



Asset Services

PTS FUNCTION: ECSP

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ECSP:

Introduction

Overview

The **ECSP** function allows NSCC members eligible for envelope settlement services to:

1. Enter envelope delivery instructions and create a credit list for delivery.
2. Update delivery instructions that have not been received by NSCC.
3. View information related to the delivery and receipt of your envelope shipments.

Note

- The primary purpose of this training guide is to familiarize NSCC members with the envelope settlement services offered by NSCC. Members should refer to *NSCC Rules & Procedures* for the legal obligations of all parties concerned. This training guide is not intended to serve as a legal document. No statement in this training guide should be construed as a legally binding rule or regulation, or as creating an obligation on the part of NSCC or any person.

When to Use

Use this function to enter, update, or view information about your delivery instructions for the following types of envelope shipments:

- Inter-City Envelope Settlement Service (IESS)
- Envelope Settlement Service (ESS)

List of Procedures

Entering Envelope Delivery Instructions

Use this procedure to enter envelope delivery instructions and create credit lists for delivery.

1. Type **ECSP** on the Enter Function screen and press **ENTER**.

Result- The Main Menu appears.

2. Type **1** in the Option field and press **ENTER**.

Result- The Delivery Instruction Entry screen appears.

3. Type or scan the required information in the following fields:

- **Settlement Mode**
- **Envelope**
- **Reclaim (Y/N)**
- **OFAC Certified**
- **Settle Amount**
- **Broker**

Press **ENTER**.

Note

- Envelope settlement modes cannot be mixed within a credit list.

4. Press **PF1** to update.

Result- The **Credit List Number** field displays a system-generated identification number, and the **Total Settlement Amount** field displays the dollar amount.

Updating Delivery Instructions

Use this procedure to update delivery instructions on the credit lists. You can add, change, or delete envelopes in a credit list.

1. Type **ECSP** on the Enter Function screen and press **ENTER**.

Result- The Main Menu appears.

2. Type **2** in the **Option** field and press **ENTER**.

Result- The Delivery Instruction Update screen appears.

3. Type or scan the credit list number in the **Credit List Number** field and press **ENTER**.

Note

- You can only proceed if the credit list has not yet been received by NSCC.

Result- The Delivery Instruction Update screen displays security detail information.

4. Type the changes you wish to make or delete the item, press **ENTER** or **PF1** to validate the changes, and then press **PF1** again to update.

Result- The screen displays a new credit list number and a new total settlement amount and voids the old credit list.

Viewing a Specific Credit List

Use this procedure to view a specific credit list.

1. Type **ECSP** on the Enter Function screen and press **ENTER**.

Result- The Main Menu appears.

2. Type **3** in the **Option** field and press **ENTER**.

Result- The Inquiry screen appears.

3. Type **5** in the **Report Option** field and type or scan the credit list number in the **Credit List** field, and then press **ENTER**.

Result- The Credit List screen appears.

Viewing Envelope Pickup and Delivery Information

Use this procedure to view delivery instructions and perform a variety of inquiries about the pickup and receipt status of your deliveries.

1. Type **ECSP** on the Enter Function screen and press **ENTER**.

Result- The Main Menu appears.

2. Type **3** in the **Option** field and press **ENTER**.

Result- The Inquiry screen appears.

3. Type one of the following options in the **Report Option** field to narrow the parameters of your inquiry:

- 1: For a list of envelopes received at the window.
- 2: For a list of envelopes picked up by your messenger at the window.
- 3: For list of envelopes pending receipt at the window.
- 4: For a list of envelopes pending pickup at the window.
- 6: To view information about a specific envelope.
- 7: To view daily money settlement totals.

Press **ENTER**.

Result- The Envelope Inquiry screen appears with the desired information.

List of Screens

Credit List

The Credit List screen allows you to view information for a specific credit list.

