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Financial Activity to Asset Managers (FAM) file layout

(As of: 09/2019)

Document Revision History

Date	Author	Change Description
05/01/2018	O Grudnikov	Initial implementation
08/10/2018	J Smith	Updated with field definitions
10/16/2018	O Grudnikov	Added new record with source type 4303 (zip code)
01/24/2019	J.Smith	Updated with field definition
05/17/2019	J Smith	Added Fund Correlation Number field to the 43/05 and 43/06 record.
09/2019	O Gridnikov	Sept 2019 changes – Agent record

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Files for 'FAR to Asset Managers' process

This document describes the record formats for the flat files created from the Insurance Financial Activity Reporting product. These files will be made available on a daily basis for sending to Asset Managers or solution providers on behalf of Asset Managers.

File layout definitions:

- 1. Optional fields that are not used will contain spaces for Alphanumeric or Date fields and zeros/spaces for Numeric fields.
- 2. "Filler" fields will contain spaces.
- 3. Numeric decimal fields are decimal implicit.
- 4. Alphanumeric fields are left justified.
- 5. Numeric fields are right justified with leading zeros.

Column headings are as follows:

- ☐ Start: The position where the field starts
- ☐ End: The position where the field ends
- ☐ Length: The length of the field in bytes
- ☐ Type: A/N = Alphanumeric, N = Numeric, D = Date Format (YYYYMMDD)
- ☐ Field Name: The name of the field
- ☐ Description: Field Usage and Definition
- ☐ Allowed Values: Field description
- ☐ Item Number: DTCC assigned item number
- ☐ Required Indicator: O = Optional, M = Mandatory

1.1 Contract record (C43-01)								
Start	End	Length	Type	Field name	Description	Allowed Values	Item#	Required Indicator
1	8	8	D	Extract date	Date the I&RS process runs the extract file for delivery	CCYYMMDD		M
9	11	3	A/N	Business Event	FAR	FAR	5001	M
12	15	4	A/N	Sender	Used to identify the Carrier transmitting the transmission. This is the NSCC member number.	Alphanumeric	5007	M
16	45	30	A/N	Transmission ID	Transmission Unique ID from record C40	Submitters NSCC Participant Number Data Submitted Time Submitted Hard Coded File	5002	M
46	53	8	D	Transmission Date	Date this file was transmitted.	CCYYMMDD	5003	M
54	63	10	A/N	Associated Sender	Carrier with which the business transaction has been conducted. This could differ from the Settling Carrier due to state regulations.	Alphanumeric	5009	O
64	67	4	A/N	Receiver	Contra Participant Number from record C42	ID of the Receiving Company.	5017	M
68	77	10	A/N	Associated Receiver	Associated Firm I.D.	A number established by the Broker/Dealer to sub divide their business	5019	M
78	107	30	A/N	Contract Number	Unique number used to Identify the contract.	Alphanumeric	5021	M
108	111	4	N	Source Record type	4301	4301	N/A	M
112	150	39	A/N	Filler		Spaces	N/A	M
151	159	9	A/N	CUSIP Number	The annuity plan or product's CUSIP		5025	M
160	184	25	A/N	Contract Status	This is reporting current status of the contract as of the transaction Activity.	See full FAR record layouts for available statuses available on the code list.	5026	M
185	192	8	D	Contract Date - 1	Date(s) associated with the contract, e.g. effective, certificate, mailing, maturity issue	CCYYMMDD	5027	M
193	217	25	A/N	Contract Date Qualifier -1	Qualifies the dates above. For example, contract effective date, issue date, surrendered date, mailed date, maturity, etc.	See full FAR record layouts for available contract dates available on the code list.	5028	M
218	225	8	D	Contract Date - 2	Date(s) associated with the contract, e.g. effective, certificate, mailing, maturity issue	CCYYMMDD	5027	O
226	250	25	A/N	Contract Date Qualifier -2	Qualifies the dates above. For example, contract effective date, issue date, surrendered date, mailed date, maturity, etc.	See full FAR record layouts for available contract dates available on the code list.	5028	O
251	258	8	D	Contract Date - 3	Date(s) associated with the contract, e.g. effective, certificate, mailing, maturity issue	CCYYMMDD	5027	O
259	283	25	A/N	Contract Date Qualifier -3	Qualifies the dates above. For example, contract effective date, issue date, surrendered date, mailed date, maturity, etc.	See full FAR record layouts for available contract dates available on the code list.	5028	O
284	291	8	D	Contract Date - 4	Date(s) associated with the contract, e.g. effective, certificate, mailing, maturity issue	CCYYMMDD	5027	O

