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## IPS Web Services Technical Reference Guide

### Attachments Process

### Participant Checklist

The following information will provide DTCC Participants an overview of the requirements for establishing connectivity for processing Insurance Processing Service (IPS) Attachments.

#### ***Test Set-up:***

1. Participant submits the IPS Product Update Form (PUF). The IPS PUF is located in the Participant's Section of the IPS Web Site: <http://www.dtcc.com/forms/product-request-form>, under the Product & Trading Relationships Section, indicating the product set-up in Test for Attachments. ([See Exhibit 1.](#))
2. Implementation Representative initiates a conference call with the Participant within 24 hours of receipt of the IPS PUF to discuss connectivity requirements that include Web set-up for Day One.
3. Implementation Representative emails the Router Exchange Form (REF)\* to the designated technical contact at the Participant within 24 hours of receipt of the IPS PUF. The technical contact then completes the following sections of the form:
  - **A through D** ([See Exhibit 2.](#))
  - **I - Attachments Information for Participants** ([See Exhibit 3.](#))

\* The REF is the DTCC form that is used to set up connectivity via the DTCC SMART Network. Participants are required to complete this form prior to the actual connectivity set-up. The REF refers to all of the necessary information required for router and firewall configuration set-ups.

- The REF provides the application URLs and IP Address in order to send inbound and outbound transactions. Participants will need to provide the IP Addresses that the transmission will be sent from so DTCC can configure accordingly. In addition, Participants will need to provide DTCC with one or two URLs:
  - **Test URL – Message Level Security (MLS) – if required**
  - **Test URL – Non-Message Level Security**

**For assistance in completing the REF, please email [nscconnectivity@dtcc.com](mailto:nscconnectivity@dtcc.com)**

4. Once completed, Participant emails the REF to [nscconnectivity@dtcc.com](mailto:nscconnectivity@dtcc.com) and cc's (copies) the Implementation Representative and Relationship Manager. If the Participant does not return the REF within three (3) business days to DTCC, Implementation will follow-up with the Participant. When NSCC Connectivity opens a ticket to request the set-up, the Participant will receive an email from NSCC Connectivity with a ticket number, which will be the reference number for this request for the life cycle of the implementation process.
5. NSCC Connectivity then forwards the REF to Network Engineering & Operations (NEO) to complete the Router and Firewall requirements.
6. NEO will contact the Participant once the Router and Firewall set-ups have been completed to test that connectivity has been established. The estimated turnaround time is one (1) week.
7. Implementation Representative confirms that the connectivity set-up with the Participant has been completed.
8. Once completed, Implementation Representative will complete a request on your behalf for a DTCC Digital Certificate to our Registration Support Group (RSG). This is required for two purposes:
  - a. For firms sending messages to DTCC, a digital certificate must be installed in your system as part of the B2B messaging process.
  - b. For firms receiving messages from DTCC, a digital certificate must be installed to gain access to the DTCC Portal web screens. This will allow an operator at your firm to update your own Attachment Receiver Control Table. The table will provide you capability to control what firms send you messages and the type of business transaction that will allow.
9. RSG contacts the Participant to walk through the registration process to download the Digital Certificate.
10. Participant is ready to submit/receive test files.

## ***Production Set-up:***

1. For migration to the Production environment, the Participant is required to submit a new IPS Product Update Form indicating the product set-up in Production for Attachments. ([See Exhibit 4.](#))
2. Participant will include the Production URL on the IPS Product Update Form.
3. Implementation Representative will contact the Participant to confirm that connectivity set-up in Production has been completed.

**\*Note: Any changes to the Test and/or Production IP Addresses require the submission of a new REF to: [nscconnectivity@dtcc.com](mailto:nscconnectivity@dtcc.com) and cc's (copies) the Implementation Representative and Relationship Manager.**

**\*\*Any questions regarding the Digital Certificate, please contact RSG at 888-382-2721, Option 5, then 2 or [webrsg@dtcc.com](mailto:webrsg@dtcc.com).**

**\*\*\*GEOTRUST is one of two types of Digital Certificates used by DTCC systems for authentication purposes:**

- **GEOTRUST Certificates are currently used on all applications that require a Digital Certificate;**
- **GEOTRUST Certificates expire after one (1) year, but the system has logic to automatically re-issue before the expiration;**
- **GEOTRUST Certificates can be issued by the Registration Support Group (RSG) at this time with appropriate authentication and approval;**
- **GEOTRUST Certificates will be able to be reissued by Access Coordinators at the end of July due to system enhancements;**
- **GEOTRUST Certificates are installed locally; meaning when a customer moves to another computer, the Digital Certificate is not necessarily available on the new machine unless there is a network provision.**

**Exhibit 1:**

**DTCC SMART Router Information Exchange Form**

The information in this document should be kept strictly confidential and its distribution is on a "need-to-know" basis only. For assistance please contact Participant Interface Planning at 1-888-382-2721 option 1.3.