Sample Screen

```

OAAW                NATIONAL SECURITIES CLEARING CORP                MM/DD/YY
D000002199          ENVELOPE SETTLEMENT SERVICES                    HH:MM:SS
                   CREDIT LIST

CREDIT LIST NO: 0106800012    TOT SETTLE AMT: 265,000.00    MODE: ESS
CREATED: MM/DD/YY - HH:MM:SS  BY: 0000519899
RECEIVED: MM/DD/YY - HH:MM:SS BY: D000001766    MESSENGER: 0000002199

   ENV ID      SETTLE AMOUNT      BRKR      PKUP DATE/TIME
-----
01)  A33333330      15,000.00    2199      MM/DD/YY - HH:MM
02)  B33333330      250,000.00    2199      MM/DD/YY - HH:MM

PF5: REPRINT PF6: PREV PF7: MENU PF8: EXIT PF9: SIGN OFF PF10: BKWD PF11: FWD

```

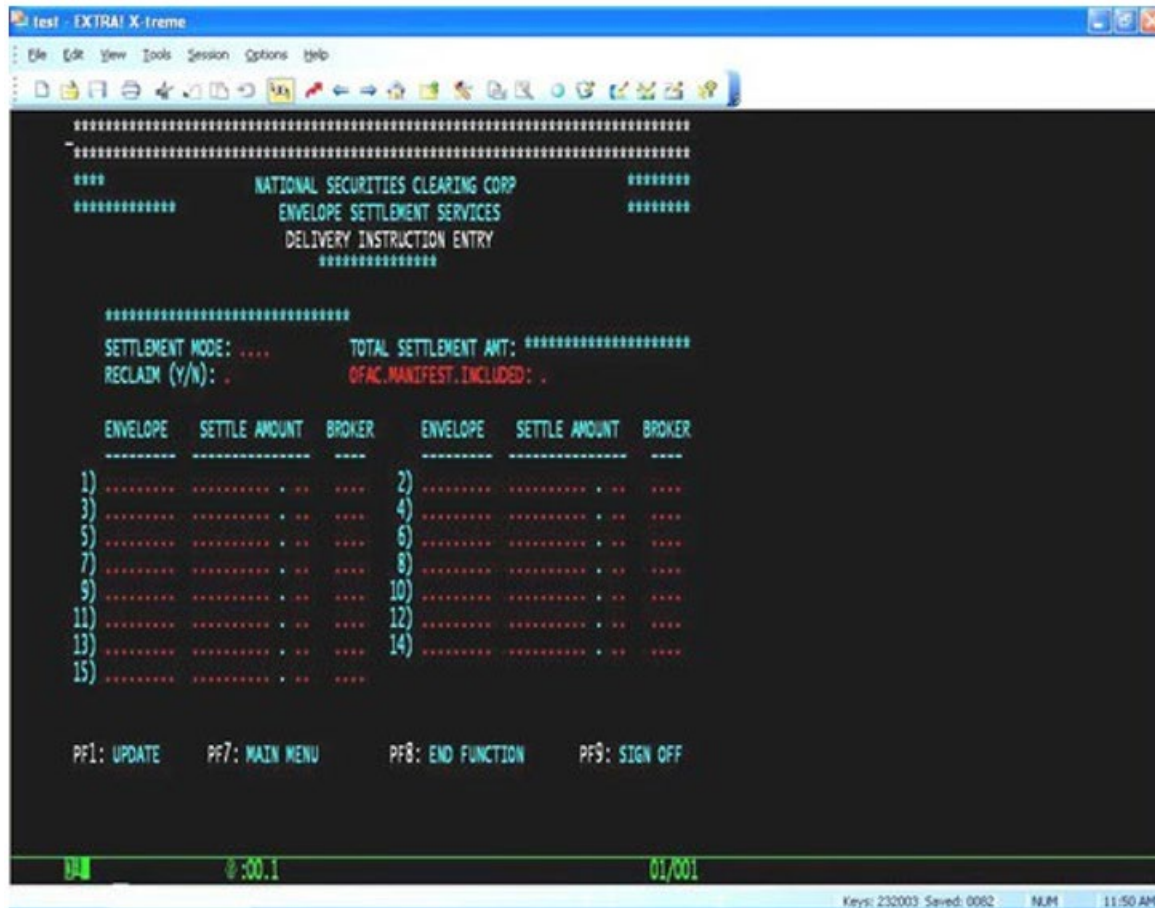
Field Descriptions

This field	Displays
Credit List No	The identification number for the credit list.
Tot Settle Amt	The total settlement amount.
Mode	The settlement mode for the credit list.
Created/ By	The date on which the list was created and the identification number of the person who created it.
