

## **Standard Usage for Customer Account Transfer Confirmation (CAT Confirm) Transaction (ACATS)**

**3/24/05**

**(see Change Log at the end for changes since last version)**

CAT Transaction is used to in conjunction with ACATS to enable the Insurance Carrier to confirm back the CAT it received initially. The CAT confirmation can only be transmitted by the Insurance Carrier. The information will be sent via IPS to both the Receiving B/D directly and the ACATS system. The ACATS system will take the information from IPS and send an Insurance Statistical Report to both the Delivering firm and Receiving firm indicating the status of the transaction. The direct feed to the Receiving firm is a more detailed confirmation which includes a reconfirmation of the owner, beneficiary and agent information.

Listed are the fields applicable to the CAT Confirm transaction. Fields not listed are not used for this transaction and will not be sent by the Carrier.

Standard Usage documents were reviewed and approved by the ACATS/IPS Pilot Working Group.

Field Name	Record	Field Item #	DTCC Edit	Notes
System Code	70		R	C = Carrier – Only Carriers can submit a CAT
Record Type	70		R	
Transmission Unique ID	70	7001	R	This field will always start with Carrier Participant Number.  DTCCYYYYMMDDHHMMSS00001  If the transmission date was December 31, 2004 at 10:30am (15 seconds), it would look like this: DTCC200412311030150001
Transmission Date	70	7002	R	CCYYMMDD – Date in which transmission is sent to IPS. This date should match the date in the Transmission Unique ID (7001)
Transmitting Company ID	70	7003	R	Either a service provider id or the same number as in 7004.
Submitting Participant Number	70	7004	R	This is the NSCC participant number of the Carrier.
Submitting	70	7005	R	If the Carrier is acting on behalf of an associated firm, this field

Associated Firm ID				will be filled with the associated firm id of that firm. If the carrier is not acting on behalf of an associated firm, this field will be the same as Submitting Participant Number (7004).
IPS Business Code	70	7006	R	Always fill with IFT.
Total Record Count	70	7007	R	Should include the count of all records under and including submitting header record (70 record).
Production Test Indicator	70	7008	R	P = Production T = Test
Receiving Company ID	72	7020	R	If the Receiving firm uses a Service Provider to receive file, this field may be used to indicate who the service provider is.  If there is no service provider, this id will be filled with the Receiving firm participant number, which would be the same as what is filled in field 7021.
Receiving Participant Number	72	7021	R	NSCC Participant Number of the Receiving firm.
Receiving Associated Firm	72	7022	R	If the Receiving firm is acting/clearing on behalf of an associated firm, this field will be filled with the associated firm id of that firm. If the Receiving firm is not acting on behalf of an associated firm, this field will be the same as Receiving Participant Number (7021).

Event Code	72	7023	R	Fill with IFT for this transaction.
Submitted Event Count	72	7024	R	Count all 73-01 records under this Contra Header (72 record).
Delivered Event Count	72	7025	R	Count of 73-01 records actually delivered to Receiving firm. Carrier should fill with zeros. IPS will fill on output.
File Type	72	7026	R	Carrier should fill with INA. IPS will change to CPL on output file to B/D or REJ back to Carrier if rejects occurred.
NSCC Control Number	73-01	7030	R	Carrier will create the NSCC Control Number. The NSCC Control number will be included on all records below and including the 73-01 record. This number will be the same for all records within under a 73-01 and will not change until a new 73-01 is created.  Each NSCC Control Number will begin with Carrier Participant Number.  DTCCJJJJJSSSSSSSSSS  JJJJJJ – Julian Date (December 31, 2004 would be 004365)
Original Control Number	73-01	7031	O	Carrier may send back the NSCC control number that they received in the initial CAT or subsequent transaction. Based on trading relationship agreement.
Transaction Type	73-01	7033	R	Filled with code CAT

Transaction Status	73-01	7035		Use ACK – Acknowledged SRJ – Soft Reject HRJ – Hard Reject
Transaction Status Reason	73-01	7036		See Reason Code Standard Usage document for what code to use with what status.
Contract Number	73-01	7037	R	
CUSIP Number	73-01	7038	R	
IRS Qualification Code	73-01	7039	O	
Old Distributor Client Account ID (BIN)	73-01	7040	R	BIN of Delivering Broker/Dealer (Old Firm)
New/Current Distributor Client Account ID (BIN)	73-01	7041	R	BIN of Receiving Broker/Dealer (New Firm)
Line of Business	73-01	4042	O	Carrier should only fill this field under the following conditions:  Transaction Status = HRJ or SRJ (depending on reason code) Transaction Status Reason is:  014 (Receiving Firm not appointed in Issue State) - HRJ

