# INSURANCE & RETIREMENT SERVICES

# September 2019 ENHANCEMENT RELEASE

**REQUIREMENTS DOCUMENT**

# Requirements Overview

This document provides the detailed changes made to the I&RS record layouts as part of the S2019 Enhancement Release. These changes are based on submitted recommendations made by I&RS participants. All enhancements were reviewed and approved by the I&RS Review Board.

The actual enhancement requests can be found in the Participant Section of our website (http://www.dtcc.com/products/insurance) under Enhancements, and then I&RS Enhancements Approved for Future Release. The enhancement numbers are listed (IPS00###) next to each request in this document.

**Important Information:**

**Do not use the enhancement documents on the I&RS website for programming. The Draft Record Layouts and Requirements Document (this document) should be used for this purpose. The original enhancement request forms are provided to know the originator of the request and understand the business case for the change.**

# Products Included in this Enhancement:

APP/SUB – Applications and Subsequent Premiums

COM – Commissions

FAR – Financial Activity Reporting

FET – Fee & Expense Transmittal

IFT – InForce Transactions (CAT/REP)

IFW – InForce Web Transactions

LNA – Licensing & Appointments

POV - Positions and Values, which is made up of 3 types:

* PVF – Positions & Values Full Refresh File
* PNF – Positions New Business File
* PFF – Positions Focused File

PMP – Producer Management Portal

PRP – Positions for Retirement Plans

# 2019 September Enhancement Release Dates (subject to change)

**Test**

Thursday, August 22, 2019

Turnover Times (all ET):

APP/SUB – 4:00pm

COM – 4:00pm

FAR – 4:00pm

FET – 7:00pm

IFT – 4:00pm

IFW – 7:00pm – 8:00pm

POV – 4:00pm

PRP – 4:00pm

**Production**

Thursday, September 26, 2019

Turnover Times (all ET):   
APP/SUB – 4:00pm

COM – 4:00pm

FAR – 4:00pm

FET – 7:00pm

LNA – 7:00pm

IFT – 7:00pm

IFW – 7:00pm – 8:00pm

POV – 4:00pm

PRP – 6:00pm

Submitting Firms: Any files submitted after the times listed above will be edited based on September 2019 Release changes.

Receiving Firms: Times listed above are the last cycles that the files will be received in the old format

**Enhancement Changes**

1. APP/SUB – Applications & Subsequent Premiums

IPS00619 – APP/SUB - Adjust Product Type Code Description – Data Dictionary Change only

There is a need to sync up the product code description for an existing code. This is for code list item # 4442 located on 33-35/01 Contract record.

1. Modify the code description on EIA formerly Equity Indexed Annuity on data dictionary.
   1. New description will be Fixed Index Annuity

**Producer Identifiers on I&RS Services**

Outlined below are the modifications proposed for the Initial Applications and Subsequent Premiums (APP/SUB) file:

1. Add the following new fields to Record 33/35 – 30 Agent ID Record
   1. Field Name: CRD Number
      1. Field Location: 160 – 169 (10 bytes)
      2. Item # 4172
      3. Field Definition: This is the FINRA Central Repository Depository (CRD) identifier used by US securities industry and its regulators.
      4. Optional
   2. Field Name: National Producer Number
      1. Field Location: 170 – 179 (10 bytes)
      2. Item # 4173
      3. Field Definition: A unique sequential number that identifies each entity in NIPR’s Producer Database (PDB), including individual producers and business producers.
      4. Optional
   3. Field Name: Distributor Assigned Agent ID
      1. Field Location: 180 - 199 (20 bytes)
      2. Item # 4188
      3. Field Definition: This identifier is created and defined by the managing firm where the defined advisor/agent is affiliated with.
      4. Optional
   4. Field Name: Carrier Assigned Agent ID
      1. Field Location: 200 – 219 (20 bytes)
      2. Item # 4189
      3. Field Definition: This identifier is created and defined by the insurance carrier (provider) where the defined advisor/agent is appointed with.
      4. Optional
2. Remove from code list (4175) the following codes:
   1. 24 – Broker/Dealer Assigned Number
   2. ZH – Carrier Assigned Number
   3. NP – National Producer Number
3. Filler will be 69 bytes (location: 220 – 288)
4. COM – Commissions

IPS00619 – COM – Adjust Product Type Code Description – Data Dictionary Change only

There is a need to sync up the product code description for an existing code. This is for code list item # 2076 located on 22/01 Contract record.

