

# DTCC Insurance & Retirement Services

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## Submission of Financial Reports

NSCC Carrier participant members are required to submit updated financial information as required by the NSCC member agreement. The deadline for submission of these reports is on June 7, 2011. If you have any questions, please contact Natalie Wood at 212-855-3679 or [nwood@dtcc.com](mailto:nwood@dtcc.com) or Patti Elliott at 212-855-3664 or [pelliott@dtcc.com](mailto:pelliott@dtcc.com).

## Customer Service Award - 100% Overall Value

The Insurance & Retirement Services team was recently chosen as the DTCC business unit with the highest overall value score based on the 2010 Customer Survey Results. This is not just "our" team award. We want to take this opportunity to acknowledge and express appreciation to you, our customers: it was your input to the surveys, your feedback on our performance, and your willingness to participate on all of our user groups, pilot groups and industry advisory boards that helped us achieve this honor and recognition. Putting customers first is ingrained in our culture, and is the heart of the I&RS business model. We aim to deliver — to both our clients and to the industry — the products and services that provide greater efficiencies, measurable quality, significance, and most of all, value. So once again, we would like to say a heartfelt "thank you" to all of you who made this award possible.

## 2011 Business Continuity Planning Testing

Firms that have been identified to conduct required connectivity testing between their alternate locations and DTCC in 2011 based on activity levels with NSCC, please contact our PIP group to schedule and/or confirm your testing at 1-888-382-2721, Option #5; Technical Issues, then Option #3; Disaster Recovery Planning or email [pipdr@dtcc.com](mailto:pipdr@dtcc.com). We plan to complete all connectivity testing by October 31, 2011 however; all testing is required to be complete by December 31, 2011. We appreciate your attention to this important business continuity effort and if you have any questions or concerns, please contact your relationship manager.

## CUSIP Profile

As previously communicated, the CUSIP Update Form has been discontinued as of January 18, 2011. CUSIP Updates must now be made through 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.

## Customer Service 2011 Satisfaction Survey

It is that time of year again for the Customer Satisfaction Survey! We strongly urge those of you who receive the survey to complete it, as this

is an important mechanism for DTCC to measure our success and/or uncover areas for improvement. Your input is very valuable as we strive to continually meet your needs.

## NSCC AML/KYC Process

As part of DTCC's anti-money laundering (AML) program, an enterprise-wide Know Your Customer (KYC) program has been developed. This program has been designed to satisfy requirements to develop a Customer Identification Program, consistent with Section 326 of the USA PATRIOT Act, as well as Section 312 and other AML requirements. DTCC is currently conducting reviews of its existing participants to ensure that all KYC information and documentation meet the requirements of the DTCC enterprise-wide KYC program in a consistent manner. In January 2011, we began collecting this information and documentation for participants of NSCC. We expect this effort to update the existing NSCC KYC information and documentation to meet the new standards will take place over 16 to 18 months. You may have already received a request for this information and documentation as part of this effort. If you have not, you will receive the request in the coming months. If you have any questions about this process, please contact your relationship manager.

## New Clients for 2011

- PREFERRED PRODUCT NETWORK, INC - *BGA 4742*
- CERIOS - *BD 5331*
- FORETHOUGHT INSURANCE CO - *Carrier 5339*
- SIGMA FINANCIAL - *IBD 5346*
- UNITED OF OMAHA LIFE INSURANCE COMPANY - *Carrier 6027*
- PINNEY INSURANCE CENTER - *IA 6028*
- SAMMONS SECURITIES - *IBD 5347*
- CAPITAL INVESTMENT BROKERAGE, INC. - *IBD 0588*

## Upcoming Events

- **ACORD LOMA Insurance Systems Forum**  
May 22-24, 2011 – San Diego, CA
- **IRI Government, Legal & Regulatory Conference**  
June 26-28, 2011 – Washington, D.C

## 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. Please follow us on [Twitter](#) and join our group on [LinkedIn](#).

*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](mailto:privacyoffice@dtcc.com).*



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