Received/By	The identification of the NSCC Central Delivery employee who received the envelope and the date it was received.
Messenger	The identification number of the messenger who delivered the envelope and credit list.
Env ID	The envelope identification number
Settle Amount	The envelope settlement amount.
Brkr	The member number of the receiving broker.
Pkup Date/Time	The date and time that the delivery was picked up.

Delivery Instruction Entry Screen

The Delivery Instruction Entry screen allows you to enter delivery instructions and create credit lists.

Sample Screen



Field Descriptions

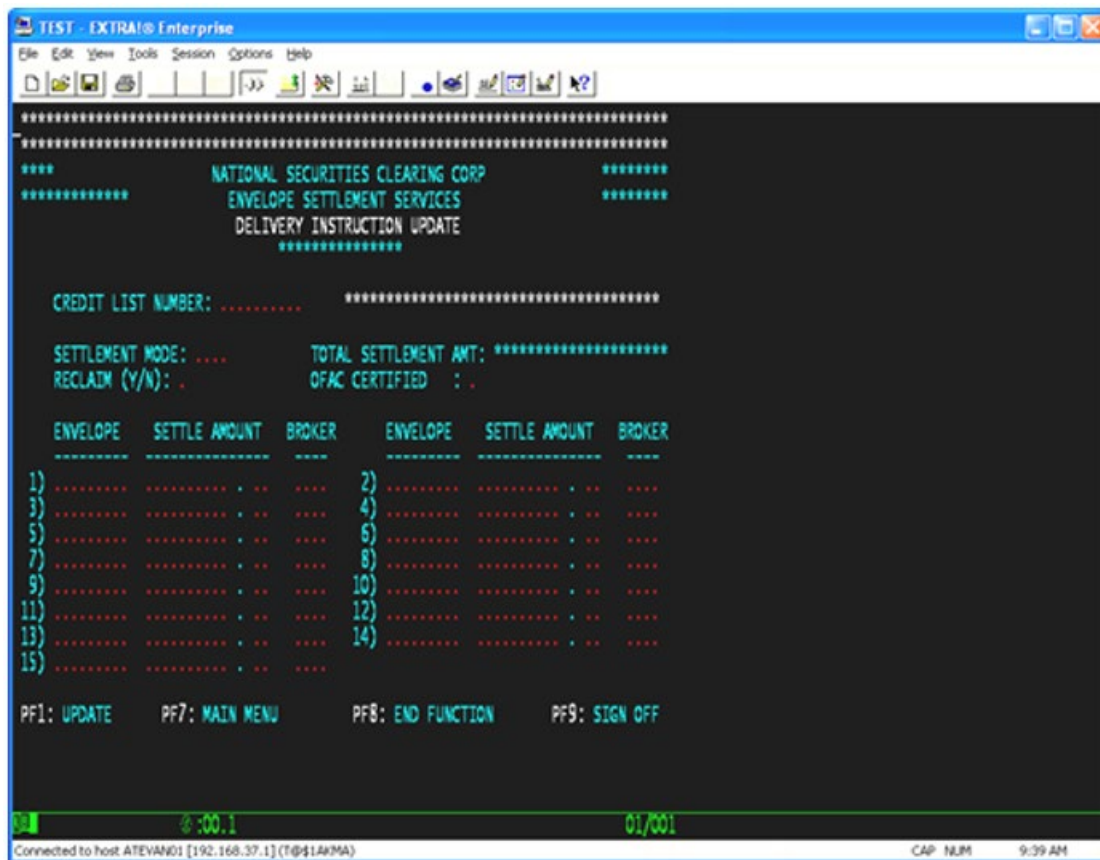
This field	Allows you to
OFAC Certified	Enter Y (Yes).
Settlement Mode	Enter one of the following settlement types: <ul style="list-style-type: none"> • IESS • ESS <p><i>Note</i> -- You must be eligible for envelope settlement services.</p>
Total Settlement Amt	View the total settlement amount for the credit list.
Reclaim (Y/N)	Enter Y (yes) or N (no) to indicate whether or not the item is a reclaim.
Envelope	Type or scan in the envelope barcode identification number.

