



Important Notice
The Depository Trust & Clearing Corporation

Z #:	0277
Date:	01/23/2025
To:	All Participants, Members, and Issuers
Category:	Service Updates
From:	Enterprise Business Operations
Attention:	Managing Partner / Officer, Operations Managers
Subject:	Audit Confirmation Requests

Periodically, it is necessary for Participants, Members, or Issuers to confirm holdings with the Depository Trust Company (DTC), National Securities Clearing Corporation (NSCC), or Fixed Income Clearing Corporation (FICC) for regulatory compliance.

Effective February 24, 2025, to ensure that audit requests are responded to timely and efficiently, audit requests will be required to be submitted electronically and without physical delivery.

Participants, Members, and Issuers may submit their request(s) to the applicable email address, listed below.

Please be aware that all other requirements remain unchanged.

If all requirements have been met, we will attempt to process all requests upon receipt. Should the form be deficient, we will notify the designated audit contact.

If you have any questions, please contact your Relationship Manager.

The below statements are available to Issuers through submission of a letter with authorized signature to cdconfirmations@dtcc.com

- DTC Inventory Balance on brokered CDs
- DTC Inventory Balance on Municipal Bonds

The below reports are available to DTC Participants through submission of the “Depository Trust Company Customer External Audit Request” form to PAR@dtcc.com

- DTC Position Statement (Stock Record)
- DTC Pledgor Participant Statement
- DTC Preferred Stock Balance
- DTC Participant Fund Balance (Month End Only)
- DTC Pledgee Position Statement

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.

The below reports are available to NSCC Members through submission of the “National Securities Clearing Corporation Customer External Audit Request” form to PAR@dtcc.com

- CNS Accounting Summary (Stock Record)
- NSCC Clearing Fund Balance (Month End Only)

The below reports are available to FICC Members through submission of the “Fixed Income Clearing Corporation Customer External Audit Request” form to FICCConfirmations@dtcc.com

- GSD CFM Daily Deposit Summary
- GSD Funds Settlement Statement
- GCF Funds Settlement Statement
- GCF Repo & Ref Repo Query
- GSD Fail Report
- DVP Repo & Rev Repo Query
- MBSD CFM daily Deposit Summary Report
- MBSD Full Open Commitment Report