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| #: | CBRS002.18 |
| Date: | October 12, 2018 |
| To: | All Cost Basis Reporting Service (CBRS) users |
| From: | Product Management |
| Subject: | CBRS Statistical Reports Production |

DTCC plans to offer new statistical reports for Cost Basis Reporting Service (CBRS) users that will provide firms with more visibility into their CBRS transactions usage. The reports being offered were a result of a collaborative industry effort. The reports will be provided to firms via file transmissions or available to download via the CBRS Web Portal. Firms wishing to consume these new reports will need to subscribe to the new AutoRoute output product IDs. This release includes only AutoRoute output consumption of the reports. **DTCC will make these reports available on the CBRS Web Portal in a future release.** Further instructions are outlined below.

Statistical Reports

Starting **October 19, 2018**, firms will be able to subscribe to the new CBRS Statistical Reports “CBI Stats MTD Submitter of Assets” & “CBI Stats MTD Receiver of Assets” in DTCC’s Participant Service Environment (PSE) test region. **Production is scheduled for November 16, 2018 with the first report being made available December 3, 2018.** There is no file specification for these reports as they are readable statistical reports. **These reports will be provided on the first processing day of the month and will reflect last month’s volume.** Firms will need to submit test transactions to view the statistical information in the PSE region. These reports will provide clients with a breakdown of submissions and receives at an asset level broken down my transaction type. The reports will also provide the same information for the entire CBRS community to provide clients with visibility as to how their submission and receive volume compares to the industry.

Testing

Firms will be able to submit test transactions in the PSE region starting October 19, 2018 and view daily statistical information the following processing day. Daily statistical output will only be available in PSE for testing purposes. **Firms must submit in the PSE region using Test Product ID 46708.**

Registration

Subscription to the new CBRS Statistical Reports will require firms to update their existing CBRS Product Request Form. Firms will need to subscribe to both the Submitter and Receiver report to receive both outputs highlighted below. For this implementation the statistical reports will only be available for AutoRoute output. DTCC will make these reports available on the CBRS Web Portal in a future release.

DTCC 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.

The updated CBRS Product Request Form can be found at the below link under “New Accounts, Instructions and Forms”:

<http://www.dtcc.com/clearing-services/equities-clearing-services/cbrs/support/public-documents>

| Production File Numbers | Test File Numbers |
|---|---|
| <u>Transaction Output Files</u> | |
| <input type="checkbox"/> Transaction Machine Readable Output (MRO) 02400264 <input type="checkbox"/> Transaction Request <u>WebDirect</u> Download 02401663 <input type="checkbox"/> Transaction EOD <u>WebDirect</u> Download 02401664 <input type="checkbox"/> CBI Stats MTD Submitter of Assets RPT 02402928 <input type="checkbox"/> CBI Stats MTD Receiver of Assets RPT 02402929 | <input type="checkbox"/> Transaction Machine Readable Output (MRO) 02980264 <input type="checkbox"/> Transaction Request <u>WebDirect</u> Download 02981663 <input type="checkbox"/> Transaction EOD <u>WebDirect</u> Download 02981664 <input type="checkbox"/> CBI Stats MTD Submitter of Assets RPT 02982928 <input type="checkbox"/> CBI Stats MTD Receiver of Assets RPT 02982929 |
| <u>Master File Output Files</u> | |
| <input type="checkbox"/> Cost Basis User Masterfile Machine Readable Output (MRO) 02561666 <input type="checkbox"/> Cost Basis User Masterfile <u>WebDirect</u> Download 02561667 | <input type="checkbox"/> Cost Basis User Masterfile Machine Readable Output (MRO) 02981666 <input type="checkbox"/> Cost Basis User Masterfile <u>WebDirect</u> Download 02981667 |
| <u>Daily Deposit Files (for Equity Transfer Agents and Issuers only)</u> | |
| <input type="checkbox"/> Daily Deposit File for Transfer Agents <u>WebDirect</u> Download 02401649 <input type="checkbox"/> Daily Reorg Deposit File for Transfer Agents <u>WebDirect</u> Download 02401912 | <input type="checkbox"/> Daily Deposit File for Equity Transfer Agents/Issuers <u>WebDirect</u> Download 02981649 <i>Reorg Deposit File is not available in the test environment</i> |

Please be advised that reports 02982928 and 02982929 are test reports and firms must submit test data to receive test output.

If you have questions about CBRS, please contact Connectivity Activation & Production Support (CAPS) at 1-888-382-2721, option 5, followed by option 5.

Korosh Major
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