



National Settlement Service (NSS) New Settlement Arrangement Information Form

***Required Fields**

Section 1: Service Description and Form Instructions

The New Settlement Arrangement Information Form is used by a Settlement Agent to provide NSS Central Services Support Staff (CSSS) and the Wholesale Testing Unit with information to create a profile for a new Settlement Arrangement in the NSS test environment or both the NSS test and production environments. If a Settlement Arrangement is established only in the NSS test environment and is later approved by the Federal Reserve Banks for the NSS production environment, the Settlement Agent must submit a new form to set up the Settlement Arrangement in both the NSS test and production environments.

The form must be signed by an individual on the Settlement Agent’s Official Authorization List (OAL) currently on file with the Federal Reserve Banks using an ink signature or an electronic signature that is acceptable to the Federal Reserve Banks. Please retain a copy of the completed form for your records. Any form that is incomplete will be returned to the sender. Each term used, but not defined, in this form has the meaning given to such term in the Federal Reserve Banks’ Operating Circular 12.

For assistance completing this form, please contact CSSS at 1-800-758-9403 or CSSS.STAFF@ny.frb.org.

Send completed forms to CSSS:

Email: CSSS.STAFF@ny.frb.org or Fax: 201-531-3590

Section 2: Settlement Agent and Settlement Arrangement Information

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|---|---|
| Settlement Arrangement Name* | |
| Customer Identification Number (CIN)* <i>(Note: Settlement Arrangement CINs are typically provided by CSSS)</i> | |
| Settlement Agent Name* | |
| To identify the Settlement Agent, please select and provide one of the following* | <input type="checkbox"/> CIN: _____ <i>(Note: Settlement Agent CINs are typically provided by CSSS)</i> <input type="checkbox"/> Routing Transit Number (RTN): _____ <input type="checkbox"/> Electronic Transaction Identifier (ETI): _____ |

Section 3: Settlement File Information

Please provide an estimated number of daily file submissions, anticipated delivery time(s) and anticipated value of each file. The estimated number of daily file submissions and anticipated delivery times and values may be specific figures/times or a range. If the requested information is unknown, please leave this section blank. This section is not applicable if setup is for the test environment only.

| | | |
|--|----------------------------------|-----------------------------------|
| Number of Daily File Submissions | | |
| U.S. dollar value and submission time of each file <i>Note: If daily file submissions exceed 10, please provide data separately.</i> | 1) File Value: _____ Time: _____ | 6) File Value: _____ Time: _____ |
| | 2) File Value: _____ Time: _____ | 7) File Value: _____ Time: _____ |
| | 3) File Value: _____ Time: _____ | 8) File Value: _____ Time: _____ |
| | 4) File Value: _____ Time: _____ | 9) File Value: _____ Time: _____ |
| | 5) File Value: _____ Time: _____ | 10) File Value: _____ Time: _____ |
| | | |

Section 4: Billing Information

The Settlement Agent may receive via the FedMail® service copies of monthly billing statements showing fees for the Settlement Agent and Settlement Arrangement. There are two monthly billing statements available: (1) for electronic access fees (tied to the Settlement Agent CIN, RTI, or ETI) and (2) for NSS fees (tied to the Settlement Arrangement CIN). If the Settlement Agent would like to receive one or both billing statements, please select “Yes” below and click on the link provided to complete and submit separately the required FedMail form for each of the desired statements. Otherwise, select “No”.

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| The Settlement Agent will request monthly billing statements to be delivered via FedMail* | YES <input type="checkbox"/> NO <input type="checkbox"/> <i>If “Yes”, please submit the required FedMail Request Form for each of the desired statements using the following link:</i> https://www.frbservices.org/assets/forms/fedline/fedmailservicechangeform-rv.pdf |
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Section 5: Participant/Settler Information

This section is used to identify the Participant/Settler relationships to include in the Settlement Arrangement profile. If a Settlement File submitted for processing by the Settlement Agent contains a Participant/Settler relationship not included in the Settlement Arrangement profile, the Settlement File will be rejected.

Please provide the name and RTN of each Participant and its respective Settler, if applicable. Please note the following: (1) a Participant may settle its own Balances (i.e., be a Settler) or settle through a Settler; (2) a Settler must be an institution that holds a Master Account with a Federal Reserve Bank; (3) a Participant that does not hold a Master Account with a Federal Reserve Bank must settle through a Settler; (4) a Settler may settle for more than one Participant: it may settle for both itself and one or more other Participants; and (5) a Participant may use only one Settler to settle its Balances within a Settlement Arrangement. If all Participant/Settler relationships do not fit on this form, please submit as many additional completed copies of this form as needed.

Changes to Participant/Settler relationships for an existing Settlement Arrangement must be made using the Participant/Settler Update Form (NSS-03).

Section 6: Authorization

The undersigned is submitting this form on behalf of the Settlement Agent identified in section 2.

The signer of this form must appear as an authorized individual on the Settlement Agent's OAL currently on file with the Federal Reserve Banks.

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|---|---------------------|--------------|------------------|
| Authorized Signer Name* | <i>First</i> | <i>MI</i> | <i>Last</i> |
| Authorized Signer Title* | | | |
| Authorized Signer Email Address* | | | |
| Authorized Signer Phone Number* | <i>Country Code</i> | <i>Phone</i> | <i>Extension</i> |
| Authorized Signature* | | | |
| Date* | | | |

NSS Staff Use Only

Updated By: _____ Verified By: _____ Date: _____

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