

**e-news** NOVEMBER 2011**ANALYTIC REPORTING:  
"MODEL OF EXCELLENCE" AWARD WINNER**

InfoCommerce Group presented DTCC with a "2011 Model of Excellence" award for its new online Analytic Reporting for Annuities service at the Data Content 2011 conference on November 3 in Philadelphia. "The data publishing industry continues to innovate, with smarter products that do more for the user by curating, arranging and delivering information in ways that the search engines can't," said Russell Perkins, Founder and Managing Director of InfoCommerce Group. "The impetus behind the Models of Excellence was to answer the one question our firm is constantly asked, 'Who's doing it right?' Analytic Reporting for Annuities, produced by The Depository Trust & Clearing Corporation, is an excellent use of aggregated transactional data to create a powerful new analytical data product."

**DTCC NEW BRAND IDENTIFICATION**

DTCC's familiar blue and yellow swirl is now part of our history. The new visual identity with its bold DTCC wordmark is intended to express strength, reliability, trustworthiness, expertise and connectedness to the industry. Our brand identity statement – "Relentlessly Protecting Tomorrow" – expresses our core belief about who we are, and the motivating idea that drives us to take action. It forcefully conveys our ongoing, deep-seated commitment to the highest level of risk mitigation and cost effectiveness to meet today's challenges and the challenges of the future.

**NAIC PRODUCER TRAINING SUPPORT**

I&RS has introduced a new LNA functionality to support training completions from

carriers to their distributors, and will offer a downloadable training completion report to distributors through the Access platform. In addition, plans are underway to create a centralized messaging platform to support point of sale training authorizations. For more information regarding DTCC's multi-phased initiative for producer training, please contact your relationship manager or Lana Macumber at (515) 462-3488 or [lmacumber@dtcc.com](mailto:lmacumber@dtcc.com).

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

**UPDATE: ANALYTIC REPORTING FOR ANNUITIES**

I&RS recently announced a new collaboration with the Retirement Income Industry Association (RIIA). Under the arrangement, DTCC will provide information from its Analytics Reporting for Annuities service to RIIA on inflows, outflows and net flows of the top carriers and products in each of six broker/dealer distribution channels defined by RIIA. The information will complement the information that I&RS Members can obtain directly from Analytic Reporting, allowing them to conduct new levels of benchmarking in each distribution channel. RIIA will work to define additional views that can be applied to information from the Analytic Reporting service, and is seeking participation and sponsorship from its members to guide and continue this work. For more information, please click [here](#).

**OFAC RECONFIRMATION PROCESS**

I&RS Members are required to provide NSCC with an OFAC confirmation every two years. Important Notice #A7283 on September 13, 2011 announces 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 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 that wish to certify manually can do so by submitting a signed certification, however 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.

**LIFE INSURANCE WORKING GROUP**

We are currently holding a working group to discuss and review our I&RS products specifically supporting the life insurance product line. The product scope of the working group will include Permanent Life (Term, Whole Life, Universal Life, Variable Universal Life, and Index Life); Traditional Long Term Care (LTC); and Disability. The group will also look at the reporting needs of the Linked LTC benefit/riders. Please contact Jeanann Smith at [jsmith@dtcc.com](mailto:jsmith@dtcc.com) or your relationship manager if you or someone at your firm is interested in participating on this working group.

**NEW CLIENTS FOR FALL 2011**

- Key Investment Services – 0809
- Lucia Securities – 6900
- Standard Insurance Company – 4701