				<p>015 (Receiving Firm not appointed in Resident State) - HRJ 050 (Rep Not Appointed) – SRJ</p> <p>For any other condition, this field should be spaces</p> <p>Note: DTCC will not edit this condition</p>
NAIC Number	73-01	7043	O	<p>Carrier should only fill this field under the following conditions:</p> <p>Transaction Status = HRJ or SRJ (depending on reason code) Transaction Status Reason is:</p> <p>014 (Receiving Firm not appointed in Issue State) - HRJ 015 (Receiving Firm not appointed in Resident State) - HRJ 050 (Rep Not Appointed) – SRJ</p> <p>For any other condition, this field should be spaces</p> <p>Note: DTCC will not edit this condition</p>
Appointment State -1	73-01	7044	O	<p>Carrier should only fill this field under the following conditions:</p> <p>Transaction Status = HRJ or SRJ (depending on reason code) Transaction Status Reason is:</p> <p>014 (Receiving Firm not appointed in Issue State) - HRJ 015 (Receiving Firm not appointed in Resident State) - HRJ 050 (Rep Not Appointed) – SRJ</p> <p>For any other condition, this field should be spaces</p>

				<b>Note: DTCC will not edit this condition</b>
Appointment State - 2	<b>73-01</b>	<b>7044</b>	<b>O</b>	<b>Carrier will only fill this field under the following conditions:</b> <b>Transaction Status = SRJ</b> <b>Transaction Status Reason is:</b>  <b>050 (Rep Not Appointed) and the rep needs to be appointed in two states.</b>  <b>For any other condition, this field should be spaces</b>  <b>Note: DTCC will not edit this condition</b>
Appointment State -3	<b>73-01</b>	<b>7044</b>	<b>O</b>	<b>Carrier will only fill this field under the following conditions:</b> <b>Transaction Status = SRJ</b> <b>Transaction Status Reason is:</b>  <b>050 (Rep Not Appointed) and the rep needs to be appointed in three states.</b>  <b>For any other condition, this field should be spaces</b>  <b>Note: DTCC will not edit this condition</b>

Carrier Agent Limit	73-04	7046	O	<p>Carrier will only fill this field under the following condition:</p> <p>Transaction Status = SRJ Transaction Status Reason is:</p> <p>054 (Number of Agents Exceeds Carrier Limits)</p> <p>For any other condition, this field should be spaces.</p> <p>Example of Usage: If Carrier cannot hold more than 3 agents on a contract, they would soft reject with 054 and fill field 7046 with "03".</p>
ACATS Control Number	73-04	7100	R	<p>This number is generated from ACATS and will be provided on all ACATS initiated transactions. Carriers must store this number and send it back on the CAT confirmation.</p> <p>CCYYDDNNNNNNN</p> <p>CCYY = Year DDD = Julian Date NNNNNNN = Sequence Number</p>
ACATS Sequence Number	73-04	7101	R	<p>This number is generated from ACATS and must be provided on all ACATS initiated transactions. Carriers must store this number and send it back on the CAT confirmation.</p> <p>Example of this field 0000001</p>
ACATS Delivering Firm ID	73-04	7102	R	NSCC Participant Number of the Delivering Firm (Old Firm)
ACATS Delivering Associated Firm	73-04	7103	R	Associated Firm of the Delivering Firm. If there is no Associated Firm than this field will be the same as field 7102.

ACATS Receiving Firm ID	73-04	7106	R	NSCC Participant Number of the Receiving Firm (New Firm)
ACATS Receiving Associated Firm	73-04	7107	R	Associated Firm of the Receiving Firm. If there is no Associated Firm than this field will be the same as field 7106.
<b>For 73-10, 12, 13, 20, 22, 23</b> <b>Of these records, whatever was received on original CAT is what the Carrier should send back in the Confirm.</b> <b>Therefore, the edit rules for the fields below are contingent on the record being sent.</b>				
Multiple Status Reason Code	73-10	7200	R	<p>This field is used is used for situations where the SRJ on the 73-01 has a status reason of 999 (multiple reasons). This field will indicate the specific reason for the soft reject. 000 will be the default in this field when there is no need to indicate a multiple status reason.</p> <p>If 7035 (Transaction Status is:  ACK – this field should be 000  SRJ – this field should be 000 since owner information would not be the cause of the soft reject.  HRJ – this field should be 000 since HRJ should not have a multiple status of 999 on the 73-01. 000 is the default for HRJ status situations.</p> <p><b>*This field should always be filled with 000.</b></p>
Contract Entity Role	73-10	7201	R	Will always be HA (Owner)

