



A#: 7814
P&S# 7384
DATE: APRIL 1, 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 LAUNCH DATE AND WEBINARS

As previously announced in Important Notice A #7703, P&S #7373 dated March 20, 2014, on February 28, 2014, the Securities and Exchange Commission (“SEC”) approved the proposed rule changes (SR-NSCC-2013-12) related to implementing DTCC Limit Monitoring. As described in these Rules, while DTCC Limit Monitoring is available to all NSCC Members, subscription to the tool is mandatory for any NSCC full service Member that (a) clears for others; (b) submits transactions to NSCC either as a Qualified Special Representative (QSR) or Special Representative, pursuant to Procedure IV (Special Representative Service); and (c) has established a 9A/9B relationship in order to allow another NSCC Member (either a QSR or Special Representative) to submit locked in trade data on its behalf.

As also announced in the March 20, 2014 important notice, the requirement to subscribe for DTCC Limit Monitoring will be effective on April 9, 2014.

Webinars

In conjunction with the launch, DTCC will offer additional educational webinars about the tool and its functionality on the following days:

Date	Time
April 7, 2014	12:00 PM - 1:00 PM EST
April 14, 2014	2:00 PM - 3:00 PM EST

NSCC Members can register for the webinars either directly in the ‘Events Calendar’ on the www.dtclearning.com website, located in the upper right corner of the screen, or in the ‘Learn about DTCC Limit Monitoring’ section.

Non-Confidential

DTCC, on behalf of its subsidiaries, is now offering enhanced access to all important notices via a new, Web-based subscription service. The new 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.

DTCC Learning

DTCC has opened a learning section for DTCC Limit Monitoring at www.DTCCLearning.com. Information pertaining to DTCC Limit Monitoring, including onboarding, can be found within the 'Clearance Learning Center'.

Firm representatives should make sure first that they are registered for the Clearance Learning Center. If not yet registered, follow the below steps:

1. Go to <https://dtcclearning.com/learning/clearance/>;
2. Click Register Now, located in the upper right hand corner of the page;
3. Fill out the required fields and click Register.

You will receive an e-mail from DTCC approving your registration or requesting additional information within one business day.

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

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