



A#: 7749
P&S# 7319
DATE: DECEMBER 5, 2013
TO: ALL PARTICIPANTS
ATTENTION: MANAGING PARTNER/OFFICER; RISK MANAGERS;
OPERATIONS MANAGER; MANAGER, DATA PROCESSING
MANAGER, IT MANAGER
FROM: PRODUCT MANAGEMENT
SUBJECT: ACCESS TO DTCC LIMIT MONITORING THROUGH THE PORTAL

As previously announced in Important Notice A# 7734, P&S#7304 dated, November 15, 2013, on that date NSCC filed a proposed rule change with the SEC, SR-NSCC-2013-12 (“Rule Filing”), to amend NSCC’s Rules to provide NSCC Members with a risk management tool that would allow those Members to monitor trading activity and would deliver to them notifications when pre-set trading limits are reached (“DTCC Limit Monitoring”), as more fully described in the Rule Filing. The proposed DTCC Limit Monitoring is also described further in Important Notice A# 7698, P&S# 7268, dated September 12, 2013.

While DTCC Limit Monitoring output will not be available until after regulatory approval of the Rule Filing and the subsequent launch of the proposed DTCC Limit Monitoring, Members will be able to enter the production environment for DTCC Limit Monitoring through a link that is now available in the DTCC Portal. The link will take Members to a log-in screen within the tool’s production environment. Please make sure that your firm is provisioned for the use of DTCC Limit Monitoring by your super-access coordinator (SAC). If this is not the case, the link might not appear on your Portal screen.

Access to DTCC Limit Monitoring through this link is available **only** for Members to commence the set up efforts, as described in Important Notice A# 7743 dated, November 29, 2013.

The newly created access path through the DTCC Portal will take Members to the same application as the direct link provided in that November 29, 2013 Important Notice (<https://ptrm.dtcc.com/ptrm/PTRM/mainmenu.do>). This stand-alone direct link will continue to be operational and available to Members as well.

For questions about this Important Notice, contact your DTCC relationship manager or Pawel Pieczara at 212-855-5697 or at ppieczara@dtcc.com.

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