1. Modify the code description on EIA formerly Equity Indexed Annuity on data dictionary.
   1. New description will be Fixed Index Annuity

**IPS00627 – COM – Add Paydown Remaining Field**

On annualized commissions, there is a need to report the remaining paydown amount left to secure towards the overall earned commissions. The paydown amount would apply to annualized commission on life insurance policies. This field will track the remaining commission amount that applies to the overall earned commission due.

Add a field to the 22/01 Record – Contract Record #1

1. Field Name: Paydown Amount Remaining
   1. Field Format: Numeric (9(14)v99
   2. Field Location: 241 - 256 (16 bytes)
   3. Item # 2422
   4. Element Definition: The remaining commission amount to secure towards the overall annualized commissions earned.
   5. Optional - must be spaces if not used or valid value
   6. Reject Code: 544
2. Filler will be 32 bytes. (Location 257 - 288)

**Producer Identifiers Data on I&RS Services**

Outlined below are the modifications proposed for the Commissions (COM) file:

1. Add the following new fields to Record 22-05 Commission Recipient Record
   1. Field Name: Carrier Assigned Agent ID
      1. Field Location: 228 - 247 (20 bytes)
      2. Item # 2423
      3. Field Definition: This identifier is created and defined by the insurance carrier (provider) where the defined advisor/agent is appointed with.
      4. Optional
   2. Field Name: CRD Number
      1. Field Location: 248 - 257 (10 bytes)
      2. Item # 2424
      3. Field Definition: This is the FINRA Central Repository Depository (CRD) identifier used by US securities industry and its regulators.
      4. Optional
2. Modify item # 2411 field name to Distributor Assigned Agent ID and 20 bytes and replace remaining 10 bytes to filler
3. Remove from code list (2402) the following codes:
4. CR – CRD Number
5. NP – National Producer Number
6. Filler will be 31 bytes (location: 258 - 288)

Please note: National Producer Number (item # 2419) already exist on 22/05 record in location 186-195.

1. FAR – Financial Activity Reporting

IPS00619 – FAR – Adjust Product Type Code Description – Data Dictionary Change only

There is a need to sync up the product code description for an existing code. This is for code list item # 5139 located on 43/01 Contract record.

1. Modify the code description on EIA formerly Equity Indexed Annuity on data dictionary.
   1. New description will be Fixed Index Annuity

**Producer Identifiers Data on I&RS Services**

Outlined below are the modifications proposed for the Financial Activity Reporting (FAR) file:

1. Add the following new fields to Record 43-04 Contract Agent Record
   1. Field Name: CRD Number
      1. Field Location 208 - 217 (10 bytes)
      2. Item # 5151
      3. Field Definition: This is the FINRA Central Repository Depository (CRD) identifier used by US securities industry and its regulators.
      4. Optional
   2. Field Name: Carrier Assigned Agent ID
      1. Field Location: 218 - 237 (20 bytes)
      2. Item # 5152
      3. Field Definition: This identifier is created and defined by the insurance carrier (provider) where the defined advisor/agent is appointed with.
      4. Optional
2. Modify item #5124 field name to Distributor Assigned Agent ID
3. Remove from code list (5047) the following codes:
4. AV – Advisor ID
5. BN – Broker Rep/Advisor ID
6. CR – CRD Number
7. NP – National Producer Number
8. Filler will be 51 bytes (location: 238 - 288)
9. The FAR Import Documentation Report & Specifications will be updated to support the additional producer identifiers.

Please note: National Producer Number (item #5130) already exist on 43/04 record in location 188-197.

1. FET – Fee & Expense Transmittal

**IPS00619 – FET – Add New Product Type Codes**

Distributors wants the Registered Index Annuity and the Registered Variable Annuity to show in the investment product tool. These new type codes will be added to the request and response (12401) response message as well.

1. Add the following product types to the FET field PolicyProductTypeCode

(/TXLife/TXLifeResponse/OLife/Policy/Product/PolicyProductTypeCode). The following type

Codes are for the 2.39 standards.