This field	Allows you to
Settle Amount	Type the settlement amount of the envelope.
Broker	Enter the member number of the broker to which the envelope should be delivered.
	<p><i>Note</i></p> <p>-- The receiving broker must also be eligible for envelope settlement services.</p>

Delivery Instruction Update Screen

The Delivery Instruction Update screen allows you to make changes to the instructions on the screen.

Sample Screen



Field Descriptions

This field	Allows you to
Credit List Number	Enter the number identifying the credit list.
OFAC Certified	Enter Y (Yes).
Settlement Mode	Enter one of the following settlement types: <ul style="list-style-type: none"> • IESS • ESS
Reclaim (Y/N)	Enter Y (yes) or N (no) to indicate whether or not the item is a reclaim.
Total Settlement Amt	View the total settlement amount for all deliveries on the credit list.
Envelope	Type or scan in the envelope barcode identification number.
Settle Amount	Enter the settlement amount of the envelope.
Broker	Enter the member number of the broker to which the envelope should be delivered.

Envelope Inquiry Screen

The Envelope Inquiry screen allows you to view a list of envelopes that meet the criteria specified in the report option.

Sample Screen

```

QAAW
D000002199
1
  ENVELOPE
  ID
S
S  A33333330      10000.00    2199    VOID      2198      HH:MM
   A33333330      15000.00    2199    HH:MM     2198      HH:MM
   A33333330         10.00     2199    HH:MM     2198      HH:MM

      MAKE A SELECTION AND PRESS ENTER TO VIEW DETAILS

PF6: PREV SCREEN      PF8: END FUNCTION      PF10: PAGE BWD
PF7: MAIN MENU        PF9: SIGN OFF         PF11: PAGE FWD

```

Field Descriptions

This field	Displays
S	An entry field in which you can type S to access the: <ul style="list-style-type: none"> • Credit List screen if you are inquiring as a delivering broker • Pickup List screen if you are inquiring as a receiving broker.
Envelope ID	The envelope identification number.
Settlement Amount	The envelope settlement amount.
Deliver Broker	The member number of the broker making the delivery.
Recvd	The time the envelope credit list was time stamped at the window. <i>Note</i> - Time may vary slightly from the time stamp on the credit list.
Receive Broker	The member number of the receiving broker.
Picked Up	The time that the envelope was picked up.

ESS Printer Assignment Window Screen

The ESS Printer Assignment Window appears the first time you access the **ECSP** Main Menu to allow you to designate a default printer that will print your credit lists. Thereafter, you can access the screen to change your output printer by pressing **PF2** on the Main Menu.

Sample Screen

```

ESS PRINTER ASSIGNMENT WINDOW

TYPE AN 'S' NEXT TO THE PRINTER
PRINTER DESCRIPTION
- PRINTER 2ND FLOOR
- PRINTER ON 3RD FLOOR      *
- PRINTER ON 20TH FLOOR
- PRINTER ON 21ST FLOOR
- PRINTER ON 22ND FLOOR
- PRINTER ON 23RD FLOOR
- PTS PRINTER

CHANGE TO DEFAULT? (Y/N)    N
PF1: UPDATE      PF3: EXIT

```

Field Descriptions

This field	Allows you to
—	Enter S to select the printer from which you want your credit lists to print.
Change to default? (Y/N)	Designate the selected printer as your default for credit list printing.