292	316	25	A/N	Contract Date Qualifier -4	Qualifies the dates above. For example, contract effective date, issue date, surrendered date, mailed date, maturity, etc.	See full FAR record layouts for available contract dates available on the code list.	5028	O
317	324	8	D	Contract Date - 5	Date(s) associated with the contract, e.g. effective, certificate, mailing, maturity issue	CCYYMMDD	5027	O
325	349	25	A/N	Contract Date Qualifier -5	Qualifies the dates above. For example, contract effective date, issue date, surrendered date, mailed date, maturity, etc.	See full FAR record layouts for available contract dates available on the code list.	5028	O
350	374	25	A/N	Product Type Code	Code List	See full FAR record layouts for available product type available on the code list.	5139	O
375	450	76	A/N	Filler	Spaces	Spaces for future use.	N/A	M

1.2 Contract Entity Address record (C43-03)								
Start	End	Length	Type	Field name	Description	Allowed Values	Item#	Required Indicator
1	8	8	D	Extract date	Date the I&RS process runs the extract file for delivery	CCYYMMDD		M
9	11	3	A/N	Business Event	FAR	FAR	5001	M
12	15	4	A/N	Sender	Used to identify the Carrier transmitting the transmission. This is the NSCC member number.	Alphanumeric	5007	M
16	45	30	A/N	Transmission ID	Transmission Unique ID from record C40	Submitters NSCC Participant Number Data Submitted Time Submitted Hard Coded File	5002	M
46	53	8	D	Transmission Date	Date this file was transmitted.	CCYYMMDD	5003	M
54	63	10	A/N	Associated Sender	Carrier with which the business transaction has been conducted. This could differ from the Settling Carrier due to state regulations.	Alphanumeric	5009	O
64	67	4	A/N	Receiver	Contra Participant Number from record C42	ID of the Receiving Company.	5017	M
68	77	10	A/N	Associated Receiver	Associated Firm I.D.	A number established by the Broker/Dealer to sub divide their business	5019	M
78	107	30	A/N	Contract Number	Unique number used to Identify the contract.	Alphanumeric	5021	M
108	111	4	N	Source Record type	4303	4303	N/A	M
112	150	39	A/N	Filler		Spaces	N/A	M
151	165	15	A/N	Entity Zip Code	The zip code of the contract or policy owner.	Alphanumeric	5044	O
375	450	192	A/N	Filler	Spaces	Spaces for future use.	N/A	M

