

e-news FEBRUARY 2012**FEBRUARY IS
DTCC I&RS' NAIC TRAINING MONTH**

If you do not yet use LNA or LNA Access today, did you know you can use these services to automate and standardize the flow needed to manage producer training information?

If you do use LNA or LNA Access, did you know you can leverage your existing LNA or LNA Access services with DTCC to track producer training completions?

To learn more about what we have done in 2011 and into 2012 to enhance LNA and LNA Access, join DTCC Insurance & Retirement Services (I&RS) this month as we reach out to all of our clients through emails, phone calls and webinars. Our goal is to help you satisfy your own business needs to manage your producer training information to comply with the new NAIC regulations. For more information, please contact your relationship manager.

NAIC PHASE 3 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.

UPCOMING CONFERENCES

- BISA Annual Convention –
March 4-6, 2012: Hollywood, Florida
- IPipeline Conference –
March 28-30, 2012: Las Vegas, NV

**ANALYTIC REPORTING FOR ANNUITIES
CURRENTLY BEING USED BY 9 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 DTCC, Analytic Reporting for Annuities uses data from the actual transactions your firm submits to DTCC, aggregating the daily transactions in the Financial Activity Reporting (FAR) file. If you are interested in learning more or participating in our free trial, we are happy to set up a demo specific for your firm. Please contact your relationship manager if you have any questions about this service. For additional information, please visit our www.dtcc.com/analytics.

**IMPORTANT UPDATE:
OFAC RECONFIRMATION PROCESS**

Members are required to provide NSCC with an OFAC confirmation every two years. 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.

PENSION WORKING GROUP

As you may already know, for the first time the U.S. Department of Labor's Employee Benefits Security Administration is establishing a specific fee disclosure obligation for plan service providers. This disclosure obligation is designed to ensure that ERISA plan fiduciaries are provided the information they need to make better decisions when selecting and monitoring service providers for their plans. The compliance deadline for these new rules is April 1, 2012.

In response to this initiative, DTCC I&RS is establishing a participant working group to help distributors get the necessary information to comply with these new regulations. Please contact your relationship manager if you wish to join this working group, or would like further information.

**NOTIFICATION OF MATERIAL CHANGES
FOR MEMBERS**

As you are aware, Members and Limited Members of NSCC are required to notify DTCC of Material Changes. These changes include, but are not limited to, material changes in ownership, control or management, material changes in business lines, including new business, mergers, acquisitions, formation/charter changes, etc. Member firms are required to submit written notification at least 90 calendar days prior to the effective date of such event. Unless the member demonstrates that it could not have reasonably given notice within such time-frame, it may be subject to possible fines for failure to do so. Please contact your relationship manager for further information.

MARCH 2012 ENHANCEMENT RELEASE

An I&RS enhancement release will go into PSE on Thursday, February 23, 2012 and into Production on Thursday, March 22, 2012. This release will include changes to APP/SUB, COM, FAR, IAT, ICP, LNA and POV. For more information please visit the enhancement section of our website. Please contact your relationship manager if you have any questions regarding the upcoming enhancement release.

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