



Important Notice
National Securities Clearing Corporation

A#: 7934
P&S# 7509
DATE: NOVEMBER 21, 2014
TO: ALL PARTICIPANTS
ATTENTION: MANAGING PARTNER/OFFICER; RISK MANAGERS; OPERATIONS
MANAGER; MANAGER, DATA PROCESSING MANAGER, IT MANAGER
FROM: PRODUCT MANAGEMENT
SUBJECT: DTCC LIMIT MONITORING ENHANCEMENTS

As previously noted in Important Notice A#7913, P&S#7483, dated October 16, 2014, DTCC implemented the 'Unassigned Risk Entity' for all users of the DTCC Limit Monitoring tool. This risk entity monitors trade activity that is not currently assigned to any existing risk entities.

Effective Monday, November 24th, 2014, DTCC will temporarily disable the drill-down functionality 'Positions by Trade' for only the 'Unassigned Risk Entity'. DTCC will announce shortly in a subsequent important notice, when this feature becomes available. In the meantime, the risk entity itself will still be operating, and drill-down functionalities will be available up to and including the 'Positions by Security' level. DTCC will also continue producing the daily reporting for the 'Unassigned Risk Entity'.

Additional Information

For questions about this Important Notice, contact your DTCC relationship manager, Client Account Representative at 212-855-4270 or Pawel Pieczara at 212-855-5697 or at ppieczara@dtcc.com.

Pawel Pieczara
Product Management, Equities Clearance

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