Meeting Minutes –I&RS Review Board

CATEGORY	DESCRIPTION
Meeting Name:	DTCC I&RS Review Board
Facilitator	Jeanann Smith, Cory Stark
Scribe	Cory Stark, Jeanann Smith
Date & Time:	July 7, 2020 2pm – 3:30pm
Location:	Conference Call

Advisory Group Attendees

NAME	GROUP
Yolanda Austin	ACORD
Lalitha Nagarajan Sathya Srinivasan Monica Avery	AIG
Weusi Sharp	Albridge
Cindy Robeck	Allianz
Carol Albright	Allstate
Michele Reece W Crane	American-Equity
Susanne Kennedy	Athene
Charlie Evans	Brighthouse
Dawn Maffiolini Danny Avalos	Delaware life
Jeanann Smith Cory Stark	DTCC
Bryan Holland Suzanne Dorman	EBIX
Krysti Spohn Ryan Brown Sue Pettit	Edward Jones
Jennifer Yerly Vicki Dees Brenda Brown-Morris	Genworth
David Desrocher	Insurance Technologies
Andrew Mcmorris Adam Ducorsky Dave Lamphere Jay Rottenberk	Ipipeline
Dan Falco	John Hancock
Rob Hosier Andrea Trosper	Lincoln
Carol Steele Angela Thompson	Merrill Lynch
Joe Wengler	Morgan Stanley

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Nick Jellings	National Western
Matt Sullivan	NYL
Eileen Sorrows Harva Cope	Ohio National
Joe Procacini Danny Smith Liz Moore	Pacific Life
Susan Sanders Amy Hamilton Inge Hadi	Protective
Mike Syrett	Prudential
Stephen Terry	Raymond James
Kathi Carter Shelley Wallace Ryan Hoffman	Stifel
Chani Lu	Symetra
Michael Sullivan	The Hartford
Brian Gossman Fran Forslund Jill Leggett Nancy Merryman	TransAmerica
Jonas Hellie Carolyn Palmer Ben Daniels April Grover	Wells Fargo

Meeting Minutes

Enhancements Re-Reviewed:

No enhancements to be re-reviewed.

New Enhancements Reviewed:

No new enhancements to be reviewed.

Discussion Items:

The following items were reviewed during today's call. As you can tell a number of 'old' discussion items are not present on this agenda. Several of these items are from 4-6 months ago. To clean up the agenda, Jovani Munoz sent emails back on 6/29/20 asking if the discussion item needed to remain on the agenda or if it had

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been resolved. Each of the items have been removed until we hear back to add it on the agenda for the next call.

- TLSv1.2 Upgrade

  - DTCC's technology risk department is requiring all web service clients to upgrade their TLS (Transport Layer Security) web security to version 1.2 in both Production and Test (PSE) regions.
  - An email was distributed to only those impacted clients who transmit inbound to DTCC web services messages with a TLS version lower than 1.2 to any of these URLs:

Production	PSE (test)
ws.dtcc.com	wsu.dtcc.com
ws.dtcc.net	wsu.dtcc.net

  - DTCC will no longer support and accept a TLS version lower than 1.2. To meet our technology risk requirement, each client's inbound to DTCC TLS version is to be updated **before July 27, 2020**.

Impacted clients are asked to email insurancepm@dtcc.com before July 10th, 2020 which inbound to DTCC version of TLS you are currently supporting or if you have any questions.

  - Impacted Firms:
    - Morgan Stanley
    - Ebix
    - iPipeline
    - Pershing
    - Hantz Financial Services
    - Merrill Lynch/Bank of America
    - Fid-X
    - Insurance Technologies

- Digital Certificate Renewals

  - Clients who support 2 way (mutual authentication) will be notified the certificate presented in PSE will expire on August 3rd, 2020. DTCC will renew their PSE certificate from a trusted Certificate Authority (CA) and provide the root and intermediate certificates to our impacted clients.
  - We are asking all impacted clients to 'whitelist' the certificate in their own keystore tables prior to the date/time DTCC makes this certificate their

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primary certificate for cert presentation during the mutual authentication processing. The PSE cert is set to expire on 8/4/2020.

- In addition, to support a DTCC Technology Risk Management requirement, DTCC will renew its Production certificates used for mutual authentication.

- Both PSE and Production certs will be announced in an email shortly with specific dates and times for implementation.

