Standard Usage for Registered Representative Change (REP) Transaction (Non-ACATS)
3/24/05   (see Change Log for updates since last version)

REP Transaction is used to change a registered representative on an insurance contract within in the same Broker/Dealer. This document is for Non-ACATS related representative changes. The REP transaction can also be used for corrective action in the ACATS process. A separate Standard Usage document is available for ACATS related REP transactions.

Listed are the fields applicable to the REP transaction. Fields not listed are not used for this transaction and should be filled with spaces if alpha/numeric and date fields and zeros for numeric fields (see layouts).

Note: Records and field that are required but not included in Standard Usage are Submitting Header (70) and Contra Header (72) records, as well as System Code, Record Type, Sequence Number and NSCC Control Number in 73-01 and 73-30 records.

If there are multiple occurrences of the 73-30 (Agent Record) due to multiple agents on a contract, the first occurrence should be the primary agent on the contract.

If there are multiple agents on a contract, the distributor must include all agents even if the intention is to only change some of the agents.

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

Field Name	Record	Field Item #	DTCC Edit	Description	Notes
Original Control Number	73-01	7031	C	Not Used for Distributor Request (spaces) Required for Carrier Confirm	Carrier will use Original Control Number to connect back to the initial request. It should be filled with the NSCC control number submitted by the Distributor on the initial request.
Transaction Type	73-01	7033	R	Required for both Distributor Requests and Carrier Confirms	Filled with code "REP"
Transaction Status	73-01		C	Not Used for Distributor Request (spaces) Required for Carrier Confirm	Carrier should only use the ACK (for accepted transactions) or HRJ (rejected transactions). SRJ should not be used for non-ACATS REP transactions.

Transaction Status Reason	**73-01**		**C**	**Not Used for Distributor Request (spaces)** **Required for Carrier Confirm**	**Carrier must use 000 (Accepted) when Transaction Status is ACK.** **Carrier can use any applicable reason codes if Transaction Status is HRJ.** **Carriers should not use 999 (multiple reasons) unless there are multiple reps. If there are multiple reps, the only time 999 may be used is if one rep was reject due to not being appointed (050) and one rep was rejected due to not being registered at the B/D on Carriers record (051).** **All other rejects should be prioritized by the Carrier so the process stops once a reject is detected.** **Example –** **If Carrier detects Contract Not Found (034), that should stop the process and 034 should be the reject code.**
Contract Number	**73-01**	**7037**	**R**	**Required for both Distributor Request and Carrier Confirm**	
CUSIP Number	**73-01**	**7038**	**O**	**Optional for both Distributor Request and Carrier Confirm**	**CUSIP number is optional for Non-ACATS REP transactions.**

IRS Qualification Code	**73-01**	**7039**	**O**	**Optional for both Distributor Request and Carrier Confirm**	**CUSIP number is optional for Non-ACATS REP transactions.**
New/Current Distributor Client Account ID (BIN)	**73-01**	**7041**	**O**	**Optional for both Distributor Request and Carrier Confirm**	**Current BIN would apply to this transaction. However, this field is optional for Non-ACATS REP transactions.**
NAIC Number	**73-01**	**7042**	**C**	**Not Used for Distributor Request (spaces)** **Optional for Carrier Confirm**	**Carrier should only fill this field under the following conditions:** **Transaction Status = HRJ** **Transaction Status is:** **014 (Receiving Firm not appointed in Issue State)** **015 (Receiving Firm not appointed in Resident State)** **050 (Rep Not Appointed)** **For any other condition, this field should be spaces** **Note: DTCC will not edit this condition**
Line of Business	**73-01**	**7043**	**C**	**Not Used for Distributor Request**	**Carrier will only fill this field under the following conditions:** **Transaction Status = HRJ** **Transaction Status is:**

				(spaces) **Optional for Carrier Confirm**	**014 (Receiving Firm not appointed in Issue State)** **015 (Receiving Firm not appointed in Resident State)** **050 (Rep Not Appointed)** **For any other condition, this field should be spaces** **Note: DTCC will not edit this condition**
Appointment State – 1	**73-01**	**7044**	**C**	**Not Used for Distributor Request (spaces)** **Optional for Carrier Confirm**	**Carrier will only fill this field under the following conditions:** **Transaction Status = HRJ** **Transaction Status is:** **014 (Receiving Firm not appointed in Issue State)** **015 (Receiving Firm not appointed in Resident State)** **050 (Rep Not Appointed)** **For any other condition, this field should be spaces** **Note: DTCC will not edit this condition**
Appointment State – 2	**73-01**	**7044**	**C**	**Not Used for Distributor Request (spaces)** **Optional for Carrier Confirm**	**Carrier will only fill this field under the following conditions:** **Transaction Status = HRJ** **Transaction Status is:** **050 (Rep Not Appointed) and the rep needs to be appointed in two states.** **For any other condition, this field should be spaces** **Note: DTCC will not edit this condition**