Natural/Non-Natural Entity Indicator	73-10	7203	R	If Insurance Type 02 or 04, this field will be X (Non-Person). If Insurance Type is 03, this field will be N (Person).  Carrier should send back as initially received.
Non-Natural Entity Name	73-10	7204	C	This field applies when field 7203 is a X. In Insurance Transfer Type 02 or 04, the owner of the IRA contact is the Broker/Dealer acting as custodian.  Carrier should send back as initially received
Natural Entity Last Name	73-10	7205	C	This field applies when field 7203 is a N. In Insurance Transfer Type 03, the owner of the IRA contract is the individual. In this case the Broker/Dealer does not act as custodian.  Carrier should send back as initially received.
Natural Entity First Name	73-10	7206	O	Carrier should send back as initially received.
Natural Entity Middle Name	73-10	7207	O	Carrier should send back as initially received.
Natural Entity Prefix	73-10	7208	O	Carrier should send back as initially received.
Natural Entity Suffix	73-10	7209	O	Carrier should send back as initially received.
Contract Entity ID	73-10	7210	R	SSN or Tax Id of Entity
Contract Entity ID	73-10	7211	R	This field qualifies what type of ID is in field 7210.

Qualifier				
Contract Entity Date	73-10	7212	C	Only Sent if Natural/Non-Natural Entity Indicator (7203) is N. Date is not needed for Transfer Type 02 or 04 where the Broker/Dealer is custodial owner.  Carrier should send back as initially received.
Contract Entity Date Qualifier	73-10	7213	C	If 7212 is sent than this field will be filled with 222 (Date of Birth). Otherwise, it will be blank.  Carrier should send back as initially received.
Contract Entity Street Address Line – 1	73-12	7220	R	Carrier should send back as initially received.
Contract Entity Street Address Line – 2	73-12	7221	O	Carrier should send back as initially received.
Contract Entity City	73-12	7223	O	Carrier should send back as initially received.
Contract Entity State	73-12	7224	O	Carrier should send back as initially received.
Contract Entity Zip	73-12	7225	O	Carrier should send back as initially received.

Contract Entity Country	73-12	7226	O	Carrier should send back as initially received.
Contract Entity Telephone Number	72-13	7230	C	Carrier should send back as initially received.
Contract Entity Email Address	72-13	7232	C	Carrier should send back as initially received.
Multiple Status Reason Code	73-10	7200	R	<p>This field is used is used for situations where the SRJ on the 73-01 has a status reason of 999 (multiple reasons). This field will indicate the specific reason for the soft reject. 000 will be the default in this field when there is no need to indicate a multiple status reason.</p> <p>If 7035 (Transaction Status is:  ACK – this field should be 000  SRJ – this field should be filled with either 000 or 070. 000 if beneficiary is not the reason for the soft reject, or 070, which is the only applicable soft reject at this point.  HRJ – this field should be 000 since HRJ should not have a multiple status of 999 on the 73-01. 000 is the default for HRJ status situations.</p>
Beneficiary Role	73-20	7252	O	This field is edited as optional, but <u>should be filled</u> unless the CAT confirm is due to a status of SRJ and a reason code of 070 (need additional beneficiaries). In the case of SRJ – 070, the Carrier would not have this information to fill.

				<p>For transfer types 02 or 04, this field should always be P, since only one beneficiary should be confirmed back.</p> <p>P = Primary Beneficiary C = Contingent Beneficiary</p> <p>All occurrences of Primary Beneficiary should be sent before sending occurrences of Contingent Beneficiary. If this is the first CAT confirm, there should only be a confirmation of one beneficiary.</p>
Natural/Non-Natural Beneficiary Indicator	73-20	7253	O	<p>If Insurance Type was 02 or 04, this field will be X (Non-Person). If Insurance Type was 03, this field can be N (Person) or X (Non-Person). The reason X may be sent is in the situation where the individual's beneficiary is an estate or trust. If the status-reason of the CAT confirm is SRJ-070, this may be space since there is no beneficiary information to send back.</p>
Non-Natural Beneficiary Name	73-20	7254	C	<p>This field applies when field 7253 is X. In the case of transfer type 2 or 4, this beneficiary is the firm acting as custodian. In the case of transfer type 3, the beneficiary is a non-person entity such as an estate or trust. If 7254 is used than 7255 to 7259 would not be used.</p>
Natural Beneficiary Last Name	73-20	7255	C	<p>This field applies when field 7253 is N. This would only occur if transfer type is 03 and multi-beneficiary indicator is N. In this case, the beneficiary is an individual. If 7255 is used than 7254 is not used.</p>

