</b>
Social Codes	Effective End Date: <b>20240101</b>
Money Market	ACATS Eligibility Indicator: <b>Eligible</b>
529 Data	PTF Eligibility Indicator: <b>Eligible</b>
Changes	IRA Eligibility Indicator: <b>Not Eligible</b>
Filing Variances	Cash Adjustment Eligibility Indicator (011 Record): <b>Allowed</b>
Fund/SERV Master File Information	Complete Eligibility (102 Record): <b>Not Allowed</b>
	Settlement Indicator: <b>Settlement Date</b>
	As Of Process Range (days): <b>365</b>

Blocked Transaction Codes	
Order Indicator (001 Record)	<b>Initial Purchase (01)</b>
As Of Order Indicator (004 Record)	<b>Subsequent Purchase (02)</b>
Firm Exit Indicator (139 Record)	<b>Partial Liquidation (03)</b>
Exchanges Indicator (015 Record)	<b>Full Exchange (05)</b>
As of Exchanges Indicator - (015 record 'As of Indicator' field)	<b>Full Exchange (05) Partial Exchange (06)</b>
Correction Indicator (003 Record)	<b>No Blocking</b>

Settlement Information	
Order Settlement Cycle (days)	<b>30</b>
As Of Settlement Cycle (days)	<b>30</b>
Cash Adjustment Settlement Cycle (days)	<b>30</b>
Exchange Settlement Cycle (days)	<b>31</b>
Currency Code	<b>Same day \$ settlement</b>
Alternate Settlement Indicator	<b>Yes</b>
Alternate Settlement Currency Code	<b>Next day \$ settlement</b>
Alternate Settlement Cycle (days)	<b>10</b>

ABC FUND MANAGEMENT    ABC NATIONAL FUNDS    A - 837299381

This Security Issue ID is not currently active in Profile Security. The information displayed only consists of Fund/SERV Master File data.

837299381 View in Fund Details    View in FINRA FundAnalyzer

### Custom Extract Reporting

The Custom Extract report functionality has been updated to include Fund/SERV® Security Master File data points and allows reports to be generated for both Profile Security data points and Fund/SERV® Master File information.

1. Ability to select what data points should be included in the report:
  - **All data points** – Both Profile Security and Fund/SERV® Master file data points will be listed
  - **Profile Security Data Points Only** – Only Profile Security Data points are available.
  - **Fund/SERV® Security Master File data points** – Only Fund/SERV® Master file data points are available
2. Reports can be generated for all Management Companies, even if they are not active within Profile Security

The screenshot shows the 'Create New Extract' form. The 'Report Scope' section is highlighted with a red box and a circled '1', showing three radio button options: 'All data points' (selected), 'Profile Security data points only', and 'Fund/SERV Master File data points only'. Below this, the 'Select Fund Family Name' field is highlighted with a circled '2', showing a dropdown menu with 'Select a Company'.

**Create New Extract**

Name:

Description:

Run on:  Management Company  
 Security Portfolio

Report Scope:  All data points **1**  
 Profile Security data points only  
 Fund/SERV Master File data points only

Select Fund Family Name:  **2**

Select Custom Portfolio:

Data Points Available:

- 12b-1 Avg Daily Assets Calculation Start Day
- 12b-1 Calculation Method Code
- 12b-1 Commission Rule Agreement
- 12b-1 Dividend Share Aging Code
- 12b-1 First payment period End Month
- 12b-1 payment Frequency Code
- 12b-1 Record Date
- 17c-1 Current Date Flow Factor

Data Points Selected:

Date Format:

Export As:  Microsoft Excel  
 CSV

**II. Fund/SERV Security Master Data (027) Record – Fixed and Variable (autoroutes 02110824 and 02110825).**

Profile Security - Fund/SERV Security Master Data Record Type 027 (fixed and variable) will be enhanced to include the new Fund/SERV® Security Master File data points. Record 027 is distributed through Profile Security autoroutes 02110824 (MFPS II – Global Security) and 02110825 (MFPS II – Specific Security).

For illustration purposes, the fixed record layouts are displayed below. Red text indicates the addition of fields and associated values/descriptions; ~~red strikethrough text~~ indicates deletion of fields and associated values/descriptions.

**Important Notes:**

- The initial output file under autoroute 02110824 (MFPS II – Global Security) distributed on May 20, 2024, will be a full data file with the 'Action Type' field populated with a value of 'C' (change). Thereafter, effective May 21, 2024, a daily change file (add/change/delete) will be distributed.
- Clients can request a full Fund/SERV Security Master Data Record (027) data file at any time by submitting a User File Request Record (080) and populating the 'Requested Profile Type' field with a value of 'FS' (Fund/SERV Security Issue)

**02.21.01 Fund/SERV® Security Master Data (027) Record 1 of 6**

(Output from NSCC. Information extracted from Fund/SERV® Security Master file)

