



<b>A#:</b>	<b>7825</b>
<b>P &amp; S#</b>	<b>7395</b>
<b>Date:</b>	April 24, 2014
<b>To:</b>	<b>ALL MEMBERS AND LIMITED MEMBERS</b>
<b>From:</b>	<b>WEALTH MANAGEMENT SERVICES – MUTUAL FUNDS</b>
<b>Attention:</b>	<b>MANAGER MUTUAL FUNDS OPERATIONS, MANAGER DATA PROCESSING, MANAGER CASHIERS, MANAGER P&amp;S DEPARTMENT</b>
<b>Subject:</b>	<b>MFPSII PROFILE SECURITY DATABASE – SOCIAL CODE MODIFICATIONS POSTPONED – NEW EFFECTIVE DATE IS JULY 28, 2014 – INCLUDES ADDITIONAL SOCIAL CODES</b>

In connection with Important Notice A#7702, dated March 20, 2014, please note that National Securities Clearing Corporation (NSCC) is postponing the implementation of new social code values 64 through 85 within the Mutual Fund Profile Service II (MFPSII) Profile Security database. Industry members have requested and finalized additional new social code values 86 through 94, as denoted below, and therefore, NSCC will be combining all social code changes to be implemented in **one production release effective on Monday, July 28, 2014**. Effective Monday, July 14, 2014, all new social code values will be available in the PSE test region for participant testing.

Funds entering social codes via mainframe batch records are required to program for these changes. No programming is needed for funds entering social codes via the DTCC web interface. Firms and funds receiving output files via the web or mainframe, i.e. User File Request, Autoroutes 02110824 and 02110825, may need to program to receive the new social code values on these file(s) and should consult with their developers.

In addition, funds and firms have requested the elimination of 2 social codes in order to provide greater transparency necessary for account oversight.

#### **Elimination of Two Social Codes**

NSCC will eliminate the following social codes:

02 = Female

10 = Keogh

NSCC will reject all web input and mainframe records received with social code 02 or 10 beginning with production effective date of Monday, July 28, 2014. Any test files received in the PSE test region with these social codes will also be rejected effective Monday, July 14, 2014. Reject code 0643 - Invalid Eligible Social Code will be sent to the submitter of any records using invalid social codes in either the test or production environments.

DTCC, on behalf of its subsidiaries, 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](http://www.dtcc.com/subscription_form.php)

**Addition of New Social Codes**

<b>New Social Code</b>	<b>NSCC Social Code Description</b>
64	Retirement Plan Super Omnibus (non-prototype)
65	Transfer On Death – Individual
66	Transfer On Death - Joint Tenant with Rights of Survivorship or Tenants by Entirety
67	Section 529 Account - Entity
68	Section 529 Account - Corporate
69	457(b) Plans - FBO Participant Name/Account # (fund-prototype)
70	457(f) Plans (non-prototype)
71	Non-Qualified Deferred Compensation Plan (non-prototype; not participant directed)
72	Non-Qualified 403(b) Plans (non-prototype)
73	403(b) Plan FBO Participant Name/Account # (non-prototype)
74	40 Act Registered Fund of Funds
75	Non-40 Act Registered Fund of Funds
76	IRA Beneficiary Distribution Account – (fund prototype)
77	Roth IRA Beneficiary Distribution Account- ( fund prototype)
78	401(k) Plan FBO Participant Name/Account # (non-prototype)
79	Profit sharing Plan FBO Participant Name/ Account # (non-prototype)
80	Money Purchase Plan FBO Participant Name/Account # ( non-prototype)
81	Health Savings Plan FBO Participant Name/Account # ( non-prototype)
82	Government Sponsored Plan (non-prototype)
83	Insurance Company Group Trust or Pooled Separate Account Limited to retirement plan assets
84	Investment Clubs; Unions; Unincorporated Association; Miscellaneous Organizations
85	Estate Account
86	Fund of Funds - '40 Act Registered - Retirement Assets Only
87	Fund of Funds - Non-'40 Act Registered - Retirement Assets Only
88	Coverdell ESA Beneficiary Distribution Account
89	Individual Retirement Accounts - Super Omnibus (non-prototype)
90	Simple 401(k) Plan (non-prototype)

91	Simple 401(k) Plan FBO Participant Name/Account # (non-prototype)
92	Simple 401(k) Plan FBO Participant Name/Account # (fund-prototype)
93	Single Defined Benefit Plan (non-prototype)
94	Non-U.S. Governmental Entities

Any questions or concerns regarding this Important Notice should be directed to your Wealth Management Relationship Manager or 212-855-8877.

Rita A. Gribben  
Director Product Management  
DTCC Wealth Management