# INSURANCE & RETIREMENT SERVICES

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# SEPTEMBER 2021 ENHANCEMENT RELEASE

**REQUIREMENTS DOCUMENT**

# Requirements Overview

This document provides the detailed changes made to the I&RS record layouts as part of the September 2021 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:

IFW – In Force Web Transactions

LNA – LNA Training Vendor and Licensing & Appointments

# 2021 September Enhancement Release Dates (subject to change)

**Test**

Thursday, August 19th, 2021

**Production**

Thursday, September 16th, 2021

**Enhancement Changes**

1. IFW – In Force Web Transactions

**IPS00655 – IFW – Add New Elements to 113 and 21209**

1. Values Inquiry (21209/21207/~~21208~~ Request & Response)
   1. Increase number of occurrences of Participant to 6
      * XPath:
        + <TXLife/TXLifeRequest/OLifE/Holding/Policy/Annuity/Rider/Participant>
        + <TXLife/TXLifeResponse/OLifE/Holding/Policy/Annuity/Rider/Participant>
2. Policy Administration (113 Request & Response)
   1. Add AuditEntry object as optional
      * XPath:
        + <TXLife/TXLifeRequest/OLifE/OLifEExtension
        + <TXLife/TXLifeResponse/OLifE/OLifEExtension
   2. Under this AuditEntry object – add the below fields
      * AuditEntry ID
      * ACORDVendorCode
      * CorrelationGUID
      * AuditTransSummation
        + XPath:
        + <TXLife/TXLifeRequest/OLifE/OLifEExtension/AuditEntry>
        + <TXLife/TXLifeResponse/OLifE/OLifEExtension/AuditEntry>
      * AuditTransSummation ID
      * AuditTotalType
      * AuditTotal
        + XPath:
        + <TXLife/TXLifeRequest/OLifE/OLifEExtension/AuditEntry/AuditTransSummation>
        + <TXLife/TXLifeResponse/OLifE/OLifEExtension/AuditEntry/AuditTransSummation>
      * **Note:** This will be the same as 102 message. For both Request and Response, AuditEntry will be optional but if used, AuditEntry ID – optional, ACORDVendorCode – required, Correlation GUID – conditional (optional in Response), AuditTransSummation – required, AuditTransSummation ID – optional, AuditTotalType – required, and AuditTotal – required. The condition for Correlation GUID will be the same as the 102 request - When AuditTotalType = 3 and AuditTotal >1, CorrelationGUID must be populated.
   3. Increase number of occurrences of Participant to 6
      * XPath:
        + <TXLife/TXLifeRequest/OLifE/Holding/Policy/Annuity/Rider/Participant>
        + <TXLife/TXLifeResponse/OLifE/Holding/Policy/Annuity/Rider/Participant>
   4. ~~Add PartyID as optional in Party object~~ 
      * ~~XPath:~~
        + ~~<TXLife/TXLifeRequest/OLifE/Party>~~
        + ~~<TXLife/TXLifeResponse/OLifE/Party>~~
   5. Increase number of occurrences of Rider object to 10
      * XPath:
        + <TXLife/TXLifeRequest/OLifE/Holding/Policy/Annuity/Rider>
        + <TXLife/TXLifeResponse/OLifE/Holding/Policy/Annuity/Rider>
   6. Add the following to Rider object, as optional
      * ID
      * ~~PartyID~~
      * RiderTypeCode
      * RiderSubTypeCode
      * RiderCode
      * RiderStatus
      * LivesType
      * ShortName
      * ~~Participant (6 maximum number of occurrences)~~
        + <TXLife/TXLifeRequest/OLifE/Holding/Policy/Annuity/Rider>
        + <TXLife/TXLifeResponse/OLifE/Holding/Policy/Annuity/Rider>