Record 1 of 6 Field Name	Start	End	Len	Type	Description
Physical Sequence Number	1	2	2	A/N	
Logical Sequence Number	3	4	2	A/N	01
Filler	5	6	2	A/N	Space
Originator Type Indicator	7	7	1	A/N	N = NSCC
Profile Type	8	9	2	A/N	05 = Security Issue
Record Type	10	12	3	A/N	027 = Fund/SERV® Security Master Information
Action Type	13	13	1	A/N	A = add C = change D = delete
Security Fund Number	14	17	4	A/N	
Filler	18	18	1	A/N	Space



Record 1 of 6 Field Name	Start	End	Len	Type	Description
Recipient Number	19	22	4	A/N	Space = All recipients
Filler	23	28	6	A/N	Space
Submission Date	29	36	8	A/N	ccyymmdd
Filler	37	44	8	A/N	Space
Security Issue Country Code	45	46	2	A/N	
Security Issue ID	47	55	9	A/N	
ISIN Security Issue Check Digit	56	56	1	A/N	
Security Symbol	57	71	15	A/N	
Offering First Trade Date	57	64	8	A/N	ccyymmdd
Offering Last Trade Date	65	72	8	A/N	ccyymmdd
Filler	72	80	9	A/N	Space

## 02.21.02 Fund/SERV® Security Master Data (027) Record 2 of 6

Record 2 of 6 Field Name	Start	End	Len	Type	Description
Physical Sequence Number	1	2	2	A/N	
Logical Sequence Number	3	4	2	A/N	02
Filler	5	6	2	A/N	Space
Security Type	7	8	2	A/N	See Fund/SERV® Security Type Identifiers
Registration Indicator	9	9	1	A/N	0 = Input Date 1 = Settlement Date  Indicates if NSCC will send the registration to the fund with the orders or pend them until settlement has occurred. The determination is based upon the Fund's Fund/SERV® Security Profile
Filler Underwriter/Tender Indicator	10	10	1	A/N	T = Tender U = Underwriting Space = N/A

Record 2 of 6 Field Name	Start	End	Len	Type	Description
Alternate Settlement Indicator	11	11	1	A/N	0 = No 1 = Yes  Indicates if there is an alternate settlement period for Orders (001)
Currency Code	12	14	3	A/N	For US Dollar funds, indicates Next Day \$ Settlement (USN) or Same Day \$ Settlement (USD).  For foreign currency, indicates the three digit foreign currency code
Alternate Settlement Currency Code	15	17	3	A/N	For US Dollar funds, indicates Next Day \$ Settlement (USN) or Same Day \$ Settlement (USD).  For foreign currency, indicates the three digit foreign currency code
Alternate Settlement Cycle (days)	18	20	3	N	Number of business days  Indicates if there is an Alternate Settlement Period for Orders (001)
Exchange Settlement Cycle (days)	21	23	3	N	Number of business days  Indicates the settlement period for Exchanges (015)
Money Market Cutoff Purchase Time	24	27	4	A/N	hhmm  Indicates the purchase processing cut-off time (EST) for Money Market Funds (Security Type 24)
Money Market Cutoff Liquidation Time	28	31	4	A/N	hhmm  Indicates the liquidation processing cut-off time (EST) for Money Market Funds (Security Type 24)
Filler <del>Alternate Transfer Agent Indicator</del>	32	32	1	A/N	Space  0 = No 1 = Yes
As Of Process Range (days)	33	35	3	N	Number of business days  Indicates the number of days allowed for As Of (004) Orders
Order Settlement Cycle (days)	36	38	3	N	Number of business days  Indicates the Settlement Period for Orders (001)
As Of Settlement Cycle (days)	39	41	3	N	Number of business days  Indicates the Settlement Period for As of Orders (004)
Cash Adjustment Settlement Cycle (days)	42	44	3	N	Number of business days  Indicates the Settlement Period for Cash Adjustments (011)

Record 2 of 6 Field Name	Start	End	Len	Type	Description
Filler <del>Alternate Exchange Fund Number</del>	45	48	4	A/N	Space
Effective Start Date	49	56	8	A/N	ccyymmdd Indicates eligibility start date for trading
Effective End Date	57	64	8	A/N	ccyymmdd Indicates end date for trading
Filler <del>Firm Exit Indicator</del>	65	65	1	A/N	Space 0 = Not allowed 1 = Allowed
Cash Adjustment Eligibility Indicator (011 Record)	66	66	1	A/N	0 = Not eligible allowed 1 = Eligible Allowed Indicates if the Security Issue ID allows Cash Adjustments
<del>Exchanges Indicator</del>	<del>67</del>	<del>67</del>	<del>1</del>	<del>A/N</del>	<del>0 = Not allowed 1 = Allowed</del>
Filler	<del>67</del>	80	14	A/N	Space

## 02.21.03 Fund/SERV® Security Master Data (027) Record 3 of 6

Record 3 of 6 Field Name	Start	End	Len	Type	Description
Physical Sequence Number	1	2	2	A/N	
Logical Sequence Number	3	4	2	A/N	03
Filler	5	20	16	A/N	Space
Filler	7	12	6	A/N	Space
<del>Offering Settlement Date</del>	<del>13</del>	<del>20</del>	<del>8</del>	<del>A/N</del>	<del>ccyymmdd</del>
Security Description	21	80	60	A/N	