* 1. OLI\_PRODTYPE\_RXA
     1. Code: 1004900056
     2. Code Description: Registered Indexed Annuity
  2. OLI\_PRODTYPE\_VIA
     1. Code: 1004900057
     2. Code Description: Variable Indexed Annuity
  3. OLI\_PRODTYPE\_FIX
     1. Code: 1004900058
     2. Code Description: Fixed Indexed Annuity

1. IFT – InForce Transactions – CAT/REP

**Producer Identifiers Data on I&RS Services**

Outlined below are the modifications proposed for the InForce Transaction (IFT) – Customer Account Transfer (CAT) transaction only:

1. Add the following new fields to Record 73-30 Agent Record
   1. Field Name: CRD Number
      1. Field Location: 229 – 238 (10 bytes)
      2. Item # 7312
      3. Field Definition: This is the FINRA Central Repository Depository (CRD) identifier used by US securities industry and its regulators.
      4. Optional
   2. Field Name: Carrier Assigned Agent ID
      1. Field Location: 239 - 258 (20 bytes)
      2. Item # 7313
      3. Field Definition: This identifier is created and defined by the insurance carrier (provider) where the defined advisor/agent is appointed with.
      4. Optional
2. Modify item #7304 field name to Distributor Assigned Agent ID
3. Filler will be 30 bytes (259 – 288)

Outlined below are the modifications proposed for the InForce Transactions – Representative of Record (REP) transaction only.

1. Add the following new fields to Record 73-30 Agent Record
2. Field Name: CRD Number
   * 1. Field Location: 229 – 238 (10 bytes)
3. Item # 7312
4. Field Definition: This is the FINRA Central Repository Depository (CRD) identifier used by US securities industry and its regulators.
5. Optional
6. Field Name: Carrier Assigned Agent ID
7. Field Location: 239 - 258 (20 bytes)
8. Item # 7313
9. Field Definition: This identifier is created and defined by the insurance carrier (provider) where the defined advisor/agent is appointed with.
10. Optional
11. Modify item #7304 field name to Distributor Assigned Agent ID
12. Filler will be 30 bytes (259 – 288)
13. IFT Import, Activity and Upload templates will be updated to support the additional producer identifiers added as part of this release. In addition, we will be including these new identifiers to be transmitted via IFT Access platform.

Please note: National Producer Number (item # 7311) already exist on 73/30 record in location 219 – 228.

1. IFW – InForce Web Transactions

**IPS00622 – IFW – RMDCalcMeth To VIQ Response**

There is a need to enhance the Values Inquiry (21209) response message schema so the property RMDCalcMeth is included as optional. RMDCalcMeth is located within the Annuity object for ACORD data structure.

This new property will have a look up type codes. This property is already supported in the DTCC schema with these type code values for the 105 withdrawal and 107 arrangement request transactions.

This value will be added to the response message and will provide insight into any active systematic withdrawal changes and if the user wants to update the active program, they will be able to understand the current RMDCalcMeth and possibly update if the carrier’s product allows the value to be updated.

Add the property along the type codes to the 21209 response message.

1. Property Name: RMDCalcMeth
2. Mapping Element: <Holding.Policy.Annuity.RMDCalcMeth>
3. Optional Property
4. Supported Look Up codes:
   1. OLI\_RMDCALCMETH\_UNIFORMLIFE
      1. Code: 3
      2. Code Description: Uniform Life Table
      3. Code Definition: A uniform life expectancy chart used to calculate mandatory distributions.
   2. OLI\_RMDCALCMETH\_UNIFORMLIFEEX
      1. Code: 4
      2. Code Description: Uniform Life Table Exception
      3. Code Definition: A uniform life exception life-expectancy chart used to calculate mandatory distributions.
   3. OLI\_RMDCALCMETH\_SINGLELIFE
      1. Code: 5
      2. Code Description: Single Life Table
      3. Code Definition: A single life expectancy chart used to calculate mandatory distributions.

**IPS00624 – IFW – Add Values Inquiry (21208) TaxDisbursementType**

Add the property TaxDisbursementType to the Values Inquiry Estimate (21208) request message to support the reporting from the insurance carrier on the VI estimate call. This is used to evaluate the estimated withdrawal amounts for a policy.

This property already exists on the Values Inquiry (21209) response and Withdrawal (105) and Arrangement (107) request messages. These properties need to be added to the 21208 request so those calls can match the 105 request messages that would be sent to the insurance carriers.

