



Important Notice
National Securities Clearing Corporation

A#: 7756
P&S# 7325
Date: December 17, 2013
To: ALL MEMBERS AND LIMITED MEMBERS
Attention: MANAGERS; OPERATIONS DEPT FOR ANNUITIES & LIFE INSURANCE,
BROKERAGE OPERATIONS, INFORMATION SYSTEMS
From: NSCC Insurance & Retirement Services
Subject: I&RS 2014 March Enhancement Release

Overview:

In order to support industry requests, the Insurance and Retirement Processing Services (I&RS) has scheduled an enhancement release for March 2014. This is the first of two scheduled enhancement releases for 2014. I&RS Enhancement Releases include Review Board Enhancement Requests submitted by members, as well as maintenance items National Securities Clearing Corporation ("NSCC") deems necessary to improve the overall operational performance of the systems.

The enhancements in this release will affect the following functionalities:

IAT - Attachments

COM - Commissions

FAR – Financial Activity Reporting

APP/SUB – Initial Applications and Subsequent Premiums

LNA – Licensing & Appointments

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

- PVF – Positions & Valuations Full Refresh File
- PNF – Positions New Business File
- PFF – Positions Focused File

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Important Note:

Please see the Requirements Document for detail on which changes are optional and which changes are required. To view the Requirements Document, see the instructions in the Specification Documents section of this Important Notice.

Schedule:

- Test – Thursday, February 27, 2014
- Production – Thursday, March 20, 2014

Specification Documents:

Documentation is available at the I&RS website, <http://www.dtcc.com/investment-product-services/insurance-and-retirement-services/participant-support-services.aspx>. Click on the Enhancements section.

The following documentation will be identified. All changes to the record layouts are highlighted in yellow. Items may be added to the lists below as NSCC may deem advisable.

- 2014 March Enhancement Release Technical Specifications Document

Flat Files:

- Draft COM Record Layouts
- Draft FAR Record Layouts
- Draft APP/SUB Record Layouts
- Draft LNA Record Layouts
- Draft POV Record Layouts

Release Specifications:

These changes are based on the recommendations made by the originator of the enhancement request and approved by I&RS.

The actual enhancement request can be found at our website under “IPS Enhancements Approved for Future Release” in the User Group section of our website. Do not use the actual enhancement request document for programming. The Draft Record Layouts and 2014 March Enhancement Release Technical Specifications Document should be used for this purpose. We are making the actual enhancement request document available to summarize the business purpose for the changes.

For additional information on this enhancement release, please contact your Relationship Manager.

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Jon Volpe
Product Manager

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