## 02.21.04 Fund/SERV® Security Master Data (027) Record 4 of 6

Record 4 of 6 Field Name	Start	End	Len	Type	Description
Physical Sequence Number	1	2	2	A/N	
Logical Sequence Number	3	4	2	A/N	04
Filler	5	6	2	A/N	Space
ACATS Eligibility Indicator	7	7	1	A/N	0 = Not Eligible 1 = Eligible  Indicates if the Security Issue ID is ACATS Eligible
PTF Eligibility Indicator	8	8	1	A/N	0 = Not Eligible 1 = Eligible  Indicates if the Security Issue ID is PTF Eligible
Firm Delete Eligibility Indicator (102 Record)	9	9	1	A/N	0 = Not Eligible 1 = Eligible  Indicates if Firm deletes are allowed
ToRA Eligibility Indicator	10	10	1	A/N	0 = Not Eligible 1 = Eligible  Indicates if the Security Issue ID is ToRA Eligible
Correction Indicator (003 Record) – Blocked Transaction Codes	11	30	20	A/N	Indicates if a transaction code is Blocked (Not Allowed)  The field may contain one, or any combination of the following transaction code values:  01 = Initial Purchase 02 = Subsequent Purchase 03 = Partial Liquidation 04 = Full Liquidation  OR  Blank = no blocking  <u>Note:</u> if more than one transaction code is blocked, additional transaction codes will follow each other without any space. Each transaction code is 2 bytes long. For example, if transaction code 01 is blocked, this field will contain the following value: '01'. If transaction codes 01, 02, 03, and 04 are blocked, this field will contain the following value: '01020304'.  The field values are left-justified.
As Of Order Indicator (004 Record) – Blocked Transaction Codes	31	50	20	A/N	Indicates if a transaction code is Blocked (Not Allowed)  The field may contain one, or any combination of the following transaction code values:

Record 4 of 6 Field Name	Start	End	Len	Type	Description
					<p>01 = Initial Purchase  02 = Subsequent Purchase  03 = Partial Liquidation  04 = Full Liquidation  OR  Blank = no blocking</p> <p><u>Note:</u> if more than one transaction code is blocked, additional transaction codes will follow each other without any space. Each transaction code is 2 bytes long. For example, if transaction code 01 is blocked, this field will contain the following value: '01'. If transaction codes 01, 02, 03, and 04 are blocked, this field will contain the following value: '01020304'.</p> <p>The field values are left-justified.</p>
Order Indicator (001 Record) – Blocked Transaction Codes	51	70	20	A/N	<p>Indicates if a transaction code is Blocked (Not Allowed)</p> <p>The field may contain one, or any combination of the following transaction code values:</p> <p>01 = Initial Purchase  02 = Subsequent Purchase  03 = Partial Liquidation  04 = Full Liquidation  OR  Blank = no blocking</p> <p><u>Note:</u> if more than one transaction code is blocked, additional transaction codes will follow each other without any space. Each transaction code is 2 bytes long. For example, if transaction code 01 is blocked, this field will contain the following value: '01'. If transaction codes 01, 02, 03, and 04 are blocked, this field will contain the following value: '01020304'.</p> <p>The field values are left-justified.</p>
Alternate Order Settlement Cycle Firm 1	7	10	4	A/N	
Alternate Order Settlement Cycle Firm 2	11	14	4	A/N	
Alternate Order Settlement Cycle Firm 3	15	18	4	A/N	
Alternate Order Settlement Cycle Firm 4	19	22	4	A/N	
Alternate Order Settlement Cycle Firm 5	23	26	4	A/N	

Record 4 of 6 Field Name	Start	End	Len	Type	Description
Alternate Order Settlement Cycle Firm 6	27	30	4	A/N	
Alternate Order Settlement Cycle Firm 7	31	34	4	A/N	
Alternate Order Settlement Cycle Firm 8	35	38	4	A/N	
Alternate Order Settlement Cycle Firm 9	39	42	4	A/N	
Alternate Order Settlement Cycle Firm 10	43	46	4	A/N	
Alternate Order Settlement Cycle Firm 11	47	50	4	A/N	
Alternate Order Settlement Cycle Firm 12	51	54	4	A/N	
Alternate Order Settlement Cycle Firm 13	55	58	4	A/N	
Alternate Order Settlement Cycle Firm 14	59	62	4	A/N	
Alternate Order Settlement Cycle Firm 15	63	66	4	A/N	
Alternate Order Settlement Cycle Firm 16	67	70	4	A/N	
Alternate Order Settlement Cycle Firm 17	71	74	4	A/N	
Alternate Order Settlement Cycle Firm 18	75	78	4	A/N	
Filler	71	80	10	A/N	Space

## 02.21.05 Fund/SERV® Security Master Data (027) Record 5 of 6

Record 5 of 6 Field Name	Start	End	Len	Type	Description
Physical Sequence Number	1	2	2	A/N	
Logical Sequence Number	3	4	2	A/N	05
Filler	5	6	2	A/N	Space