Inquiry Screen

The Inquiry screen allows you to view information about your deliveries.

Sample Screen

```

QAAW          NATIONAL SECURITIES CLEARING CORP          MM/DD/YY
D000002199    ENVELOPE SETTLEMENT SERVICES              HH:MM:SS
              INQUIRY

PARTICIPANT ID: 2199          (REQUIRED)

PROCESS DATE: YYYY / MM / DD (REQUIRED FOR OPTIONS 1,2,6)

REPORT OPTION:

1) ENVELOPES RECEIPTED AT WINDOW
2) ENVELOPES PICKED UP AT WINDOW
3) ENVELOPES PENDING RECEIPT
4) ENVELOPES PENDING PICK UP
5) CREDIT LIST INQUIRY ==>
6) ENVELOPE INQUIRY    ==>
7) MONEY SETTLEMENT TOTALS

PF7: MAIN MENU          PF8: EXIT FUNCTION          PF9 :SIGNOFF
    
```

Field Descriptions

This field	Allows you to
Participant ID	View your member number.
Process Date	Enter the date of envelope activity you wish to view. <i>Note</i> -- Required for options 1, 2, and 6. The default is the current date.
Report Option	Enter one of the following report options: <ul style="list-style-type: none"> • 1: To access the Envelope Inquiry screen and view a list of envelopes received at the window. • 2: To view a list of envelopes picked up at the window. • 3: To view a list of envelopes pending receipt at the window. • 4: To view a list of envelopes pending pickup at the window. • 5: To view a specific credit list. • 6: To view a specific envelope. • 7: To view daily account activity (money settlement totals).

Main Menu

The Main Menu allows you to select the activity you want to perform.

Sample Screen

```

QABS                NATIONAL SECURITIES CLEARING CORP          MM/DD/YY
D0002199-00        ENVELOPE SETTLEMENT SERVICES              HH:MM:SS
                   MONEY SETTLEMENT TOTALS - TEST BROKER
                   FOR MM-DD-CCYY

GRAND TOTALS:                (0007)
DEBIT:                        100.00 (0001)
CREDIT:                       21.00 (0006)

*****

ESS TOTALS:                   (0007)  DSS TOTALS:                (0000)
DEBIT:                        100.00 (0001)  DEBIT:                   0.00 (0000)
CREDIT:                       21.00 (0006)  CREDIT:                  0.00 (0000)

FOSS TOTALS:                  (0000)  IESS TOTALS:             (0000)
DEBIT:                        0.00 (0000)  DEBIT:                   0.00 (0000)
CREDIT:                       0.00 (0000)  CREDIT:                  0.00 (0000)

PF6: PREV SCREEN              PF8: EXIT FUNCTION
PF7: MAIN MENU                PF9: SIGN OFF

```

Field Descriptions

This field	Allows you to
Option	Enter one of the following options: <ul style="list-style-type: none"> • 1: To enter envelope delivery instructions. • 2: To update delivery instructions. • 3: To view envelope delivery and receive activity.

Money Settlement Totals Screen

Access the Money Settlement Totals screen via option 7 on the Inquiry screen. It allows you to view your account debits and credits for a given date.

Sample Screen

```

QABS                NATIONAL SECURITIES CLEARING CORP          MM/DD/YY
D0002199-00        ENVELOPE SETTLEMENT SERVICES              HH:MM:SS
                   MONEY SETTLEMENT TOTALS - TEST BROKER
                   FOR MM-DD-CCYY

GRAND TOTALS:                (0007)
DEBIT:                100.00 (0001)
CREDIT:                21.00 (0006)

*****

ESS TOTALS:                (0007)    DSS TOTALS:                (0000)
DEBIT:                100.00 (0001)    DEBIT:                0.00 (0000)
CREDIT:                21.00 (0006)    CREDIT:                0.00 (0000)

FOSS TOTALS:                (0000)    IESS TOTALS:                (0000)
DEBIT:                0.00 (0000)    DEBIT:                0.00 (0000)
CREDIT:                0.00 (0000)    CREDIT:                0.00 (0000)

PF6: PREV SCREEN          PF8: EXIT FUNCTION
PF7: MAIN MENU           PF9: SIGN OFF
    
```

