DTCC | *Important Notice*
National Securities Clearing Corporation

A#:	9301
P&S:	8874
Date:	May 30, 2023
To:	ALL MEMBERS AND LIMITED MEMBERS
From:	WEALTH MANAGEMENT SERVICES – INSURANCE & RETIREMENT SERVICES
Attention:	MANAGER INSURANCE OPERATIONS, MANAGER DATA PROCESSING, MANAGER CASHIERS, MANAGER P&S DEPARTMENT
Subject:	NSCC Business Continuity and Disaster Recovery – Testing Dates and Modified Insurance & Retirement Services Production Processing Schedule

Pursuant to Important Notice A9291 issued by DTCC Global Business Continuity on April 26, 2023, National Securities Clearing Corporation ("NSCC") will conduct a test of our business continuity and disaster recovery plans in compliance with our obligations under Regulation Systems Compliance and Integrity (Reg SCI) testing requirements.

The testing is scheduled to take place over the course of the following three weekends:
- August 26-27
- September 23-24
- October 14-15

Please be advised that during these testing weekends, <u>DTCC production systems will be unavailable between the hours of 5:00AM (ET) Saturday and 8:00AM (ET) Sunday.</u>

As a result of this testing, Wealth Management Services (WMS) will follow a modified production processing schedule during the aforementioned weekends. For details on the revised production processing schedule for your Insurance & Retirement Services application(s), please refer to the attached Appendix.

Regular production processing and access will resume immediately following the exercises.

Thank you in advance for your patience and cooperation during these exercises. If you have any questions, please contact your Insurance & Retirement Services Relationship Manager.

Insurance & Retirement Services Product Management
DTCC Wealth Management Services

Appendix A

Insurance & Retirement Services

Production Processing Overview

Time	Event
05:00 AM	All input to production processing completes
05:01 AM	Disable Datatrak SYSID or disable Client connections. Clients will get a Datatrak reject or a connection error depending on what is disabled.
05:02 AM – AM 05:59 AM	All output is extracted and delivered to clients
06:00 AM	DR Processing Starts

Production Processing Schedules

Application	Description	Normal Saturday Output Cycles	REG-SCI Saturday
Batch Products			
AAP	Asset Pricing	4AM, 6AM, 9AM, 12PM, 2PM	**Only running 4 am output.** Input files received from **4am-5am** will be edited but sent out on the first cycle on Monday. . .
FAR	Financial Activity Reporting	4AM, 7AM, 10AM, 1PM	
POV	Positions and Valuation (PVF, PFF, PNF)	4AM, 6:30AM, 8:30AM, 12PM, 2PM	
IIEX	Insurance Information Exchange		**IIEX not available after 5am**
POV	Positions and Valuations (PRP)	5AM, 7:30AM, 10AM, 1PM	**Only running 5am output**
COM	Commissions	**none**	**No Saturday output.** Input files received from the last output cycle on Friday through **5am** on Saturday will be edited but sent out in the first output cycle on Monday.
APP/SUB	Applications and Subsequent	**none**	
IFT	In Force Transactions	**none**	
FT, WTH, ARR,	Fund Transfers, Withdrawals, Arrangements,	**none**	

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POA	Policy Admin, **All Batch Day 2**		
LNA	Licensing and Appointments	7AM, 10AM, 1PM	
LNA Training	Licensing & Appointments Vendor	7AM, 10AM, 1PM	
CST	Commission Schedule Transmittal	6AM, 10AM, 2PM	
FET	Fee and Expense Transmittal	6AM, 10AM, 2PM	
STL	Settlement for Ins	**none**	
B2B Products			
IAT	Attachments	Real time	Attachment input messages received from **12am – 5am** will be processed and delivered.
FT, VI, WTH, ARR, PA, PAO, DN	Fund Transfers, Value Inquiry, Withdrawals, Arrangements, Policy Admin, Policy Admin Inquiry, Death Notify	Real time	Other B2B product messages are not accepted on weekends.
PMB	Producer Management Transactions	Real time	
Access Products			
ICP, IAA, IAW, PMW, LNA, IFT	Cusip profile Attachment Access Attachment Web Producer Mgt License & Appointments In Force Transactions	LNA and IFT go out with next available batch cycles. LNA - 7AM, 10AM, 1PM IFT – none All others real time.	Input data received from **12am – 5am** will be processed. For LNA and IFT, there will be no batch output. It will be sent out the first cycle on Monday.

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