**IPS00660 – IFW – Increase Address Object Occurrences**

1. Policy Administration 113 (Request & Response) and 115 (Response):
   1. Increase Address object max occurrence within Party to 3
      * XPath:
        + <TXLife/TXLifeRequest/OLifE/Party/Address>
        + <TXLife/TXLifeResponse/OLifE/Party/Address>
2. ~~107 (Request), 105 (Request),~~ 113 (Request/Response), 115 (Response), and 810 (Request/Response).
   1. Add code 2 = Business to the AddressTypeCode list
      * XPath:
        + <TXLife/TXLifeRequest/OLifE/Party/Address/AddressTypeCode>
        + <TXLife/TXLifeResponse/OLifE/Party/Address/AddressTypeCode>
3. ~~Modifications to IFT Access (Broker Dealer of Record Change - BDR) platform as well. IFT Access for Broker Dealer of Record Change will be enhanced to support the submission of multiple addresses. The submission of multiple addresses will be supported for parties representing Owner and Beneficiary when the transfer type submission is Custodial to Non-Custodial.~~

**IPS00661 – IFW – Add ArrangementKey Property**

1. 107 Cancel (Request/Response) – add the following as optional:
   1. Arrangement Object
      * XPath:
        + <TXLife/TXLifeRequest/OLifE/Holding>
        + <TXLife/TXLifeResponse/OLifE/Holding>
   2. Under this Arrangement Object – add the below fields
      * ID
      * ArrangementKey
      * ReferenceNo
      * XPath:
        + <TXLife/TXLifeRequest/OLifE/Holding/Arrangement>
        + <TXLife/TXLifeResponse/OLifE/Holding/Arrangement>
   3. **Note**: If Holding.Arrangement object is present (otherwise optional), then Holding.Arrangement.ID is required. Holding.Arrangement.ArrangementKey and Holding.Arrangement.ReferenceNo will be optional.
2. 107 (Response) and 105 (Response) – add the following
   1. Arrangementkey
      * XPath
        + <TXLife/TXLifeResponse/OLifE/Holding/Arrangement>
   2. **Note:** Holding.Arrangement.ArrangementKey will be optional.

**VI 21208 Response**

1. VI 21208 Response – Add the following field and codes. This field will be optional on the response.
   1. Field Name: ArrMode
      * XPath:
        + <TXLife/TXLifeResponse/OLifE/Holding/Arrangement>
   2. Codes and Descriptions:
      * 6 = Weekly
      * 9 = Single Pay
      * 15 = Every 2 Months
      * XPath:
        + <TXLife/TXLifeResponse/OLifE/Holding/Arrangement/ArrMode>
2. LNA – LNA Training Vendor and Licensing & Appointments

**IPS00663 – LNA – Modify Training Vendor File**

1. On Producer Training Layout, modify current edit
   1. Current edit: SSN (1019) is mandatory
   2. New edit: SSN (#1019) will be O/C (optional/conditional). If NPN (#1021) is passed, then SSN (#1019) can be omitted.
      * Both SSN and NPN can be passed but at least one is required
   3. **Note:** If both SSN and NPN are not provided, reject code 1021 will be populated. Any invalid value in SSN (not numeric or length is not 9 bytes) will be treated as SSN is not provided
2. LNA Documentation Change Only: The below comment on 53/02 record will be modified
   1. Current comment: For all transaction types - National Producer Number (6155) is required on all 5302 records present. Please note:  if the TU transaction is input from training vendor, to DTCC, NPN is optional. Otherwise, NPN is required for TU transaction. Value provided has to be left-justified, numeric and at least 6 digits.
   2. New comment: For all transaction types - National Producer Number (6155) is required on all 5302 records present. Please note:  if the TU transaction is input from training vendor, to DTCC, NPN will be required if SSN is not sent. Otherwise, NPN is required for TU transaction. Value provided has to be left-justified, numeric and at least 6 digits.

**APPENDIX**

Documentation Changes

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| **Date** | **Changes** |
| 4/28/2021 | Draft |
| 5/19/2021 | Removed POV change, marked ArrMode as optional, modified ArrangementKey edit |
| 6/16/2021 | Clarified edits to AuditEntry, removed PartyID from 113 change, removed reference to IFT Access, removed VI 21208 message from increase participant occurrence change, removed 107 and 105 Request from AddressTypeCode change, added rest of ArrMode codes |
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For additional information on this enhancement release, please call your I&RS Relationship Manager.

DTCC Insurance & Retirement Services