

DTCC Insurance & Retirement Services

E-NEWS • December 2010

Happy Holidays!

On behalf of the entire I&RS Team, I would like to take this time to say "Thank You" for your continued support, partnership and friendship during this past year. As we look forward to some exciting opportunities in the New Year for our industry, I would like to wish you and your families a very safe and happy holiday season. – *Len Schmitt, Group Director-Relationship Management*

Update on Senior Advisory Board Meeting

DTCC Insurance & Retirement Services' (I&RS) Senior Advisory Board (SAB) met in mid-September for two days of discussions with DTCC management and staff, exchanging ideas and information on strategic planning, development, automation and standardization to comply with the new regulatory expectations, increase product adoption (by utilizing our web access platform which has no development costs or efforts) as well as implementing our new innovative opportunities, Insurance Data Solutions and Analytic Reporting. For additional details, please contact your relationship manager.

NAIC Carrier Training

DTCC Insurance & Retirement Services has been asked by its Senior Advisory Board (SAB) and the industry Operations Managers' Roundtable (OMR) to explore opportunities to create centralized and standardized data communication solutions to support the impending NAIC Model Regulations surrounding carrier product training and suitability. DTCC has produced a phased proposal including short and longer term options to support these requirements and is now in the process of conducting advisory discussions. Interested parties should contact Lana Macumber at (515) 462-3488 or lmacumber@dtcc.com

CUSIP Profile

DTCC I&RS has launched a new automated CUSIP update system called "CUSIP Profile." CUSIP Profile will be faster and more secure, with less chance of manual input error. Beginning in early Q1 2011, firms should no longer submit manual CUSIP updates via the Web and email, but instead, switch to CUSIP Profile. Please contact your relationship manager for more details.

Message from the Managing Director

Please be sure to visit our website for an updated message from Adam Bryan, Managing Director, DTCC Insurance & Retirement Services. Here, Adam will share with you his vision and challenges for the industry in 2011.

Customer Satisfaction Survey

Thank you to those customers and partners who contributed to our 2010 DTCC Customer Satisfaction Survey. Your feedback is greatly appreciated. We value your input and strive to continually meet your needs.

Stay Connected with Insurance & Retirement Services

We continue to look for ways to keep our customers and the industry connected to news and information related to our business. If you are a twitter user please be sure to follow us at www.twitter.com/dtccinsurance. We also have created a LinkedIn group that can be found here. Simply request to join the group. We thank you for your continued support.

New Clients for Fall 2010

- Hightower Securities- IBD 6017
- Hightower LLC- RIA 6018
- Heim, Young & Associates, Inc. IBD 6021
- Investors Capital Corp. IBD 6016
- Harmon Financial Advisors- IBD 6022
- United Planners- IBD 6008
- Country Trust Bank/CMCC- IBD 5185

Upcoming Events We Are Attending

- IRI Marketing Conference:
January 31 - February 2, 2011
- FSI Broker Dealer Conference:
January 31 - February 2, 2011

For more information on the services listed in e-news please be sure to visit our website at: <http://www.dtcc.com/products/insurance>

We may provide you with additional information about our products and services from time to time. If at any time you wish to be removed from our distribution list, please send an e-mail to privacyoffice@dtcc.com.



The Depository Trust &
Clearing Corporation

DTCC Insurance & Retirement Services are provided by
National Securities Clearing Corporation, a DTCC subsidiary.