Field Descriptions

This field	Displays
Grand Totals Debit	The total daily dollar amount of debits from your account and the total daily number of envelopes received (in parenthesis).
Grand Totals Credit	The total daily dollar amount of credits to your account and the total daily number of envelopes delivered (in parenthesis).
Debit	The total dollar amount of debits from your account and the number of envelopes received per settlement mode (in parenthesis).
Credit	The total dollar amount of credits to your account and the number of envelopes delivered per settlement mode (in parenthesis).

Pickup Detail

The Pickup Detail screen allows you to view information about envelopes picked up by your messenger.

Sample Screen

```

QAAT                NATIONAL SECURITIES CLEARING CORP                MM/DD/YY
D0002199-00        ENVELOPE SETTLEMENT SERVICES                    HH:MM:SS
                   PICK UP DETAIL

PICK UP REF NO: 0108900012      TOT SETTLE AMT: 6,000.00
PICKED UP: MM/DD/YY - HH:MM:SS  MESSENGER: 0000001234
ASSOCIATE: D000002345

      ENV ID      SETTLE AMOUNT      CREDIT LIST      DLVR      RECV DATE/TIME
      -----      -
01)  211111110      2,500.00      0108900010      123      MM/DD/YY - HH:MM
02)  X11111110      3,500.00      0108900011      234      MM/DD/YY - HH:MM

PF6: PREV PF7: MENU PF8: EXIT PF9: SIGN OFF PF10: BKWD PF11: FWD

```

Field Descriptions

This field	Displays
Pick Up Ref No	The reference number of the pickup.
Tot Settlement Amt	The total settlement amount.
Picked Up	The date and time the envelope was picked up.
Messenger	The identification of the messenger who picked up the envelope.
Associate	The identification number of the NSCC Central Delivery employee who processed the pickup.
Env ID	The envelope identification number.
Settle Amount	The envelope settlement amount.
Credit List Number	The identification of the credit list by which the item was received.
Dlvr Broker	The member number of the delivering broker.
Recv Date/Time	The date and time that the credit list was time stamped by NSCC Central Delivery.
	<p>Note</p> <p>- Time may vary slightly from the time stamp on the credit list.</p>

Messages

You may encounter the following messages when using the ECSP function. Messages are listed in alphabetical order, along with an explanation and suggested resolution for each.

Message Text	Possible Cause	Suggested Resolution
ALREADY AT FIRST PAGE	You have reached the beginning of the envelope list.	Press PF11 to scroll forward for more data.
ALREADY AT LAST PAGE	You have reached the end of the envelope list.	Press PF10 to scroll backward for more data.
CAN NOT REUSE ENVELOPE-ORIGINAL NOT WANTED OUT	An envelope was physically picked up at the window but was not scanned out of the system.	Contact your Relationship Manager to have the envelope scanned out of the NSCC system. Until this envelope is properly scanned out, it cannot be used for new deliveries.
COMPLETE ENTRY	One of the following fields was not filled in: <ul style="list-style-type: none"> • Envelope • Settle Amount • Broker 	Enter data in all three fields for each envelope you want to update.
CREDIT LIST ALREADY RETURNED	You have tried to update a credit list that has already been returned to you by NSCC Central Delivery.	Create a new credit list for delivery on the Delivery Instruction Entry screen.
CREDIT LIST ALREADY VOIDED	You have tried to update a credit list that has already been voided.	You must create a new credit list for delivery on the Delivery Instruction Entry screen. Credit lists are voided by you via updates to the Delivery Instruction Update screen. After a credit list has been updated, a new credit list is generated, and the current credit list is marked as "voided."
CREDIT LIST NUMBER MUST BE GREATER THAN ZERO	You have entered a 0 (zero) in the Credit List Number field.	Enter a valid 10-digit credit list number.
DUPLICATE ENVELOPES NOT ALLOWED	You typed or scanned the same envelope bar code ID in more than one Envelope field.	Delete the duplicate envelope ID and type or scan another envelope ID.
ENTER SELECTION	You did not enter S in the S (select) field on the Envelope Inquiry screen.	Type S next to the envelope in the S field and press ENTER to view credit list or pickup detail information.
ENVELOPE ALREADY ASSIGNED TO THIS CREDIT LIST	The envelope bar code ID entered already exists in the credit list.	Double-check the envelope bar code ID you wish to update or add. The same envelope bar code ID cannot appear twice in one credit list.