1.3 Agent record (C43-04)								
Start	End	Length	Type	Field name	Description	Allowed Values	Item#	Required Indicator
1	8	8	D	Extract date	Date the I&RS process runs the extract file for delivery	CCYYMMDD		M
9	11	3	A/N	Business Event	FAR	FAR	5001	M
12	15	4	A/N	Sender	Used to identify the Carrier transmitting the transmission. This is the NSCC member.	Alphanumeric	5007	M
16	45	30	A/N	Transmission ID	Transmission Unique ID from record C40	Submitters NSCC Participant Number Data Submitted Time Submitted Hard Coded File	5002	M
46	53	8	D	Transmission Date	Date this file was transmitted.	CCYYMMDD	5003	M
54	63	10	A/N	Associated Sender	Carrier with which the business transaction has been conducted. This could differ from the Settling Carrier due to state regulations.	Alphanumeric	5009	O
64	67	4	A/N	Receiver	Contra Participant Number from record C42	ID of the Receiving Company.	5017	M
68	77	10	A/N	Associated Receiver	Associated Firm I.D.	A number established by the Broker/Dealer to sub divide their business	5019	M
78	107	30	A/N	Contract Number	Unique number used to Identify the contract.	Alphanumeric	5021	M
108	111	4	N	Source Record type	4304	4304	N/A	M
112	150	39	A/N	Filler		Spaces	N/A	M
151	170	20	A/N	Agent Tax I.D.	Agent tax identifier	Agent of record on annuity contract or insurance policy	5046	O
171	195	25	A/N	Agent Tax I.D. Qualifier	Code List	See full FAR record layouts for available tax ID qualifiers available on the code list.	5047	O
196	300	105	A/N	Agent Name	Actual Non-Natural Name for Agent such as House Account. Please see note*	If agent is non-natural, this will be populated with Team Name. When not used, filled with spaces	5131	M
301	325	25	A/N	Agent Role	Identifies the role that the reported agent is playing (e.g. servicing, writing, primary, etc.)	See full FAR record layouts for available agent roles available on the code list.	5119	M
326	350	25	A/N	Agent Type Code	Identifies the type of agent that is being identified (e.g. person, non-person, partnership, etc.)	See full FAR record layouts for available agent types available on the code list.	5118	O
351	370	20	A/N	Distributor Assigned Agent ID	The agent identifier established by the broker/dealer or insurance agency	alphanumeric	5124	O
371	371	1	A/N	Agent Natural/Non-Natural Name Indicator	Indicates if the reported is a natural person or non-natural entity.	N = Natural, X = Non-Natural	5129	M
372	381	10	A/N	National Producer Number	A unique sequential number that identifies each entity in PDB, including individual producers and business producers. It is a 10-digit number without leading zeros.	alphanumeric	5130	O
382	391	10	N	Rep/Advisor Split %	Defines the percentage of the reported Rep/Advisor split.	When used format is 9(01)v9(09)	5144	O

392	401	10	A/N	CRD Number	FINRA Central Repository Depository (CRD) identifier used by US securities industry and its regulators	Alphanumeric	5151	O
402	421	20	A/N	Carrier Assigned Agent ID	This identifier is created and defined by the insurance carrier (provider) where the defined advisor/agent is appointed with	alphanumeric	5152	O
422	450	29	A/N	Filler		spaces	N/A	M

Note *: When item #5129 = ‘X’, bytes 223-327 are the Agent Non-Natural Name, item #5131. Otherwise it is distributed as follows:

196	230	35	A/N	Agent Last Name	The last name of the person who is listed as the agent of record.	alphanumeric	5048	O
231	255	25	A/N	Agent First Name	The first name of the person who is listed as the agent of record.	alphanumeric	5049	O
256	280	25	A/N	Agent Middle Name	The middle name of the person who is listed as the agent of record.	alphanumeric	5050	O
281	290	10	A/N	Agent Prefix	Prefix	alphanumeric	5051	O
291	300	10	A/N	Agent Suffix	Suffix	alphanumeric	5052	O

Note: **: when not used, filled with spaces; when used – format is 9(01)v9(09)