Record 5 of 6 Field Name	Start	End	Len	Type	Description
Firm Exit Indicator (139 Record) - Blocked Transaction Codes	7	26	20	A/N	<p>Indicates if a transaction code is Blocked (Not Allowed)</p> <p>The field may contain one, or any combination of the following transaction code values:</p> <p>01 = Initial Purchase  02 = Subsequent Purchase  03 = Partial Liquidation  04 = Full Liquidation  05 = Full exchange  06 = Partial exchange</p> <p>OR</p> <p>Blank = no blocking</p> <p><u>Note:</u> if more than one transaction code is blocked, additional transaction codes will follow each other without any space. Each transaction code is 2 bytes long. For example, if transaction code 01 is blocked, this field will contain the following value: '01'. If transaction codes 01, 02, 03, 04, 05, 06 are blocked, this field will contain the following value: '010203040506'.</p> <p>The field values are left-justified.</p>
Exchanges Indicator (015 Record) - Blocked Transaction Codes	27	36	10	A/N	<p>Indicates if a transaction code is Blocked (Not Allowed)</p> <p>The field may contain one, or any combination of the following transaction code values:</p> <p>05 = Full Exchange  06 = Partial Exchange</p> <p>OR</p> <p>Blank = no blocking</p> <p><u>Note:</u> if more than one transaction code is blocked, additional transaction codes will follow each other without any space. Each transaction code is 2 bytes long. For example, if transaction code 05 is blocked, this field will contain the following value: '05'. If transaction codes 05 and 06 are blocked, this field will contain the following value: '0506'.</p> <p>The field values are left-justified.</p>
As of Exchanges Indicator (015 record 'As of Indicator' field) - Blocked Transaction Codes	37	46	10	A/N	<p>Indicates if a transaction code is Blocked (Not Allowed)</p> <p>The field may contain one, or any combination of the following transaction code values:</p> <p>05 = Full Exchange  06 = Partial Exchange</p>

Record 5 of 6 Field Name	Start	End	Len	Type	Description
					<p>OR</p> <p>Blank = no blocking</p> <p><u>Note:</u> if more than one transaction code is blocked, additional transaction codes will follow each other without any space. Each transaction code is 2 bytes long. For example, if transaction code 05 is blocked, this field will contain the following value: '05'. If transaction codes 05 and 06 are blocked, this field will contain the following value: '0506'.</p> <p>The field values are left-justified.</p>
Filler	47	80	34	A/N	Space

## 02.21.06 Fund/SERV® Security Master Data (027) Record 6 of 6

Record 6 of 6 Field Name	Start	End	Len	Type	Description
Physical Sequence Number	1	2	2	A/N	
Logical Sequence Number	3	4	2	A/N	06
Filler	5	6	2	A/N	Space
Fund Company Name	7	56	50	A/N	
Share Class	57	76	20	A/N	
Filler	77	80	4	A/N	Space

### Records 5 Thru 10

~~Alternate Order Settlement Cycle Firm information may continue in logical records 5 through 10 up to total list of 112 firms.~~

~~The record format is the same as logical record 4 in the previous section~~



## B. 529 Plan Enhancements

529 Plan specific operational data point attributes and updated values will be added to Profile Security to provide specific information related to 529 Products. Both the User Interface and Batch file (variable and fixed) will be updated, unless otherwise indicated.

### User Interface Enhancements - New/Updated Data Point Attributes and Values

The User Interface will be updated to include new 529 Plan specific data points and values and 529 data validation warnings and errors.

## I. New/Updated Data Point Attributes and Values

### Management Company Level - General Profile (Web Only)

#### 1. 529 Products Included - New Data Point Attribute

- Indicates if Management Company includes 529 plan securities
- Informational only
- Non-extractable data point (NID)
- Visible for all clients, **initially defaulted to “No”**
  - **Clients will need to update this data point attribute if applicable when adding 529 Products to Profile II.**
- Values:

Data Point Values	Definition
No	Management Company does have any 529 Plan Security Issue IDs
529 Only	Management Company only has 529 Plan Security Issue IDs
Yes, 529 and non-529	Management Company has both 529 and non-529 Security Issue IDs

\* 529 Products Included

No

Yes, 529 and non-529

529 only

No

1

#### 2. 529 State Plan Level- New Data Point Attribute

- Required when “529 Products Included” is “529, Only” or “Yes, 529 and non-529”
- Indicates applicable state 529 Plan level
- Non-extractable data point (NID)
- Values: Drop-down selection of US states

#### 3. 529 State Level Maximum Account Balance Limit - New Data Point Attribute

- Visible when “529 Products Included” is “529, Only” or “Yes, 529 and non-529.”
- Indicates the dollar amount for a 529 Plan when the account value for a beneficiary in 529 plans for a state hits a certain account balance.

