

DTCC Insurance & Retirement Services

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Attachments Fact

We would like to remind participants that the Attachments new business message has the ability to also move trust documents. This is a very common issue that BD's have on both the annuity and life side (i.e. marrying the order to the trust document) as many insurance companies want to see certain trust documents. For more information on our attachments service, click [here](#).

Analytics Reporting

I&RS is exploring opportunities for leveraging aggregated data derived from the processing of annuity transactions. The resulting information would provide distributors, investment managers and carriers with detailed information on their own business performance and the ability to perform benchmarking. Users stand to benefit from cost savings, enhanced management capabilities, improved competitiveness and improved business performance as a result of this initiative. An advisory group is being formed to help determine how data should be used and what information should be presented, and we want customers and potential users to be represented in this group. The first meeting is planned for July. For further information, or to participate on the advisory group, please contact your I&RS relationship manager.

Replacements

I&RS Replacement Processing is now available for participant testing in our dedicated testing environment. Replacement Processing pilot participants comprised of AXA, Aegon/ TransAmerica, Hartford, Merrill Lynch, MetLife, New York Life, Prudential, and Sun Life are in various stages of analysis and development as they prepare to begin testing in 2011. The pilot group is continuing to meet, address and define best practice procedures for the service. I&RS is preparing to submit the Replacement Processing Rule Filing to the SEC and also include the Replacement Processing Rules within Rule 57 of the NSCC Rules and Procedures document. The Replacement Processing [Fact Sheet](#) is on our web site. Carriers and distributors who are interested in receiving more information on this service should contact your I&RS relationship manager.

New Clients for May/June 2010

6011 Private Client Services
6012 Financial Advisors of America
6013 Leigh Baldwin & Co. LLC
0614 Hantz Financial Services, LLC

Upcoming Events We Are Attending

7/13 – 7/16 IRI Ops and Tech Conference
7/19 – 22 Insurance Technologies User Conference & Customer Matters

New Solution Provider Directory

Over the last several months we have made a number of enhancements to our Solution Provider Directory. Solution providers are an integral part of insurance carrier, broker/dealer, and DTCC I&RS straight-through-processing initiatives. As a solution source and central connection for the industry, we partner with many service bureaus and vendors that provide solutions to facilitate the use of our services. In this section of our website, we list Solution Providers that have provided a value-add solution to one or more of our participants. Click [here](#) for more information.

Introducing Data Solutions

The I&RS team is working on developing a central, standardized repository for industry data sourcing that will support pre-sale, issue and post-issue processing and supervision. The warehouse product, called Data Solutions, will be a centralized source for carrier upload and storage of common industry data such as prospectus product data, producer licensing and appointment data, fixed interest rates, rules vetting for the access platform to ensure in-good-order transaction processing, asset pricing and underlying fund identifiers which allow for a common source for consumer access. For additional information, please contact your I&RS relationship manager.

Access Platform

In 2008, the first product launched on the Access Platform was LNA Access, which provides a web-based method of inputting licensing and appointment requests for firms that preferred to use on-line tool rather than file based transmissions. Approximately a year later, IFT Access was rolled out to support brokerage identification number (BIN) changes and representative of record (REP) changes, including a spreadsheet upload feature to supports higher volumes. Both products have demonstrated strong growth for this new input platform, especially LNA Access. LNA Access has the support of nearly 20 carriers and volumes are steadily rising as adoption continues to grow. IFT Access has over 10 carriers supporting it and adoption is growing for the spreadsheet upload functionality. I&RS continues to focus on the growth of its web-based Access Platform and will continue to roll-out products to drive electronic transactions and move the industry forward. If you are interested in a demo, please contact your I&RS Relationship Manager.

More Ways to Stay Connected with I&RS

We are working hard 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, and your request will be approved within 48 hours. We thank you for your continued support.

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.



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