1.4 Transaction record (C43-05)								
Start	End	Length	Type	Field name	Description	Allowed Values	Item#	Required Indicator
1	8	8	D	Extract date	Date the I&RS process runs the extract file for delivery	CCYYMMDD		M
9	11	3	A/N	Business Event	FAR	FAR	5001	M
12	15	4	A/N	Sender	Used to identify the Carrier transmitting the transmission. This is the NSCC member.	Alphanumeric	5007	M
16	45	30	A/N	Transmission ID	Transmission Unique ID from record C40	Submitters NSCC Participant Number Data Submitted Time Submitted Hard Coded File	5002	M
46	53	8	D	Transmission Date	Date this file was transmitted.	CCYYMMDD	5003	M
54	63	10	A/N	Associated Sender	Carrier with which the business transaction has been conducted. This could differ from the Settling Carrier due to state regulations.	Alphanumeric	5009	O
64	67	4	A/N	Receiver	Contra Participant Number from record C42	ID of the Receiving Company.	5017	M
68	77	10	A/N	Associated Receiver	Associated Firm I.D.	A number established by the Broker/Dealer to sub divide their business	5019	M
78	107	30	A/N	Contract Number	Unique number used to Identify the contract.	Alphanumeric	5021	M
108	111	4	N	Source Record type	4305	4305	N/A	M
112	131	20	A/N	Fund Correlation Number	File Processing Date (CCYYMMDD + 12 zeros) starting with 1 each processing date.	CCYYMMDD000000000000	N/A	M
132	150	19	A/N	Filler		spaces	N/A	M
151	166	16	N	Transaction Amount	Total transaction amount, may be zeros	9(14)v9(02)	5055	M
167	167	1	A/N	Transaction Amount Debit/Credit Indicator	Identifies if the transaction is a debit or credit to the annuity contract or insurance policy.	D = Debit, C = Credit	5055	M
168	192	25	A/N	Transaction Source Indicator	Indicates who initiated the transaction (ex- Agent, Client). See FAR standard usage for more detail on when this field is needed.	See full FAR record layouts for available transaction sources available on the code list.	5127	O
193	217	25	A/N	Transaction Identifier	Qualifies type of transaction i.e., loan repayment, dollar cost average	See full FAR record layouts for available transaction identifiers available on the code list.	5057	M
218	242	25	A/N	Payment Type	Specifies the type of payment selected from the code list.	See full FAR record layouts for available payment types available on the code list.	5140	O
243	250	8	D	Transaction Date (Effective)	Effective date or as of value date.	CCYYMMDD	5060	M
251	258	8	D	Transaction Date (Process)	Process date – system process date – may be the same as the effective date.	CCYYMMDD	5061	M
259	450	192	A/N	Filler		Spaces	N/A	M

1.5 Fund record (C43-06)								
Start	End	Length	Type	Field name	Description	Allowed Values	Item#	Required Indicator
1	8	8	D	Extract date	Date the I&RS process runs the extract file for delivery	CCYYMMDD		M
9	11	3	A/N	Business Event	FAR	FAR	5001	M
12	15	4	A/N	Sender	Used to identify the Carrier transmitting the transmission. This is the NSCC member.	Alphanumeric	5007	M
16	45	30	A/N	Transmission ID	Transmission Unique ID from record C40	Submitters NSCC Participant Number Data Submitted Time Submitted Hard Coded File	5002	M
46	53	8	D	Transmission Date	Date this file was transmitted.	CCYYMMDD	5003	M
54	63	10	A/N	Associated Sender	Carrier with which the business transaction has been conducted. This could differ from the Settling Carrier due to state regulations.	Alphanumeric	5009	O
64	67	4	A/N	Receiver	Contra Participant Number from record C42	ID of the Receiving Company.	5017	M
68	77	10	A/N	Associated Receiver	Associated Firm I.D.	A number established by the Broker/Dealer to sub divide their business	5019	M
78	107	30	A/N	Contract Number	Unique number used to Identify the contract.	Alphanumeric	5021	M
108	111	4	N	Source Record type	4306	4306	N/A	M
112	131	20	A/N	Fund Correlation Number	File Processing Date (CCYYMMDD + 12 zeros) starting with 1 each processing date.	CCYYMMDD000000000000	N/A	M
132	150	19	A/N	Filler		Spaces	N/A	M
151	169	19	A/N	Fund Identifier	Identifies the fund (CUSIP number plus the internal insurance company fund number)	9+5+5 (CUSIP + Fund ID + Sub Fund ID) alphanumeric	5064	M
170	185	16	N	Fund Amount	The fund value in dollars	9(14)v9(02)	5066	O
186	186	1	A/N	Fund Amount Debit/Credit Indicator	Identifies if the transaction is a debit or credit to the reported fund.	D = Debit, C = Credit	5065	O
187	201	15	N	Fund Unit Price	Price of a single fund unit	9(06)v9(09)	5072	O
202	219	18	N	Fund Units	Number of units in the fund	9(12)v9(6)	5073	O
220	220	1	A/N	Fund Units Debit/Credit Indicator	Identifies if the transaction is a debit or credit in units on the reported fund.	D = Debit, C = Credit	5073	O
221	229	9	A/N	Mutual Fund CUSIP Number	CUSIP number of the mutual fund that underlying security is tied to	Alphanumeric	5126	O
230	241	12	A/N	Fund Account number	The account number of the fund held at the mutual fund company.	Alphanumeric	5145	O
242	450	209	A/N	Filler		Spaces	N/A	M