- Non-extractable data point (NID)
- Numeric Value (16-Byte - 9999999999999999.99)

\* 529 State Plan Level  2

\* 529 State Level Maximum Account Balance Limit  3

**4. 529 Share Class - New Data Point Attribute (Web only)**

- Required when “529 Products Included” is “529, Only” or “Yes, 529 and non-529”
- Informational only
- Non-extractable data point (NID)
- Values:

Data Point Values	Definition
All Share Classes	“529 Products Included” is “529 Only. Automatically defaults to this value.  Note: Clients will need to update this data point attribute if applicable when adding 529 Products to Profile II.
Specific 529 Share Classes	“529 Products Included” is “529 and non-529” and specific share classes only contain 529 Plan Security Issue IDs
Combination 529 and non-529 Share Classes	“529 Products Included” is “529 and non-529” and share classes contain both 529 and on-529 Security Issue Ids

\* 529 Share Classes  4

\* Fund Family Brand Name

\* DCC & S Eligible

**5. 529 Share Class Listing - New Data Point Attribute (Web Only)**

- Visible when “529 Share Classes” is set to “Specific 529 Share Classes” or “Combination 529 and non-529 Share Classes.”
- Non-extractable data point (NID)
- Informational only.
  - Values: Drop-down selection of share classes

* 529 Share Classes	Specific 529 Share Classes
* 529 Share Classes Listing	<input type="checkbox"/> CLASS A <input type="checkbox"/> CLASS C <span style="border: 1px solid black; border-radius: 50%; padding: 2px;">5</span> ✓
* Fund Family Brand Name	<input type="text"/>
* DCC & S Eligible	<input type="checkbox"/> CLASS A <input type="checkbox"/> CLASS B
* Defined Contribution Clearance and Settlement (DCC & S) Cut-off Cycle	<input type="checkbox"/> CLASS C <input type="checkbox"/> CLASS D

**Share Class Level - General Profile: New Data Point Attributes**

**6. 529 ROA / LOI Aggregation Inclusion - New Data Point Attribute**

- Required when
- “529 Products Included” is “Yes, 529 and non-529” or “529 only”
- Indicates if ROA/LOI aggregation is for Mutual Funds and 529 or only 529 when determining account values for the purpose of calculating the appropriate sales charge breakpoint
- Non-extractable data point (NID)
- Values: Only 529 / Mutual Funds and 529

* ROA/ LOI Aggregation Inclusion	ROA
* 529 ROA/LOI Aggregation Rules	<input type="checkbox"/> Mutual Funds and 529 <input type="checkbox"/> 529 Only
NAV Information	

**Share Class Level - CDSC Waivers: New Data Point Attributes**

- 7. CDSC 529 Plan Waivers – Indicates if CDSC is waived**
1. CDSC 529 Plan - Specific Waiver
  2. CDSC 529 Plan Account - Beneficiary Disability Waiver
  3. CDSC 529 Plan Waiver - Beneficiary Death Waiver

#### 4. CDSC 529 Plan Waiver - Beneficiary Scholarship Waiver

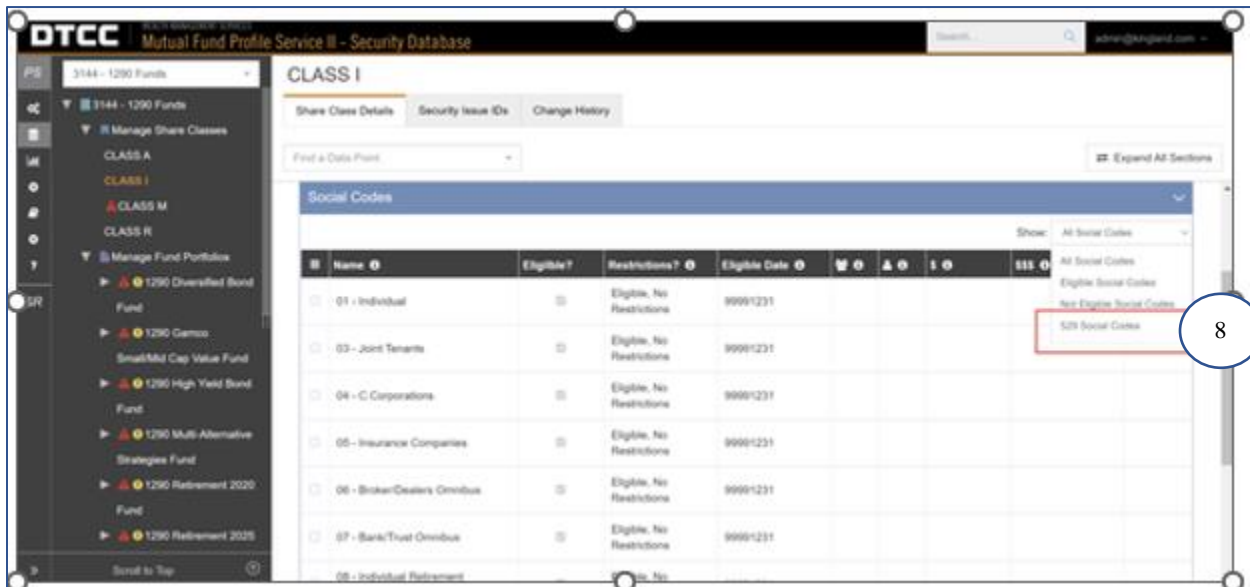
- These data points are required when “529 Products Included is “Yes, 529 and non-529” or “529 only and CDSC Rules Apply is “Yes” or “Yes, Finder’s Fee and Jumbo Pricing.”
- Non-extractable data point (NID)
- Values:
  - Yes
  - No
  - N/A