Natural Beneficiary First Name	73-20	7256	O	
Natural Beneficiary Middle Name	73-20	7257	O	
Natural Beneficiary Prefix	73-20	7258	O	
Natural Beneficiary Suffix	73-20	7259	O	
Beneficiary ID	73-20	7260	O	
Beneficiary ID Qualifier	73-20	7261	O/C	This field qualifies what type of ID is in field 7260. This field is sent if 7260 is filled. If 7260 is not filled then this field will be spaces.
Beneficiary Relationship to Entity	73-20	7262	O	This field describes the beneficiary relationship to the owner of the contract.

Beneficiary Date	73-20	7263	O	This field should only be sent if the Natural/Non-Natural Beneficiary Indicator (7253) is N.
Beneficiary Date Qualifier	73-20	7264	O/C	Only sent if Beneficiary Date is filled. Since Beneficiary Date will only be filled when natural (person), the only qualifier allowed currently is 222 (Date of Birth).
Beneficiary Allocation Percent	73-20	7265	R	This field can be filled with zero, but cannot be greater than 100%. For Insurance Transfer Type 02 or 04, this field should be 100% since only one beneficiary should be confirmed back.  Field will look like this: 1000000000
Beneficiary Street Address Line – 1	73-22	7275	R	This field is required if the 73-22 record is sent. The 73-22 record is optional for CAT confirm.
Beneficiary Street Address Line – 2	73-22	7276	O	
Beneficiary City	73-22	7278	O	
Beneficiary State	73-22	7279	O	
Beneficiary Zip	73-22	7280	O	

Beneficiary Country	73-22	7281	O	
Beneficiary Telephone Number	72-23	7030	R	This field is only required if 73-23 record is sent. 73-23 record is optional for CAT confirm.
Agent Accepted	72-30	7300	R	Field is used to indicate which agents were accepted and rejected when there are multiple ones on a contract. If a HRJ or SRJ occurs due to a agent problem, all agents may not be the cause of the reject.
Multiple Status Reason Code	72-30	7302	R	This field is used is used for situations where the SRJ on the 73-01 has a status reason of 999 (multiple reasons). This field will indicate the specific reason for the soft reject. 000 will be the default in this field when there is no need to indicate a multiple status reason.  If 7035 (Transaction Status is: ACK – this field should be 000 SRJ – this field should be 000 if agents are not the reason for the soft reject, or applicable reason code if the agent is the cause of the reject. HRJ – this field should be 000 since HRJ should not have a multiple status of 999 on the 73-01. 000 is the default for HRJ status situations.
Team ID	73-30	7303	O	If there are multiple occurrences of the 73-30 record, team id will only be filled in the first occurrence if provided from ACATS. There is no need to duplicate in each 73-30 record.
Agent ID	73-30	7304	O	This field will be populated for each occurrence of the 73-30 record if provided from ACATS. This field is the broker assigned id which can be unique for each agent.

Agent Tax ID	73-30	7305	O	This field <u>should always be filled</u> , unless a status-reason of SRJ-052 (need additional rep information) is the cause of reject. In this case, the Carrier would not have tax id's to confirm back.
Agent Tax ID Qualifier	73-30	7306	OC	Only fill if 7305 is filled, else spaces.
Agent Date of Birth	73-30	7307	O	Carrier should return this field if received on original CAT.
Agent Allocation Percent	73-30	7308	R	If there is one occurrence of the 73-30 and All Agents Included field is Y, this field will be either 0% or 100%.  If there 2, 3 or 4 occurrences of the 73-30, the sum of the 73-30 records will be either 0% or 100%.

**Change Log**

11/15/04	Updates to standard usage of multiple status reason code fields on 73-10, 20 and 30
3/24/05	Added item 7046 to 73-01 record – Carrier Agent Limits