Appointment State - 3	**73-01**	**7044**	**C**	**Not Used for Distributor Request (spaces)** **Optional for Carrier Confirm**	**Carrier will only fill this field under the following conditions:** **Transaction Status = HRJ** **Transaction Status is:** **050 (Rep Not Appointed) – and the rep needs to be appointed in 3 states.** **For any other condition, this field should be spaces** **Note: DTCC will not edit this condition**
Delivering/Current Firm Owner SSN/Tax ID	**73-01**	**7104**	**O**	**Optional for both Distributor Request and Carrier Confirm**	**Distributor and Carrier can use this field as an extra verification to ensure correct contract number. Some firms may use this field or they may use the Annuitant SSN or they may use both. Check with your trading partner.**
Delivering/Current Firm Annuitant SSN/Tax ID	**73-01**	**7105**	**O**	**Optional for both Distributor Request and Carrier Confirm**	**Distributor and Carrier can use this field as an extra verification to ensure correct contract number. Some firms may use this field or they may use the Owner SSN or they may use both. Check with your trading partner.**
Carrier Agent Limits	**73-01**	**7046**	**O**	**Not Used for Distributor and Optional for Carrier**	**Carrier will only fill this field under the following condition:** **Transaction Status = SRJ** **Transaction Status Reason is:** **054 (Number of Agents Exceeds Carrier Limits)** **For any other condition, this field should be spaces.**

					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".**
Agents Accepted	**73-30**	**7300**	**C**	**Not Used for Distributor Request (spaces)*** **Required for Carrier Confirm**	**This field is used to indicate which agents were rejected when multiple occurrences of the 73-30 record are submitted under one REP transaction.** **If Transaction Status in 73-01 is ACK, then this field for all 73-30 occurrences should be Y.** **If Transaction Status in 73-01 is HRJ, this field should be N if there is only one 73-30 record. When there are multiple occurrences of the 73-30 record, Y or N may be applicable. Not all agents may have been the cause of the rejected transaction. This field allows the Carrier to indicate which specific agents caused the reject.** ***Note to Distributors: Carriers will not process a transaction unless all agents are in good order. This field is to help you determine which agents caused the reject. If a HRJ confirm occurs, Distributor will need to resubmit a REP transaction again with all agents included, even the ones that were considered acceptable the first time.**
Multiple Reason Code	**73-30**	**7302**	**C**	**Not Used for Distributor Request (spaces)** **Required for Carrier Confirm**	**If Transaction Status is ACK, this field should be filled with 000.** **If Transaction Status is SRJ, either use 000 or applicable reason code.** **If Transaction Status is HRJ, use 000.**

Team ID	**73-30**	**7303**	**O**	**Optional for both Distributor Request and Carrier Confirm**	**If there are multiple occurrences of the 73-30 record, team id should only be filled in the first occurrence. There is no need to duplicate in each 73-30 record. However, DTCC will not edit this.**
Agent ID	**73-30**	**7304**	**O**	**Optional for both Distributor Request and Carrier Confirm**	**This field should be populated for each occurrence of the 73-30 record. This field is the broker/dealer assigned id which can be unique for each agent.**
Agent Tax ID	**73-30**	**7305**	**R**	**Required for both Distributor Request and Carrier Confirm**	
Agent Tax ID Qualifier	**73-30**	**7306**	**R**	**Required for both Distributor Request and Carrier Confirm**	
Agent Date of	**73-30**	**7307**	**C**	**Optional**	

Birth				**for Distributor Request and for Carrier Confirm**	
Agent Allocation Percent	**73-30**	**7308**	**O**	**Optional for both Distributor Request and Carrier Confirm**	**Optional means that the field does not have to be greater than zero. However, a zero fill is mandatory for this field.** **DTCC will edit to make sure all occurrences of the 73-30 record add up to either 0% or 100%. If it does not add up to 0% or 100%, it will be rejected back to the submitting firm.** **General practice is that if there are multiple agents, they are all zero, if allocation is not being indicated or they are all greater than zero (adding up to 100%) to indicate the allocation.**

Change Log

11/15/04	Multiple Status Reason Code field comments updated
	Agent DOB was changed from Required for Distributors to Optional for Distributors.
3/24/05	Added item 7046 to 73-01 record – Carrier Agent Limits