

DTCC Insurance & Retirement Services

E-NEWS • February 2011

March Enhancement Release

The March Release will be available for testing starting on February 24, 2011. The migration to production is scheduled for Thursday, March 24, 2011. The products that will be included are APP/SUB, FAR, IFT and POV. Due to enhancements being made to support the new NAIC Model Regulations regarding producer training, LNA enhancements will be migrated in April. A separate notice of planned enhancements and migration dates will be provided in late February. In a recent announcement, ACORD now publishes DTCC's fixed formats in its own standards library on the ACORD Website (www.acord.org). ACORD will update its website to align with the DTCC I&RS maintenance release. Please contact your Relationship Manager if you have further questions.

Submission of Financial Reports

NSCC Carrier participant members are required to submit updated financial information as required by the NSCC member agreement. These financial statements are known as "blue books" and should be submitted electronically to Credit-MarketRisk@dtcc.com by June 7, 2011. If you have any questions, please contact Natalie Wood at 212-855-3679 or nwood@dtcc.com or Patti Elliott at 212-855-3664 or pelliott@dtcc.com.

Analytic Reporting Pilot

I&RS' Analytic Reporting is now in the pilot phase, with 14 firms participating in our pilot. These firms will be testing the tool's various functions and providing feedback to I&RS, our SAB and the Analytic Advisory Board. The Analytic Advisory Board is continuing to meet, address and define best practice procedures for the service. Stay tuned for further updates.

CUSIP Profile

As previously communicated, the CUSIP Update Form has been discontinued as of January 18, 2011. In order to update any CUSIP information, you must utilize CUSIP Profile. Please make sure those responsible at your firm are set up with Super Access Coordinators and Access Coordinators in order to obtain access. For more information, please contact your relationship manager.

New Clients for January 2011

PREFERRED PRODUCT NETWORK, INC – BGA 4742

CEROS FINANCIAL SERVICES, INC – BD 5331

FORETHOUGHT INSURANCE CO – Carrier 5339

COMING SOON – My Access!

My Access is the new home for Insurance Web applications currently accessed from the DTCC Portal. The new page will be available starting on March 24, 2011. My Access will provide you with a new user-friendly interface to access all your insurance applications. Stay tuned for more details on an upcoming webinar.

Access Platform

DTCC I&RS offers a low cost, low effort, direct desktop connection to CORE solutions to quickly streamline your annuity/insurance processing. I&RS has launched the Access Platform, which allows distributors to submit their transactions to the majority of the industry's largest carrier partners. To learn more about the services provided on the Access Platform, we will be hosting an industry demo in the near future. Stay tuned for further information.

DTCC I&RS Status Calls with your RM

New for 2011, your I&RS Relationship Manager will be hosting a series of status calls for clients to discuss the various initiatives and updates for the current projects DTCC I&RS is working on. As always, we welcome your input and feedback. This call is your firm's opportunity to address any issues you may have, and make suggestions on topics you wish to learn more about.

Winter IQ Newsletter

Shortly we will be distributing the winter edition of our quarterly Insurance & Retirement Services newsletter. In this issue we cover a wide array of topics in an effort to keep you updated on our business activities. If you would like a copy of IQ or if your firm is interested in contributing articles to this publication, please contact Danielle Callan at 212-855- 5702 or dcallan@dtcc.com.

Upcoming Events We Are Attending

- 2011 BISA Annual Convention
March 5-8 – Hollywood, FL
- 2011 iPipeline Connections
March 9-11 - Las Vegas, NV
- IRI Operations and Technology Conference
March 13 – 15 – St. Petersburg, FL
- RIIA 2011 Spring Conference
March 21-22 - Chicago, IL

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