CDSC	
CDSC	
* CDSC Aging Applies	Yes
* CDSC Rules Apply	Yes
* CDSC 529 Plan-Specific Waiver	1
* CDSC 529 Plan Account - Beneficiary Disability Waiver	2
* CDSC 529 Plan Waiver - Beneficiary Death Waiver	3
* CDSC 529 Plan Waiver - Beneficiary Scholarship Waiver	4

#### Share Class Level - Social Codes: Additional drop-down search

##### 8. 529 Social Code Drop-Down Selection

- 37 - Section 529 Plan - Qualified State Tuition Program
- 38 - UGMA/UTMA transferred into Section 529 Plan (Fund/SERV® and Commission Settlement only)
- 39 - Section 529 Plan transferred into new Section 529 Plan (Fund/SERV® and Commission Settlement only)
- 40 - IRA transferred into Section 529 Plan (Fund/SERV® and Commission Settlement only)
- 41 - Series E/Series I U.S. Saving bonds transferred into Section 529 Plan (Fund/SERV® and Commission Settlement only)
- 61 - Section 529 Plan - Joint Owner
- 62 - Section 529 Plan - Trust
- 67 - Section 529 Account - Entity
- 68 - Section 529 Account - Corporate
- A4 - Section 529 ABLE



## Fund Portfolio Level: General Profile / Money Market Fund Data - New Data Point Attributes

### 9. Date of Current 529 Program Description

- Indicates the effective date of the fund's most current 529 Program Description
- Required when Product Type is 'Section 529 College Savings Plan' or 'Section 529 Money Market Fund'
- Non-extractable data point (NID)
- Values: date field (yyyymmdd)

### 10. Recent Supplement Date for 529 Program Description

- Indicates the effective date of the fund's most current Supplement for a Fund's 529 Program Description
- Visible when Product Type is 'Section 529 College Savings Plan' or 'Section 529 Money Market Fund'
- Non-extractable data point (NID)
- Values: date field (yyyymmdd)

Fund Portfolio Details	Security Issue IDs	Change History
Find a Data Point		
Large Trade Dollar Threshold Amount	023430.70	
* Selling Period Open Date	99991231	
* Selling Period Close Date	99991231	
* Date of Current Prospectus	20180728	
* Recent Supplement Date for Prospectus or SAI	99991231	
* Date of Current 529 Program Description	20210101	9
* Recent Supplement Date for 529 Program Description	20220101	10

## II. 529 Plan Batch File Enhancements:

### New Record Type – 529 Plan Information

A new **Record Type (034) – 529 Plan Information** will be added to provide additional data points to support 529 Plans. This is an optional record, which can be submitted as a standalone with the exception noted below:

- 529 Plan Information (Record Type 034) must be submitted with the General Profile Record (Record Type 020) when the “Product Type Code” on the Record Type 020 is equal to “Section 529 College Savings Plan” or “Section 529 Money Market Funds.”

### 529 Plan Information (RECORD TYPE 034)

## Input/Output

### 529 Plan Information (Record Type 034)

Field Name	Start	End	Len	Type	Description	Opt/Req	Reject Code
Record Type Length	1	4	4	N	0232 Must be 0232 if Action Type = 'D'	R	0088
Physical Sequence Number	5	6	2	A/N		R	0080

Logical Sequence Number	7	8	2	A/N	01	R	0080
Filler	9	9	1	A/N	Space	R	
Reminder Indicator	10	10	1	A/N	Output Only; Space on input 'R' = Reminder on Output	R	
Originator Type Indicator	11	11	1	A/N	'F' = Fund	R	0081
Profile Type	12	13	2	A/N	06 = Hierarchical Security Issue	R	0082
Record Type	14	16	3	A/N	<b>034 = 529 Plan Information</b>	R	<b>0083</b>
Action Type	17	17	1	A/N	A = add C = change D = delete	R	0349
Submitting Participant Number	18	21	4	A/N	@	R	0100
Filler	22	32	11	A/N	Space	R	
Submission Date	33	40	8	A/N	ccyyymmdd	R	0036
Profile Effective Date	41	48	8	A/N	ccyyymmdd @	R	0044
Security Issue Country Code	49	50	2	A/N	See ISO Country Codes @	R	0153
Security Issue ID	51	59	9	A/N	@	R	0040
ISIN Security Issue Check Digit	60	60	1	A/N	@	R	0041
Filler	61	78	18	A/N		R	
Test Indicator	79	79	1	A/N	Space = Production 1=Test	R	<b>0089</b>
(NSCC Rejection Indicator	80	80	1	A/N	Input: Space Output: 0 = Accepted by NSCC 1 = Rejected by NSCC 2 = Rejected by NSCC, Multiple Errors		
NSCC Reject Code	81	84	4	A/N	Input: Space Output: Reject code or space	R	

