



Important Notice
National Securities Clearing Corporation

A#:	9767
P&S#:	9340
Date:	MAY 4, 2026
To:	ALL MEMBERS AND LIMITED INSURANCE PARTICIPANTS
From:	INSURANCE & RETIREMENT SOLUTIONS PRODUCT MANAGEMENT
Attention:	DIRECTOR OF OPERATIONS, ACCOUNT TRANSFERS DEPARTMENT, INSURANCE & RETIREMENT OPERATIONS, P&S DEPARTMENT
Subject:	ACATS FOR INSURANCE REWRITE

This NSCC notice details updates to ACATS for Insurance (aka ACATS/IPS) functionality aimed at streamlining the process. Starting November 2026, ACATS will discontinue support for Insurance Registration when transmitting annuities through its service. These changes affect all firms currently using the Insurance Registration record. Firms that are not using the Insurance Registration or eligible for settling location 60 will not be impacted by this change.

About ACATS/IPS

ACATS/IPS facilitates automated distributor record updates for annuities when accounts are transferred between brokerage firms.

Why Change?

ACATS/IPS, launched in 2005 to facilitate the integration of annuity products into the established transfer framework to facilitate the re-registration of the broker/dealer of record. As DTCC systems—including ACATS—are being modernized, there is a significant opportunity to enhance and optimize current processes, thereby increasing the volume of annuities managed through the ACATS platform.

Implementation Dates:

PSE Region (Test) Date – Thursday, October 29, 2026
Production Region Date – Thursday, November 19, 2026

Change to current IFT process:

Today, ACATS supports both the identification of annuity assets and the coordination of registration changes between broker-dealers and insurance carriers. Under the new rewrite, responsibility for registration and confirmation will move to Insurance & Retirement Solutions (I&RS) products.

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ACATS will continue to allow firms to submit insurance assets and will pass those assets on to the I&RS system. Eligible assets will continue to be assigned to Settling Location 60 when both the CUSIP and receiving broker qualify for I&RS processing.

Effective upon implementation of the ACATS / IPS Interface Rewrite, the following transactions and related processing will be eliminated from existing Insurance IFT file-based workflows:

- Transaction Expired (TEX)
- Insurance Transaction Status, including:
 - Soft Reject (SRJ)
- CAT (Insurance Registration / Customer Account Transfer)
- Beneficiary Change (BEN)

New Process (Full Transfer Example) – Phase I

ACATS will continue to identify eligible insurance assets within a transfer and send a Notice to Transfer Insurance Asset API to I&RS. At that point, ACATS processing is complete. For additional details on ACATS system changes, please refer to ACATS Notice a9761.

Once I&RS receives the ACATS notification, it will locate the policy in Insurance Information Exchange (IIEX) and notify both the delivering and receiving distributors that the client intends to complete a broker-dealer of record re-registration.

This new process gives receiving firms a clear next step to work directly with the insurance carrier to complete the broker-dealer of record change manually or through a real-time Policy Administration message via DTCC.

Documentation:

Record layouts and schemas are being updated, and an announcement will be made once they are available on [DTCC Learning](#). Website registration is required for access to this documentation.

Additional Information:

A copy of this Important Notice can be obtained from the website of NSCC's parent corporation, The Depository Trust & Clearing Corporation, at <http://www.dtcc.com>. If you have any questions regarding this notice, please contact your WIS Relationship Manager.

Jon Volpe
Product Manager, I&RS