

A#: 8033
P&S# 7608
Date: May 19, 2015
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 2015 September Enhancement Release

Overview:

As part of our ongoing effort to support industry requests, the Insurance and Retirement Processing Services (I&RS) has scheduled an enhancement release for September 2015. This is the second of two scheduled enhancement releases for 2015. 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 the September 2015 release will affect the following services and functionalities:

COM – Commissions

FAR – Financial Activity Reporting

APP/SUB – Initial Applications and Subsequent Premiums

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

Schedule:

- Test – Thursday, September 3, 2015
- Production – Thursday, September 24, 2015

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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.

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

- 2015 September Enhancement Release Technical Specifications Document
- Draft COM Record Layouts
- Draft FAR Record Layouts
- Draft APP/SUB Record Layouts
- Draft POV Record Layouts

Release Specifications:

These changes are based on the recommendations made by the originator of the enhancement request and approved by I&RS.

The enhancement requests 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 2015 September Enhancement Release Technical Specifications Document should be used for this purpose. We are making the enhancement request documents available to summarize the business purpose for the changes.

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

Jon Volpe
Product Manager