

**A#:** 7853  
**P&S#** 7423  
**Date:** June 05, 2014  
**To:** ALL MEMBERS AND LIMITED MEMBERS  
**Attention:** MANAGERS; OPERATIONS DEPT FOR ANNUITIES & LIFE INSURANCE,  
BROKERAGE OPERATIONS, INFORMATION SYSTEMS  
**From:** NSCC Insurance & Retirement Services  
**Subject:** I&RS 2014 September Enhancement Release

**Overview:**

In order to support industry requests, the Insurance and Retirement Processing Services (I&RS) has scheduled an enhancement release for September 2014. This is the second of two scheduled enhancement releases for 2014. I&RS Enhancement Releases include Review Board Enhancement Requests submitted by members, as well as maintenance items National Securities Clearing Corporation (“NSCC”) deems necessary to improve the overall operational performance of the systems.

The enhancements in this release will affect the following functionalities:

COM – Commissions

ICP - CUSIP Profile

FAR – Financial Activity Reporting

IFT – In Force Transactions

APP/SUB – Initial Applications and Subsequent Premiums

LNA – Licensing & Appointments

POV - Positions and Valuations, which is made up of 3 types:

- PVF – Positions & Valuations Full Refresh File
- PNF – Positions New Business File
- PFF – Positions Focused File

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PMP – Producer Management Profile<sup>1</sup>

**Important Note:**

**Please see the Requirements Document for detail on which changes are optional and which changes are required. To view the Requirements Document, see the instructions in the Specification Documents section of this Important Notice.**

***Schedule:***

- Test – Thursday, August 28, 2014
- Production – Thursday, September 18, 2014

***Specification Documents:***

Documentation is available at the I&RS website, <http://www.dtcc.com/investment-product-services/insurance-and-retirement-services/participant-support-services.aspx>. Click on the Enhancements section. Click on the following documentation identified:

- 2014 September Enhancement Release Technical Specifications Document

Flat Files:

- Draft COM Record Layouts
- Draft FAR Record Layouts
- Draft APP/SUB Record Layouts
- Draft LNA Record Layouts
- Draft POV Record Layouts

All changes to the record layouts are highlighted in yellow. Items may be added to the lists below as NSCC may deem advisable.

***Release Specifications:***

The changes in the I&RS September 2014 Enhancement Release are based on the recommendations made by the originator of the enhancement request and approved by I&RS. The actual enhancement request can be found at our website under “IPS Enhancements Approved for Future Release” in the User Group section of our website. Do not use the actual enhancement request document for programming. The Draft Record Layouts and 2014 September Enhancement Release Technical Specifications Document should be used for this purpose. We are making the actual enhancement request document available solely to summarize the business purpose for the changes.

For additional information on this enhancement release, please contact your Relationship Manager.

Jon Volpe  
Product Manager

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<sup>1</sup> Subject to Securities and Exchange Commission approval of the PMP service. DTCC, on behalf of its subsidiaries, offers enhanced access to all important notices via a Web-based subscription service. The notification system leverages RSS Newsfeeds, providing significant benefits including real-time updates and customizable delivery. To learn more and to set up your own DTCC RSS alerts, visit [http://www.dtcc.com/subscription\\_form.php](http://www.dtcc.com/subscription_form.php).

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