

A#: 8840
P&S# 8413
Date: April 22, 2020
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 2020 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 2020. This is the second of two scheduled enhancement releases for 2020. I&RS Enhancement Releases include Review Board Enhancement Requests submitted by members and modifications identified by the Producer Alternative Identifiers subcommittee as well as maintenance items National Securities Clearing Corporation (“NSCC”) deems necessary to improve the overall operational performance of the systems.

The enhancements include the addition of new information fields on current I&RS record layouts to support new features on I&RS products. Modifications include new fields and code values added to existing code lists.

The enhancements in the September 2020 release will affect the following services and functionalities:

- APP/SUB – Applications and Subsequent Premiums
- ATT – Attachment/Attachment Access
- COM – Commissions
- FAR – Financial Activity Reporting
- FET – Fee & Exchange Transmittal
- IFT – In Force Transactions & IFT Access
- IFW – In Force Web Transactions
- LNA – Licensing & Appointments & LNA Access
- PMP – Producer Management Portal & Access
- POV – Positions & Valuations, which is made up to 3 types:
 - PVF – Positions & Values Full Refresh File
 - PNF – Positions New Business File
 - PFF – Positions Focused File

PRP – Positions for Retirement Plans
STL – Settlement for Insurance

Schedule:

Test - Thursday, July 16, 2020 & Thursday, August 13, 2020
Production – Thursday, September 17, 2020

Specification Documents:

Documentation is available at the I&RS website, <http://www.dtcc.com/wealth-management-services/insurance-and-retirement-services/technical-support-center>. Click on the Current Release link within 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.

- September 2020 Enhancement Release Technical Specifications Document
- Draft APP/SUB Record Layouts
- Draft ATT Data Dictionary & Schema
- Draft COM Record Layouts
- Draft FAR Record Layouts
- Draft FET Record Layouts Data Dictionary & Schema
- Draft In force Transactions Record Layouts
- Draft In force Web Transactions Data Dictionary & Schemas
- Draft LNA/LNA Access Record Layouts, Producer Training Record Layouts, & Import Sample
- Draft PMP Data Dictionary & Schemas
- Draft POV Record Layouts
- Draft PRP Retirement Plans Record Layouts
- Draft STL 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 “Current Release” in the Enhancements [section](#) of our website. Do not use the actual enhancement request document for programming. The Draft Record Layouts and 2020 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.

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Product Management

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