Please read the following before proceeding.

Once the appropriate sections are completed please return to: [PIPS@DTCC.COM](mailto:PIPS@DTCC.COM)

Date: \_\_\_\_\_

**A - Request Type (Check one):**

| New                      | Add                      | Change                   | Delete                   |
|--------------------------|--------------------------|--------------------------|--------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

**B - Indicate What Entities You Need Access to:**

| DTCC                     | NSCC                     | Omgeo                    | FICC                     |
|--------------------------|--------------------------|--------------------------|--------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

**C - Client Information:**

|   |  |
|---|--|
| <b>Company Name:</b>                        |  |
| <b>Company Participant #:</b>               |  |
| <b>Company Address:</b>                     |  |
| <b>DTCC Circuit ID or Circuit Location:</b> |  |

**D - Client Contact Information:**

|   | Primary Site |       |           | Contingency Site |       |            |
|---|--------------|-------|-----------|------------------|-------|------------|
| Contact Types                                 | Name         | Tel # | Email Add | Name             | Tel # | Email Add. |
| <b>Technical:</b>                             |              |       |           |                  |       |            |
| <b>Network Operations:</b>                    |              |       |           |                  |       |            |
| <b>Application Support &amp; Development:</b> |              |       |           |                  |       |            |

**Exhibit 2:**

**Participants - Complete Client Host Sections:**

| DTCC Host                |                    |            |          |             | Client Host |             |          |
|--------------------------|--------------------|------------|----------|-------------|-------------|-------------|----------|
| APPL.                    | System             | IP Address | TCP Port | Subnet Mask | IP Address  | Subnet Mask | TCP Port |
| <b>Attachments</b>       |                    |            |          |             |             |             |          |
| <b>Sender (inbound):</b> |                    |            |          |             |             |             |          |
| <b>DNS URLs</b>          |                    |            |          |             |             |             |          |
|                          | PROD<br>PSE (TEST) |            |          |             |             |             |          |

| DTCC Host  |        |            |          |             | Client Host |             |          |
|--|--------|------------|----------|-------------|-------------|-------------|----------|
| APPL.  | System | IP Address | TCP Port | Subnet Mask | IP Address  | Subnet Mask | TCP Port |
| <b>Attachments</b>   |        |            |          |             |             |             |          |
| <b>Recipient (outbound):</b>   |        |            |          |             |             |             |          |
| <b>URL Information (Carrier must provide URR – DTCC will initiate an outbound connection to the URL provided)</b>                |        |            |          |             |             |             |          |
| <b>PSE (Test) URL:</b><br>_____  |        |            |          |             |             |             |          |
| Note: Production URL's will be provided to Implementation in a separate request at the time you are ready to go into production. |        |            |          |             |             |             |          |

## FAQs

1. **Why do I need to complete a Router Exchange Form (REF)? I believe that I already completed one.**

Answer – You are correct. When connectivity to your circuit was originally set up, you needed to complete an REF. At that time, Fund Transfers was not an application that was being implemented for your connectivity profile. You and DTCC need to exchange IP Addresses for this new host application (Attachments). This way the IP Addresses can be configured properly and enabled to our routers and firewalls. You will also need to enable DTCC IP Addresses through your firewalls.

2. **Is there a fee for adding Attachments to my circuit?**

Answer – DTCC does not charge additional connectivity fees for additional applications to an existing circuit.

3. **Do we need to update our membership to start utilizing Attachments?**

Answer – No. If you are approved for IPS Membership, no additional documentation is required for Attachments.

4. **Do I need to have the Attachments product set up in the Test region prior to going live in Production?**

Answer – No. You can go directly into Production.

5. **What is the implementation timeframe for the Attachments product?**

Answer – The estimated timeframe for Attachments is ten (10) business days from receipt of the REF through implementation.

6. **What is the difference between a DNS URL and a non-DNS URL?**

Answer – A DNS URL contains a name whereas a non-DNS URL contains an IP Address.