



Important Notice
National Securities Clearing Corporation

A#: 7835
P&S# 7405
DATE: MAY 5, 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 EMAIL SIGNUP PROCESS

As previously announced in Important Notice A#7824, P&S#7394, dated April 24, 2014, NSCC implemented into production the DTCC Limit Monitoring email functionality starting on April 30, 2014. DTCC allows e-mail address input into the tool for those NSCC Members that have set up all of their trading limits in DTCC Limit Monitoring, and have completed the initial limit level ‘calibration.’

DTCC will work one-one-one with NSCC Members to open up the e-mail functionality. In order to sign-up for the email, please complete the following steps:

1. Send an e-mail to rmsupport@dtcc.com stating that you wish to have the DTCC LM email functionality turned on. Make sure that your e-mail subject line reads: “DTCC Limit Monitoring Email Functionality.”
2. DTCC relationship manager and/or CART representative will reach out to you to advise you of your request status. Keep in mind that it will take 3-4 business days to complete your request. Once completed, your DTCC representative will advise you of the status.
3. Your super-access coordinator (SAC) will be able to provision users for the ‘DTCC Limit Monitoring Update Email Access.’ These users in turn will be able enter the distribution-email addresses into the Limit Monitoring tool.

DTCC Limit Monitoring will allow no more than five e-mail addresses per firm. Therefore, DTCC recommends that firms use distribution e-mail addresses, as appropriate, instead of e-mail addresses of individuals in order to notify a wider audience of alerts from DTCC Limit Monitoring.

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

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.