Message Text	Possible Cause	Suggested Resolution
ENVELOPE SETTLEMENT AMOUNT CAN NOT EXCEED \$250 MILLION	The individual settlement amount entered for a single IESS mode envelope exceeds the \$250 million maximum.	Contact the broker or clients; the party that initially created the instructions.
FIRST CHARACTER OF ENVELOPE MUST BE AN ALPHA CHARACTER	The first character of the envelope bar code entered was not an alphabetic value (A-Z). Envelope bar code IDs used by NSCC must begin with a letter followed by eight numbers.	Retype the envelope bar code ID starting with an alphabetic value.
INVALID CHECK DIGIT FOR ENVELOPE ID	The last number, or check digit, of the bar code ID you entered is incorrect.	Retype the envelope bar code as it appears on the envelope.
INVALID OPTION	You entered a number other than 1 , 2 , or 3 in the Option field on the Main Menu.	Type a valid option number-- 1 (Delivery Instruction Entry), 2 (Delivery Instruction Update), or 3 (Inquiry)- in the Option field and press ENTER .
INVALID RECLAIM RESPONSE	A value other than Y or N was entered in the Reclamation field.	Enter Y to process the delivery as a reclaim or N to process a normal delivery (not a reclaim).
INVALID SELECTION	You have typed in a value other than S in the S (select) field on the Envelope Inquiry screen.	Type S in the S (select) field next to the envelope.
INVALID SETTLEMENT AMOUNT (FRACTION)	A value other than 0 through 9 was typed in the Settle Amount field after the decimal point.	Type a valid dollar amount in the Settle Amount field after the decimal point.
INVALID SETTLEMENT AMOUNT (WHOLE)	A value other than 0 through 9 was typed in the Settle Amount field before the decimal point.	Type a valid dollar amount in the Settle Amount field before the decimal point.
INVALID SETTLEMENT MODE	An incorrect value was typed into the Settle Mode field.	Type one of the following valid values in the Settle Mode field: <ul style="list-style-type: none"> • ESS • IESS
ITEM HAS NOT BEEN PICKED UP	The envelope you selected has not been picked up yet.	Try again later.
PICK UP NOT FOUND	The envelope you selected has not been picked up yet.	Try again later.
POSITION 2 THRU 9 OF ENVELOPE ID MUST BE NUMERIC	You typed more than one alphabetic value in an envelope bar code ID.	Retype the envelope bar code ID starting with an alphabetic value (A-Z) followed by eight numbers.
RECEIVING BROKER MUST BE NUMERIC	A non-numeric value was typed in the Brkr field on the Credit List screen.	Enter a valid numeric participant number.
RECEIVING BROKER NOT ELIGIBLE	The member number entered in the Broker field is not that of an eligible member.	Enter a valid numeric member number.

Message Text	Possible Cause	Suggested Resolution
TOTAL SETTLEMENT AMOUNT CAN NOT EXCEED \$999 MILLION	The settlement amount of all envelopes entered exceeds \$999 million dollars, the maximum dollar value that can be delivered in a single credit list.	Remove an appropriate number of envelopes to bring the total settlement amount below the \$999 million maximum value.

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For More Information

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