

# IMPORTANT NOTICE

**National Securities Clearing Corporation**



**A#:** 6926  
**P&S#** 6496  
**Date:** January 4, 2010  
**To:** ALL PARTICIPANTS  
**Attention:** **MANAGING PARTNER/OFFICER, OPERATIONS PARTNER/OFFICER, COMPLIANCE OFFICER, DIRECTOR OF OPERATIONS, MANAGER CUSTOMER ACCOUNT TRANSFER DEPARTMENT, MANAGER MARGIN DEPARTMENT, DATA PROCESSING MANAGER**  
**From:** LOUIS LEPORE  
**Subject:** ACATS/IPS MODIFICATIONS

Effective March 26, 2010, National Securities Clearing Corporation (NSCC) will make the following editing modifications to the Owner Date of Birth (DOB) field on the Automated Customer Account Transfer Service (ACATS) Variable and Fixed Insurance Registration (IR) records. Members are expected to make the necessary systems changes to support these modifications.

The modifications are as follows:

- The edit of the **Owner Date of Birth (DOB)** field (Variable IR - 36667- bytes 735-742 / Fixed IR - 32267, Record 11, bytes 43-50) will be discontinued when there is a **value of 3** – **“Custodial to Non Custodial”** in the **Transfer Type Field** (Variable IR 36667- Bytes 71-72 / Fixed IR -32267, Record 1, bytes 67-68)
- A new edit will be added to the **Owner DOB field** (Variable IR -36667 - bytes 735-742 / Fixed IR – 32667 -Record 11, bytes 43-50) whereby it will be a required field only when there is a **value of N** – **“Natural”** in the **Owner Natural/Non-Natural Indicator field** (Variable IR – 36667- byte 469 / Fixed IR – 32267 Record 7, byte 7) . Additionally, if the value in the **Owner Natural/Non-Natural Indicator field** is populated with **“X”** – **Non- Natural** and the **Owner DOB field** is populated, ACATS will **provide spaces** in the Owner DOB field on all output records

## **Participant Services Environment**

Beginning February 26, 2010 testing of these modifications will be accommodated in the Participant Services Environment (PSE) region. Members wishing to test must contact the Enterprise Service

Center (ESC) by calling the NSCC Production Support Hotline at 888-382-2721, option 6, then option 7, then option 3. It is recommended at least three days prior notice be provided to ESC.

**Additional Information**

A copy of this Important Notice can be obtained from the NSCC Important Notices section of DTCC's web site at [http://www.dtcc.com/legal/imp\\_notices/](http://www.dtcc.com/legal/imp_notices/). If you have any questions regarding these enhancements, please contact your DTCC Relationship Manager or the undersigned at (212) 855-4223.

Louis J. Lepore  
Manager  
Product Marketing and Development