Add the following object and specific attributes to support the 21208 request message:

1. Add the TaxDisbursementType property as optional under <Holding.Arrangement.TaxWithholding>
   1. ~~OLI\_TAXDISBURSE\_~~QUALIFIED OLI\_TAXDISBURSE\_QAULIFIED
      1. Code: 3
      2. Code Description: Direct Qualified Transfer
      3. Code Definition: A direct transfer from one qualified plan to another qualified plan.
   2. OLI\_TAXDISBURSE\_ROLLOUT
      1. Code: 11
      2. Code Description: Distribution for Qualified Direct Rollover
      3. Code Definition: Is used to identify funds that are withdrawn from a qualified product and disbursed to the contract owner for rollover purposes into a new qualified product.
   3. OLI\_TAXBURSE\_OTHER
      1. Code: 2147483647
      2. Code Description: Other
2. Modify the schema to support a choice between TaxWithheldPct or TaxWithheldAmt however, both are optional on the 21208 request message.

**IPS00625 – IFW – Remove Duplicate Change Type Codes**

During DTCC’s development of the Broker of Record Change transaction, it was determined that the TXLife113 Policy Administration message had duplicate values in the schema and data dictionary to represent a change to the beneficiary percentage and policy annuitant.

1. Remove the duplicate values from schema and data dictionary on the 113 message for OLI\_LU\_CHNGTYPE\_PA\_TC
   1. Remove value: 1000101131 – Change Beneficiary Percentage
   2. Remove value: 1000101132 – Change Policy Annuitant

**Producer Identifiers Data on I&RS Services**

Outlined below are the modifications proposed for the InForce Web Transaction schemas:

1. Add the following properties to the 102, 105, 107 and 113 request and response messages which supports all inforce transactions.
   1. Property Name: <CompanyProducerID>
      1. String (20)
      2. Property Definition: This identifier is created and references the ID for the firm represented in the CarrierAppointment object.
      3. Optional (min = 0, max = 1)
   2. Property Name: <FirmAssignedProducerID>
      1. String (20)
      2. Property Definition: This identifier represents the identifier for the agent assigned by the Party specified via @PartyID. It is typically used when the @PartyID references a selling organization such as a Distributor, Managing General Agency, or Broker Dealer.
      3. Optional (min = 0, max = 1)

Please note this is a new property and will be added as an extension to messages.

The XPATH for the above elements are:

Party -> Producer -> CarrierAppointment -> CompanyProducerID

Party -> Producer -> ProducerAgreement -> OLifEExtension -> FirmAssignedProducerID

~~Condition: when CarrierAppointment/CompanyProducerID is populated~~

~~then IDReferenceType must be 33~~

~~Condition: when ProducerAgreement/FirmAssignedProducerID is populated~~

~~then IDReferenceType must be 30~~

1. <NIPRNumber> property already exist in 102, 105, 107, and 113 messages and will be modified to 10 bytes string length limit.
2. <CRDNumber> property already exist in the 113 but not in the 102, 105, 107 therefore, we will be adding this property to those messages in addition to the properties listed above.
3. Property Name: <CRDNumber>
   * 1. String (10)
     2. Property Definition: This is the FINRA Central Repository Depository (CRD) identifier used by US securities industry and its regulators.
     3. Optional (min = 0, max = 1)
4. LNA – Licensing & Appointments

**Producer Identifiers Data on I&RS Services**

Outlined below are the modifications proposed for the Licensing & Appointment (LNA) file:

1. Add the following new fields to Record 53 – 02 Producer Entity ID #1 Record
   1. Field Name: National Producer Number
2. Field Location: 159 – 168 (10 bytes)
3. Item # 6155
4. Field Definition: A unique sequential number that identifies each entity in NIPR’s Producer Database (PDB), including individual producers and business producers.
5. Optional
   1. Field Name: CRD Number
      1. Field Location: 149 – 158 (10 bytes)
      2. Item # 6154
      3. Field Definition: This is the FINRA Central Repository Depository (CRD) identifier bused by US securities industry and its regulators.
      4. Optional
   2. Field Name: Distributor Assigned Agent ID
      1. Field Location: 189 – 208 (20 bytes)
      2. Item # 6157
      3. Field Definition: This identifier is created and defined by the managing firm where the defined advisor/agent is affiliated with.
      4. Optional
   3. Field Name: Carrier Assigned Agent ID
      1. Field Location: 169 – 188 (20bytes)
      2. Item # 6156
      3. Field Definition: This identifier is created and defined by the insurance carrier (provider) where the defined advisor/agent is appointed with.
      4. Optional
6. Remove from code list (6153) the following codes:
7. CR – Producer CRD
8. IN – Insurance Carrier ID
9. J8 – Broker/Dealer ID (From Firm)
10. NP – National Producer Number
11. Filler will be 68 bytes (209 – 276) on the 53/02 record.
12. LNA Import, Activity templates and Training Vendor Input Specifications will be updated to support the additional producer identifiers added as part of this release. In addition, we will be including these new identifiers to be transmitted via LNA Access platform.
13. Add the following new fields to Record 53 – 06 Team Split Record
    1. Field Name: Team Member’s CRD Number
       1. Field Location: 88 - 97 (10 bytes)
       2. Item # 6357
       3. Field Definition: This is the FINRA Central Repository Depository (CRD) identifier used by US securities industry and its regulators.
       4. Optional
    2. Field Name: Team Member’s National Producer Number
14. Field Location: 98 - 107 (10 bytes)
15. Item # 6358
16. Field Definition: A unique sequential number that identifies each entity in NIPR’s Producer Database (PDB), including individual producers and business producers.
17. Optional
    1. Field Name: Team Member’s Carrier Assigned Agent ID
       1. Field Location: 108 - 127 (20 bytes)
       2. Item # 6359
       3. Field Definition: This identifier is created and defined by the insurance carrier (provider) for the defined advisor/agent is appointed with.
       4. Optional
    2. Field Name: Team Member’s Distributor Assigned Agent ID
       1. Field Location: 128 - 147 (20 bytes)
       2. Item # 6360
       3. Field Definition: This identifier is created and defined by the managing firm where the defined advisor/agent is affiliated with.
       4. Optional
18. Filler will be 129 bytes (148 – 276) on the 53 – 06 Team Split record.
19. POV – Positions & Valuations

**IPS00610– POV – Add SF Income Credit Date**

To improve transparency on the data file, there is a need to add additional information on an income rider. When an income rider still has a crediting period to the benefit base. The guarantee crediting period may be adjusted or extended based on contract specifications.

1. Add new field on 13/15 Contract Service Feature record titled ‘Crediting Period Expiration Date’
   1. Item # 3319
   2. Location: 45 – 52 (8 bytes)
   3. Format: Date (CCYYMMDD)
   4. Optional – must be spaces if not used or valid date
   5. Field Definition: Indicates if a contract with an income rider still has a crediting period to the benefit base. Guarantee crediting period may be adjusted or extended based on contract specifications.
   6. Reject Code: 547
   7. Reject Code Description: SF Crediting Period Expire Date Invalid

**IPS00611– POV – Add SF Step Up Date**

To improve transparency on the data file, there is a need to add additional information on an income rider. When an income rider is being reported on the POV file, there is a need to provide the next market step up lock in date.

1. Add new field on 13/15 Contract Service Feature record titled ‘Market Roll Up Date’
   1. Item # 3320
   2. Location: 53 – 60 (8 bytes)
   3. Format: Date (CCYYMMDD)
   4. Optional – must be spaces if not used or valid date
   5. Field Definition: Provides the next market step up lock in date on income rider. The value indicates the next date the contract has an opportunity to lock-in the market value to the benefit base.
   6. Reject Code: 548
   7. Reject Code Description: SF Market Roll Up Date Invalid

**IPS00612– POV – Add SF Step Up Frequency**

To improve transparency on the data file, there is a need to add additional information on an income rider. When an income rider is being reported on the POV file, there is a need to provide the frequency of opportunity to lock in a market step up to the benefit base.