- Impacted Firms:

Participant	Participant Name
0015	MORGAN STANLEY SMITH BARNEY LLC
0614	HANTZ FINANCIAL SERVICES, INC.
3625	FIDUCIARY EXCHANGE, LLC
1084	MASSACHUSETTS MUTUAL LIFE INSURANCE COMPANY/CMLIFE
1378	PRUDENTIAL INSURANCE COMPANY OF AMERICA/PRODUCT AD
1616	ZURICH AMERICAN LIFE INSURANCE COMPANY OF NEW YORK
3053	DELAWARE LIFE INSURANCE COMPANY/ANNUITY SE2
3055	DELAWARE LIFE INSURANCE COMPANY/DLIC
3165	JEFFERSON NATIONAL LIFE INSURANCE COMPANY/JEFFERSO
3389	MASSACHUSETTS MUTUAL LIFE INSURANCE COMPANY/ADMINI
3500	AMERICAN NATIONAL LIFE INSURANCE COMPANY OF NY
3655	THRIVENT FINANCIAL FOR LUTHERANS
3881	NATIONWIDE LIFE INSURANCE COMPANY/NATIONWIDE ADVIS
4061	USAA LIFE INSURANCE COMPANY
4062	USAA LIFE INSURANCE COMPANY OF NEW YORK
4163	THE CAPITOL LIFE INSURANCE COMPANY
4521	COMMONWEALTH ANNUITY AND LIFE INSURANCE COMPANY
4527	SECURITY BENEFIT LIFE INSURANCE CO.
4569	AMERICAN NATIONAL INSURANCE COMPANY
4573	JEFFERSON NATIONAL LIFE INSURANCE COMPANY
4749	GREAT AMERICAN LIFE INSURANCE COMPANY/ANNUITY INVE
4756	RELIANCE STANDARD LIFE INSURANCE COMPANY
4758	MIDLAND NATIONAL LIFE INSURANCE COMPANY/SAMMONS RE
5949	GREAT AMERICAN LIFE INSURANCE COMPANY
7012	FORETHOUGHT LIFE INSURANCE COMPANY/FORETHOUGHT LIF
7278	ZURICH AMERICAN LIFE INSURANCE COMPANY/GLNA WEB
8184	GUARANTY INCOME LIFE INSURANCE COMPANY
8419	UNITED LIFE INSURANCE COMPANY

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- PSE Web Services URLs

    - Clients who support web services processing in PSE and transmit messages inbound to DTCC, are to revise the URL they transmit to. All client changes to leverage the revised inbound URL are to be completed by August 31, 2020.

- RegSCI Testing Weekends

    - This is a reminder that DTCC will be part of the industry-wide DR testing. There will be three (3) testing weekends that are scheduled for 2020. Client notification of testing dates was distributed on May 209th from DTCC Communications. Remidner email notifications will be sent out as each testing date is approached. Here is link to the Important Notice a8851 - https://www.dtcc.com/-/media/Files/pdf/2020/5/28/a8851.pdf
    - No production processing will take place between Saturday, 5:00am (ET) and Sunday, 8:00am (ET) on these 3 testing weekends.
    - If files are sent, DTCC will not be able to respond to your transmission.

- September 2020 Release
    - Included for release:
        - Reduction of usage of producer's PII date. DTCC will continue to support where there is a business need.
        - Approved client submitted enhanced requests.
    - This is a mandatory enhancement release and DTCC highly recommends that you test with your trading partners.
    -
    - DTCC will be supporting any 'unit' testing with the carriers leveraging our 0122 test participant number. Please be prepared to test during the testing window.
        - PSE Release 1 - Thursday, July 16, 2020
        - PSE Release 2 – Thursday, August 13, 2020
        - Production – Thursday, Spetember 17, 2020
    - Any files received after the last outcyle for that specific product (SYS ID), will be held until code migration takes place and will be processed after release of controls. They must be in the 'new' format or will be rejected.
    - The NPN and CRD Number, along with other producer identifiers, were added as part of the September 2019 release. This would give the firms a whole year to support the passing of these identifiers. In return would give the trading partners the ability to reconcile their administrative systems.

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- If you are having any issues, please feel free to reach out to use to see if we can assist in any way.
- DTCC will be sending out a questionnaire survey regarding implementation. Please feel free to share any concerns.

Next Call:

Tuesday, August 4th, 2020 at 2:00 – 3:30pm ET

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