Share Class Name	85	104	20	A/N	@	R	0526
<b>529 State Plan Level</b>  Note: Required when the Product Type Code = "11" - ("529 College Savings Plan" or "15" - 529 Money Market Mutual Fund) on the General Profile Record - Record Type 020	<b>105</b>	<b>106</b>	<b>2</b>	<b>A/N</b>	<b>Standard Fund/SERV® State Code</b>	<b>O/C</b>	<b>0828 – 529 State Plan Level Invalid</b>
<b>529 State Level Maximum1 Account Balance Limit</b>  Note: Required when the Product Type Code = "11" - ("529 College Savings Plan" or "15"- 529 Money Market Mutual Fund) on the General Profile Record - Record Type 020	<b>107</b>	<b>122</b>	<b>16</b>	<b>N</b>	<b>99999999999999.99</b>	<b>O/C</b>	<b>0829 Invalid 529 State Level Maximum Account Balance Limit</b>
<b>529 ROA / LOI Aggregation Inclusion Rules</b>  Note: Required when the Product Type Code = "11" - ("529 College Savings Plan" or "15" - 529 Money Market Mutual Fund) on the General Profile Record - Record Type 020	<b>123</b>	<b>123</b>	<b>1</b>	<b>A/N</b>	<b>0 = Only 529 1 = Mutuals Funds and 529</b>	<b>O/C</b>	<b>0830 Invalid 529 ROA/LOI Aggregation Inclusion Rules</b>
<b>529 CDSC Plan Specific Waiver</b>  Note: Required when the Product Type Code = "11" - ("529 College Savings Plan" or "15" -529 Money Market Mutual Fund) And CDSC Rules Apply is "Yes" or "Yes, Yes, Finder's Fee / Jumbo Purchases Only on the General Profile Record – Record Type 020	<b>124</b>	<b>124</b>	<b>1</b>	<b>A/N</b>	<b>0 = No 1 = Yes</b>	<b>O/C</b>	<b>0831 529 CDSC Plan Specific Waiver Invalid</b>
<b>CDSC 529 Plan Account - Beneficiary Disability Waiver</b>  Note: Required when the Product Type Code = "11" - ("529 College Savings Plan" or "15" - 529 Money Market Mutual Fund) And CDSC Rules Apply is "Yes" or "Yes, Yes, Finder's Fee / Jumbo Purchases Only on the General Profile Record – Record Type 020	<b>125</b>	<b>125</b>	<b>1</b>	<b>A/N</b>	<b>0 = No 1 = Yes</b>	<b>O/C</b>	<b>0832 529 CDSC Plan Account Beneficiary Disability Waiver Invalid</b>
<b>CDSC 529 Plan Account – Beneficiary Death Waiver</b>  Note: Required when the Product Type Code = "11" -	<b>126</b>	<b>126</b>	<b>1</b>	<b>A/N</b>	<b>0 = No 1 = Yes</b>	<b>O/C</b>	<b>0833 529 CDSC Plan Account Death</b>



("529 College Savings Plan" or "15" - 529 Money Market Mutual Fund) And CDSC Rules Apply is "Yes" or "Yes, Yes, Finder's Fee / Jumbo Purchases Only on the General Profile Record – Record Type 020							<b>Waiver Invalid</b>
<b>CDSC 529 Plan Account – Beneficiary Scholarship Waiver</b>  Note: Required when the Product Type Code = "11" - ("529 College Savings Plan" or "15" - 529 Money Market Mutual Fund) And CDSC Rules Apply is "Yes" or "Yes, Yes, Finder's Fee / Jumbo Purchases Only on the General Profile Record – Record Type 020	<b>127</b>	<b>127</b>	<b>1</b>	<b>A/N</b>	<b>0 = No</b> <b>1 = Yes</b>	<b>O/C</b>	<b>0834 529 CDSC Plan Account Beneficiary Scholarship Waiver Invalid</b>
<b>Date of Current 529 Program Description</b>  Note: Required when the Product Type Code = "11" - ("529 College Savings Plan" or "15" -529 Money Market Mutual Fund) on the General Profile Record – Record Type 020	<b>128</b>	<b>135</b>	<b>8</b>	<b>A/N</b>	<b>ccyymmdd</b>	<b>O/C</b>	<b>0835 Invalid Date of Current 529 Program Description</b>
<b>Recent Supplement Date of 529 Program Description</b>  Note: Required when the Product Type Code = "11" ("529 College Savings Plan" or "15" 529 Money Market Mutual Fund) on the General Profile Record – Record Type 020	<b>136</b>	<b>143</b>	<b>8</b>	<b>A/N</b>	<b>ccyymmdd</b>	<b>O/C</b>	<b>0836 Invalid Date of Recent Supplement Date of 529 Program Description</b>
Filler	144	158	15				
Fund Portfolio Name	159	218	60	A/N	@	R	0527
Filler	219	232	14	A/N		R	

### **III. New Validation Errors and Warnings**

New Validation Errors / Warning Rules will be generated when the Product Type “Section 529 College Savings Plan” or “Section 529 Money Market Funds” for the conditions listed below. **To provide clients with sufficient time to update their 529 data in Profile II without impacting their quality index score, these validation errors and warnings will not be initially generated. DTCC will issue a separate communication to advise when these validation errors and warnings will commence.**

