

e-news DECEMBER 2011**HAPPY HOLIDAYS!**

On behalf of the entire I&RS Team, I would like 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*

PRODUCER PORTAL INITIATIVE & PRICING INCENTIVE

Plans are underway to create a centralized messaging platform to support point-of-sale training authorizations, which includes a discounted pre-paid transaction program. Participation in this program will be offered until March 31, 2012. If you are interested in participating or learning more about DTCC's multi-phased initiative for producer training, please contact your relationship manager or Lana Macumber at (515) 462-3488 or lmacumber@dtcc.com.

SELF HELP OPTIONS

Did you know there are several ways to answer some of your questions without even having to call DTCC?

- **Messaging Dashboard:** View the status of your Fund Transfer and Attachment messages
- **CUSIP Profile:** Update, Browse, and Add CUSIPS in real time
- **DTCC WebDirect Super Access Coordinator:** Ability to control your own portal with internal users for transaction processing, reports, activity and billing research.
- **Insurance Website:** See what I&RS is

up to. You can see our client communications, submit product requests, view record layouts and standard usage as well as the main contacts for all of your trading relationships – just to name a few features.

However, DTCC is always available to answer any other questions you may have.

For business related questions – please reach out to your relationship manager. For technical support of file transmissions please contact our customer support line at 888-382-2721 options 6,7 & 2.

SENIOR ADVISORY BOARD MEETING

The I&RS Senior Advisory Board (SAB) met in October 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 industry needs. For additional details, please contact your relationship manager.

UPDATE: ANALYTIC REPORTING FOR ANNUITIES-CURRENTLY BEING USED BY 7 PARTICIPANTS!!!

Analytic Reporting for Annuities is the powerful new online application offered by I&RS that delivers anytime, anywhere access to your firm's sales information and relationships. The first service of its kind from NSCC, Analytic Reporting for Annuities uses data from the actual transactions your firm submits to NSCC by aggregating the daily transactions in the Financial Activity Reporting (FAR) file. We are happy to answer any questions you might have about this service. If you are interested in learning more about this service, or participating in our free trial, we would be happy to set up a demo specific for your firm. Please contact your relation-

ship manager. Also, for additional information on this service, we have also added a new page to our web site: www.dtcc.com/analytics

UPDATE: OFAC RECONFIRMATION PROCESS

Members and Limited Members are required to provide NSCC with an OFAC confirmation every two years. Important Notice #A7283 on September 13, 2011 announced the launch of the OFAC Confirmation application which is accessible via the Self-Service Customer Confirmation product on the DTCC Customer Portal. The OFAC confirmation application will allow Members and Limited Members to provide their OFAC confirmation electronically and view the history of submissions to NSCC via the DTCC Customer Portal. The OFAC Confirmation application is intended to simplify the recertification process for the OFAC Officer. Members or Limited Members that wish to Certify Manually can do so by submitting a signed certification, however Members or Limited Members that fail to provide the electronic or hard copy confirmation of an OFAC Program on or before the expiration date of the prior OFAC certification will be subject to a \$5,000 fine. For more information, please contact your relationship manager.

UPCOMING CONFERENCES

OneVoice 2012: FSI Broker-Dealer Conference, January 23-25, 2012: Orlando, Florida

NEW CLIENTS FOR WINTER 2011

- First Investors Corporation – 5146
- Symetra Investment Services, Inc – 0427
- Insurance Technologies, LLC – 6407

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