1. Add new field on 13/15 Contract Service Feature record titled ‘Market Roll Up Frequency’
   1. Item # 3321
   2. Location: 61 – 61 (1 byte)
   3. Format: Alphanumeric (code list)
   4. Optional – must be space if not used or valid code
   5. Field Definition: Provides the frequency of opportunity to lock in a market step up to the benefit base for an income rider.
   6. Reject Code: 549
   7. Reject Code Description: SF Market Roll Up Frequency Invalid
   8. Acceptable Code List:
      1. Weekly – 1
      2. Biweekly – 2
      3. Semimonthly – 3
      4. Monthly – 4
      5. Annual – 7
      6. Daily – 8
      7. Single – C
      8. Quarterly – Q
      9. Semi-Annually - S

**IPS00616– POV – Add Death Benefit Sub Type Code**

Introduction of a new death benefit type which allows a client to select a dollar for dollar reduction in their benefit. There is a need to support this new type of death benefit. After referring to ACORD to discuss with their users to determine a full review of the death benefit sub type codes and determine approach.

ACORD recommended adding a new field and code list to support the different type of benefit reduction for riders.

1. Add a new field to the 13/15 – Service Feature Record to support the benefit reduction method.
   1. Field Name: Benefit Reduction Method
   2. Location: 130 – 130 (1 byte)
   3. Item Number: 3318
   4. Format: Alphanumeric – Code List
   5. Optional – must be space if not used or valid code
   6. Reject Code: 546
   7. Acceptable Code List:
      1. Dollar for Dollar – Code value **1**
         1. Code definition: The benefit is reduced on a dollar for dollar basis.

For example, assume that an investor originally invested $100,000 in a deferred variable annuity seven years ago. Based on a ratcheting feature that looks at every 5th anniversary's value, the minimum death benefit is now $125,000. Meanwhile the current value of the subaccounts has grown to $150,000 today (year 7). If the contract uses dollar-for-dollar adjustments, the death benefit would drop $15,000, from $125,000 to $110,000.

* + 1. Pro-Rated/Proportionate – Code value **2**
       1. Code definition: The benefit is reduced on a pro-rata or proportional basis.

For example, assume that an investor originally invested $100,000 in a deferred variable annuity seven years ago. Based on a ratcheting feature that looks at every 5th anniversary's value, the minimum death benefit is now $125,000. Meanwhile the current value of the subaccounts has grown to $150,000 today (year 7). If the contract uses a proportionate reduction, the death benefit would drop by only $12,500 to $112,500 ($15,000 withdrawal represents 10% of the current cash value [$15,000 / $150,000], a 10% reduction of the $125,000 death benefit amounts to $12,500).

* + 1. Hybrid – Code value **3**
       1. Code definition: The benefit is reduced on a basis that is a hybrid of other methods. For example, it may be dollar for dollar until a certain criteria is met and pro-rata afterward.

IPS00619 – POV – Adjust Product Type Code Description – Data Dictionary Change only

There is a need to sync up the product code description for an existing code. This is for code list item # 3025 – Product Type code located on the 13/01 Contract record.

1. Modify the code description on EIA formerly Equity Indexed Annuity on data dictionary.
   1. New description will be Fixed Index Annuity

Review Board Agreement – POV – Remove Fields from Service Feature Record

Within Service Feature (13-15), remove Service Feature Type (item #3611) and Service Feature Sub Type (item #3612) occurrences – 4, 5, and 6 to free up space on 13-15 record.

1. Location 215 – 238 (24 bytes)
2. Field Type: Mandatory
3. Set to Filler

IPS00628 – POV – Move Daily Tracking Value

For new Index Annuity products coming to the market, there is a need to tracking the daily tracking value at the strategy level and not at the contract level as the contract may have different daily values per index strategy.

1. Removal the Daily Tracking Value (DTV) from the 13/02 Contract Valuation record code list for item # 3102 – Contract Valuation Qualifier.
2. Add new field to the 13/04 record (Guaranteed Band Record)
   1. Field Name: Daily Tracking Value
   2. Field Definition: This value used for reporting values on index annuities, reports the interim value of the index credit strategy(ies.) Used for status and evaluation of contract provisions (interest at death, gains upon withdrawals.)
   3. Location: 221 – 236 (16 bytes)
   4. Item Number: 3317
   5. Format: numeric – 9(14)v99
   6. Optional – must be spaces if not used or valid value
   7. Reject Code: 545
   8. Reject Code Description: Daily Tracking Value is Invalid

**Producer Identifiers Data on I&RS Services**

Outlined below are the modifications proposed for the Positions & Valuations (POV) file:

1. Add the following new fields to Record 13 – 05 Contract Agent Record Field
   1. Field Name: CRD Number
2. Field Location: 197 – 206 (10 bytes)
3. Item # 3315
4. Field Definition: This is the FINRA Central Repository Depository (CRD) identifier used by US securities industry and its regulators.
5. Optional
   1. Field Name: Carrier Assigned Agent ID
      1. Field Location: 207 – 226 (20 bytes)
      2. Item # 3316
      3. Field Definition: This identifier is created and defined by the insurance carrier (provider) where the defined advisor/agent is appointed with.
      4. Optional
6. Remove C6 (CRD Number) from Party Identification Qualifier (item 3810) code list.
7. Modify the field name to Distributor Assigned Agent ID (item # 3310)
8. Filler will be 62 bytes (227 – 288)

Please note: National Producer Number (item # 3313) already exist on 13-05 record in location 186 - 195.

1. PRP – Positions for Retirement Plans

**Producer Identifiers Data on I&RS Services**

1. Add the following new fields to Record 93-04 Plan Rep/Advisor Record
   1. Field Name: National Producer Number
2. Field Location: 178 – 187 (10 bytes)
3. Item # 8110
4. Field Definition: A unique sequential number that identifies each entity in NIPR’s Producer Database (PDB), including individual producers and business producers.
5. Optional
   1. Field Name: CRD Number
      1. Field Location: 188 – 197 (10 bytes)
      2. Item # 8111
      3. Field Definition: This is the FINRA Central Repository Depository (CRD) identifier bused by US securities industry and its regulators.
      4. Optional
   2. Field Name: Carrier Assigned Agent ID
      1. Field Location: 198 – 217 (20 bytes)
      2. Item # 8112
      3. Field Definition: This identifier is created and defined by the insurance carrier (provider) where the defined advisor/agent is appointed with.
      4. Optional
   3. Field Name: Distributor Assigned Agent ID
      1. Field Location: 218 – 237 (20bytes)
      2. Item # 8113
      3. Field Definition: This identifier is created and defined by the managing firm where the defined advisor/agent is affiliated with.
      4. Optional
6. Remove from code list (8036) the following codes:
7. NP – National Producer Number
8. CR – CRD Number
9. BN – Broker Advisor ID
10. Filler will be 51 bytes (238 - 288) on the 93/04 record.
11. PMP – Producer Management Portal

**Producer Identifiers Data on I&RS Services**

Outlined below are the modifications proposed for the Producer Management Portal (PMP) schemas:

1. Add the following properties to the 228 request and response messages which supports all three sub transaction types (14, 15, and 16)
2. Property Name: <CRDNumber>
   * 1. String (10)
     2. Property Definition: This is the FINRA Central Repository Depository (CRD) identifier used by US securities industry and its regulators.
     3. Optional (min = 0, max = 1)
3. Property Name: <CompanyProducerID>
   * 1. String (20)
     2. Property Definition: This identifier is created and references the ID for the firm represented in the CarrierAppointment object. Optional (min = 0, max = 1)
4. Property Name: <FirmAssignedProducerID>
   * 1. String (20)
     2. Property Definition: This identifier represents the identifier for the agent assigned by the Party specified via @PartyID. It is typically used when the @PartyID references a selling organization such as a Distributor, Managing General Agency, or Broker Dealer.
     3. Optional (min = 0, max = 1)

Please note this is a new property and will be added as an extension to 228 message version 2.26.

1. <NIPRNumber> property already exist in 228 messages. However the string length will be reduced from 20 to 10.
2. The PMP Portal access platform will be updated to support the additional producer identifiers.

**APPENDIX**

Documentation Changes

|  |  |
| --- | --- |
| **Date** | **Changes** |
| 05/15/2019 | Initial Version |
| 05/30/2019 v0.2 | Removed reference to STL and BIN. Updated IPS00610, IPS00611, IPS00612, IPS00616, IPS00619, IPS00627, IPS00624, IPS00628. IFW Producer Identifier Data on I&RS information was added. Item numbers were modified for PRP. |
| 06/xx/2019 v0.3 | Updated IPS00624. Remove business rule condition for Producer Identifier Data on I&RS. |

For additional information on this enhancement release, please call your I&RS Relationship Manager.

DTCC Insurance & Retirement Services