



Meeting Minutes –I&RS Review Board

| <i>Category</i> | DESCRIPTION |
|-----------------|------------------------|
| Meeting Name: | DTCC I&RS Review Board |
| Facilitator | Jovani Munoz |
| Scribe | Jovani Munoz |
| Date & Time: | November 2, 2021 |
| Location: | Conference Call |

ADVISORY GROUP ATTENDEES

| NAME | GROUP |
|--|----------------------|
| Karen Mottley | ACORD |
| Monica Avery | AIG |
| Weusi Sharp Scot Hosler | Albridge |
| Travis Misslin | Ameriprise Financial |
| Monica Clancy | Ameritas |
| Jonna Sandegren Hata Tursunovic | Athene |
| Henry Henderson Angie Thompson | Bank of America |
| Kelly Dinville Rajni Chanshetty Mark Watermilller | Brighthouse |
| Kevin Lowe | Broadridge |
| Yolanda Austin | Bulldog |
| Amy Dingman | Cetera |
| Jovani Munoz Jon Volpe Jeanann Smith Cory Stark | DTCC |
| Suzanne Dorman Bryan Holland | EBIX |
| Ryan Brown Brandon Slotness Rob'n Stanley | Edward Jones |
| Danielle Gordon Matt Springer | Envestnet |
| Daniel Surber Richard Sutphin Alicia Watkins | Fidelity & Guaranty |

| | |
|---|---------------------------|
| JoAnn Booth Katie McIntyre Nate Brooks | Fidelity Insurance Agency |
| Jennifer Yerly Brenda Brown-Morris Vicki Dees | Genworth |
| Ellen Lester | Global Atlantic |
| David Desrocher | Insurance Technologies |
| Andrew McMorris Dave Lamphere Ana Doucet Denise Madigosky Adam Ducorsky | Ipipeline |
| Rene Fedewa | Jackson |
| Dan Falco Tina Jorge | John Hancock |
| Cynthia Eggebeen | Kaplan |
| Dan Wilson Rob Hosier | Lincoln |
| Sarah Baraff | M Financial |
| Joe Wengler Kennedy Arockiam George Smoudianis | Morgan Stanley |
| Kim Brachtel Amit Godbole Katie Bircher Nick Topalian Andrew Kimbril | Mutual of Omaha |
| Eric Dulaney Matt Myers | Nationwide |
| Matt Sullivan | New York Life |
| Binny John | Northwestern Mutual |
| Liz Moore Joe Procacini Danny Smith | Pacific Life |
| Mike McCombs | Principal |
| Amy Hamilton Susan Sanders | Protective |
| Michael Syrett | Prudential |
| Lindsey Kniebel | RBC |
| Michelle Path | Sammons Financial Group |
| Kevin Norby Yusef Carrillo | Securian |
| Jeff Barnett | SE2 |
| Shaya Scher | Simkowitz Co |
| Wendell Tobiason Mary Heimlich | SparkIPS |

| | |
|---|---------------------------|
| Kathi Carter Shelley Wallace | Stifel |
| Chani Lu | Symetra |
| Michael Sullivan | Talcott Resolution |
| Dan Reiss Truda Wodke | Tata Consultancy Services |
| Brian Gossman Emily Cole Fran Forslund | TransAmerica |
| Mac Etugbo | USAA |
| Corey Skadburg | Venerable Annuity |
| David Krawczyk Janina Buldrini | Voya |
| Jonas Hellie Ben Daniels Carolyn Palmer April Grover | Wells Fargo |
| Chad Beck | Western Southern |

Meeting Minutes

Enhancements Re-Reviewed:

No enhancements re-reviewed.

New Enhancements to Review:

No new enhancements reviewed.

Discussion Items:

November 2021 Code List Release

- PSE – Nov 11
- Production – Nov 18

DTCC reminded the Review Board of the November 2021 Code List Release. The code list release is scheduled for PSE on Thursday, November 11 and scheduled for production on Thursday, November 18. DTCC will send reminders closer to implementation dates.

Deferral of Enhancement Request: IPS00679 – IAT (Add New Properties)

DTCC gave an update on enhancement request IPS00679 – IAT (Add New Properties). It has come to DTCC's attention that several requesting or participating carriers will not be prepared to support these enhancements for a 2022 production date. DTCC will therefore, defer this enhancement for a later timeframe when participating carriers are ready to support this change and this enhancement can be resubmitted for approval.

However, DTCC proposed that if at least 3 carriers confirm to DTCC before Monday, January 31st and prior to February's Review Board meeting, they have funding and commit to implement these changes in 2022, the enhancement will remain in place for a 2022 implementation. If there are not at least 3 carriers before the February Review Board call, who reported they are funded and will implement these changes for 2022, the current processing supported today will remain in place.

Discuss Standard Usage for Funds and Sub Funds

A firm on the call was looking to discuss the standard usage on reporting funds and sub funds. DTCC standard usage says that sub fund is an optional field and should be used when needing to refer to a particular price (i.e., Unit Value, or Rates). POV states that CUSIP plus Fund on the 04 record needs to match CUSIP plus Fund on the 03 record, which would imply that the sub fund doesn't need to match. The firm wants to ensure the industry is set up to have sub fund populated on some files/records, but left blank on others (i.e., when a particular price is not applicable then the sub fund will be blank). The firm began to walkthrough scenarios on several different products on where it would be appropriate to populate sub fund and where it should remain blank. There is a need to make an edit change to POV to support this concept. The firm will create and submit an enhancement request to review with the group on the next call.

IIEX Enhancements

DTCC informed the Review Board of the new upcoming enhancements to Insurance Information Exchange (IIEX). The enhancements include the following: Advanced Search Capabilities, Policy Overview and Data Quality API's, Managing Searches by Contra Participant Groupings. These enhancements are scheduled for production on Thursday, November 11. For more information, firms may reach out to DTCC.

Next Call:

Tuesday, December 7th at 2:00 – 3:30pm ET