



Important Notice
National Securities Clearing Corporation

A#: 8983
P&S#: 8556
DATE: MARCH 23, 2021
TO: ALL MEMBERS AND LIMITED MEMBERS
ATTENTION: MANAGING PARTNER/OFFICER, OPERATIONS PARTNER/OFFICER,
COMPLIANCE OFFICER
FROM: GENERAL COUNSEL'S OFFICE
SUBJECT: SUBMISSION OF PROPOSED RULE CHANGE FILING SR-NSCC-
2021-004 – NSCC RECOVERY AND WIND-DOWN PLAN AMENDMENT

On March 23, 2021, National Securities Clearing Corporation (“NSCC”) filed a proposed rule change filing (SR-NSCC-2021-004) (the “Filing”) with the Securities and Exchange Commission (“SEC”) pursuant to Section 19(b)(3)(A) of the Securities Exchange Act of 1934. As described therein, the Filing proposes to amend the NSCC Recovery and Wind-down Plan (the “Plan”) to (i) reflect business and product developments, (ii) make certain changes to improve the clarity of the Plan, (iii) remove provisions covering certain “business-as-usual” actions, and (iv) make certain technical corrections. The full text of the Filing may be obtained by visiting the DTCC website at www.dtcc.com/legal/sec-rule-filings.aspx.

Written comments on the Filing may be addressed to National Securities Clearing Corporation, c/o General Counsel’s Office, 55 Water Street, New York, New York 10041, Attention: Lisa Rosenbaum, Executive Director and Associate General Counsel, and your comments will be forwarded to the SEC.

You may also address your written comments to the Secretary, Securities and Exchange Commission, 100 F Street NE, Washington DC 20549. Electronic comments may be submitted by using the SEC’s Internet comment form (<http://www.sec.gov/rules/sro.shtml>) or by sending an email to rule-comments@sec.gov. Please include File Number SR-NSCC-2021-004 on the subject line. We request that you provide NSCC with a copy of your comments.

Questions regarding this Important Notice may be addressed to Lisa Rosenbaum, Executive Director and Associate General Counsel, at 212-855-4361.

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.

Non-Confidential