#### **1. Validation Errors**

- The Date of Current 529 Program Description must be prior to the Recent Supplement Date for 529 Program Description

#### **2. Validation Warnings**

There are certain data points that may not be applicable for 529 Plans, a validation warning will be generated when these data points are populated:

- **Exchange Fee**: Product type is “Section 529 College Savings Plan”, or “Section 529 Money Market Funds” and Exchange Fee Code is not “No Exchange Fee”
- **Redemption Fee**: Product type is “Section 529 College Savings Plan”, or “Section 529 Money Market Funds” and Redemption Fee Code is “No Non-Short-Term Redemption Fee”
- **Restriction Redemption**: Product type is “Section 529 College Savings Plan” or “Section 529 Money Market Funds” and Restriction Redemptions “Yes”
- **STR Rules Apply**: Product type is “Section 529 College Savings Plan” or “Section 529 Money Market Funds” and STR Rules Apply “Yes”
- **Blue-Sky Eligibility**: Blue Sky state(s) must be blank if Product Type is ‘Section 529 Money Market Funds’ or ‘Section 529 College Savings Plan’

### **C. Bulk Update Functionality**

Addition of bulk update functionality provides Fund clients the ability to update the data in one update, across multiple Security Issue IDs will be added to the following data points:

- Linking Rules
- Dividend Accrual Rules
- 529 Products Included
- 529 State Plan Level
- 529 State Level Maximum Account Balance Limit
- 529 CDSC Waivers
  - CDSC 529 Plan - Specific Waiver
  - CDSC 529 Plan Account - Beneficiary Disability Waiver
  - CDSC 529 Plan Waiver - Beneficiary Death Waiver
  - CDSC 529 Plan Waiver - Beneficiary Scholarship Waiver
- Maximum Account Value Code
- Maximum Account Value Amount
- Minimum Initial Purchase Amount
- Minimum Subsequent Purchase Amount
- Minimum Periodic Systematic Investment Purchase Amount

- Date of Current 529 Program Description
- Recent Supplement Date for 529 Program Description

When selecting the Bulk Update button at the Share Class or Fund Portfolio level, the following module will be presented indicating:

1. Check Box to Select which Data Point(s) should be updated.
2. Data Point Attribute Name(s)
3. New Value for Data Point(s)
4. Type - Hierarchy Level that the change should occur (i.e. Fund or Share Class)
5. Product Type
6. Fund Portfolio Name or Share Class Name (dependent on level data point resides)
7. Current Value for the Record that needs to be updated.

**Bulk Update 529 Date Data Points**

Bulk update allows you to select a new value for each of the following data points and apply the new values across multiple records. Please select the data points you would like to update. Selecting the checkbox for a data point without entering a New Value will clear the previous value of the data point.

**1** Current 529 Program Description **2** 20240118 **3**  
 Recent Supplement Date for 529 Program Description 20240118

Select records to apply to:

Bulk updates may take an extended amount of time to process. Once submitted, the bulk update will be processed even if you close this page. Note: Data quality reports should be reviewed after updates have been made to ensure that validation errors or warnings were not generated; any validation errors or warnings that are not corrected will impact your scorecard and will be reflected in the daily e-mail notifications.

<input type="checkbox"/>	Type <b>4</b>	Product Type <b>5</b>	Fund Portfolio <b>6</b>	Current Date of Current 529 Program Description <b>7</b>	Most Recent Supplement Date for 529 Program Description
<input type="checkbox"/>	Fund Portfolio	Section 529 Money Market Funds	Aberdeen Asia Bond Fund	20240119	20240126
<input type="checkbox"/>	Fund Portfolio	Section 529 College Savings Plan	Aberdeen Asia-Pacific Smaller Companies Fund	20231209	20231222
<input type="checkbox"/>	Fund Portfolio	Section 529 Money Market Funds	Aberdeen Ultra-Short Duration Bond Fund	20240118	20240118

Once “Apply” is selected, a second module will be available to select the underlining Security Issue ID these updates should apply to:

**SMALL-CAP VALUE PORTFOLIO - Cascade Changes**

Note: Cascading this change will clear the dependent OC data points for all selected records

To finish updating the change(s), you must first select how you want this change to effects child records that have inherited change(s).

Cascade this change to all records without a manual override  
 Cascade this change to all records, regardless of manual overrides  
 Manually select which records will inherit the new value

<input type="checkbox"/>	Type ⇅	Security Issue ID ⇅	Current Value ⇅	Product Type	Fund Portfolio Name	Share Class
<input type="checkbox"/>	Sec	1111111111	Open	Mutual Fund	ABC FUNDS CO	CLASS A
<input type="checkbox"/>	Sec	2222222222	Open	Mutual Fund	RETIREMENT FUNDS INC	CLASS B
<input type="checkbox"/>	Sec	3333333333	Open	Mutual Fund	123 DIVIDEND FUNDS	CLASS C
<input type="checkbox"/>	Sec	4444444444	Open	Mutual Fund	123 DIVIDEND FUNDS	CLASS D
<input type="checkbox"/>	Sec	5555555555	Open	Mutual Fund	ABC FUNDS CO	CLASS E