This document describes new features, fixed limitations, upgrade changes, and known limitations of the Data Transformation DTCC-NSCC library.

For more information about the library, see the Data Transformation Libraries Guide.

**New Features**

The DTCC-NSCC library version 10.2.1.1 includes the September 2018 enhancement update of DTCC-NSCC.

**Upgrade Changes**

The upgrade changes are based on the September 2018 DTCC-NSCC update.

**APP and APP/SUB - Initial Application & Subsequent Premiums**

Effective in version 10.2.1.1, the following table describes changes to the APP/SUB records:

<table>
<thead>
<tr>
<th>Record</th>
<th>Change Description</th>
</tr>
</thead>
</table>
| APP 33/01 Application Sub Payment Record | Item #4222 adds the following codes:  
  - Index Variable Annuity. Code value: IVA. Code definition: An individual variable and index-linked annuity contract, offering variable sub-accounts and index-linked allocation strategies.  
| APP 33/18 - Contract Entity Relationship Record | The record adds item #4452, the Decedent's Data of Birth field, that is a date in format CCYYMMDD, has 8 bytes (location 140-147), is optional, with reject code 066. |
The record adds item #4149, the Beneficiary Distribution Option field, that is alphanumeric with a code list, has 1 byte, is optional, with reject code 681. The field identifies how the proceeds are distributed to a specified party. The code list contains the following values:
- Value: 1. Definition: Equal Shares
- Value: 2. Definition: Percent
- Value: 5. Definition: Dollar Amount

Item #4221 adds the code Service Feature Frequency, with code list name Bi-Monthly, and code value 5.

Item #4442 adds the following codes:
- Index Variable Annuity. Code value: IVA. Code definition: An individual variable and index-linked annuity contract, offering variable sub-accounts and index-linked allocation strategies.

### COM - Commissions

Effective in version 10.2.1.1, the following table describes changes to the COM records:

<table>
<thead>
<tr>
<th>Record</th>
<th>Change Description</th>
</tr>
</thead>
</table>
| COM 22/01 Contract Record | Item #2060, the Commission Basis Reason Code field, adds the following codes to the code list:  
  - Net Premium Based - Trails Only - PNB  
  - CB Net Premium Based - Trails Only - CNB  
  - Income Value Based - Trails - PTV  
  - CB Income Value Based - Trails - CTV |
| COM 22/01 Contract Record | Item #2076, the Product Type Code field, adds the following codes to the code list:  
  - Index Variable Annuity. Code value: IVA. Code definition: An individual variable and index-linked annuity contract, offering variable sub-accounts and index-linked allocation strategies.  

### CST - Commission Schedule Type

Effective in version 10.2.1.1, the following table describes changes to the CST records:

<table>
<thead>
<tr>
<th>Record</th>
<th>Change Description</th>
</tr>
</thead>
</table>
| CST 25/02 Commission Schedule Record, 25/03 Commission Banding Record | Item #1032, the Trail Basis field, adds the following codes to the code list:  
**FAR - Financial Activity Reporting**

Effective in version 10.2.1.1, the following table describes changes to the FAR records:

<table>
<thead>
<tr>
<th>Record</th>
<th>Change Description</th>
</tr>
</thead>
</table>
| FAR 43/01 Contract Record | Item #5139, the Product Type Code field, adds the following codes to the code list:  
- Index Variable Annuity. Code value: IVA. Code definition: An individual variable and index-linked annuity contract, offering variable sub-accounts and index-linked allocation strategies.  

**POV - Positions and Values**

Effective in version 10.2.1.1, the following table describes changes to the POV records:

<table>
<thead>
<tr>
<th>Record</th>
<th>Change Description</th>
</tr>
</thead>
</table>
| POV 13/01 Contract Record | Item #3025, the Product Type Code field, adds the following codes to the code list:  
- Index Variable Annuity. Code value: IVA. Code definition: An individual variable and index-linked annuity contract, offering variable sub-accounts and index-linked allocation strategies.  
| POV 13/03 Contract Underlying Asset Record | Item #3118, the Fund/Underlying Security Type field, adds the following codes to the code list:  
- Index - Buffer. Code value: IDB. Code definition: an index strategy fund where a buffer rate is offered.  
- Index - Floor. Code value: IDF. Code definition: an index strategy fund where a floor rate is offered.  
Code IDX was edited: the code list name was changed from 'Index' to 'Index - Fixed'.                                                                                                                                                                                                                     |
| POV 13/04 Contract Band Guaranteed Loop Record | The record adds item #3161, the Index Effective Date field, that is a date, has format CCYYMMDD, with 8 bytes, location 197-204, is optional, with reject code 691. The field identifies the date when a carrier starts tracking the performance of an index.  
The record adds item #3162, the Index Option Base Value field, that is alphanumeric with format 9(14)v9(2), has 16 bytes, location 205-220, is optional, with reject code 692. The field identifies the value allocated to the index strategies at the beginning of the index term. Filler will now be location 221-288 (68 bytes). |
| POV 13/04 Contract Band Guaranteed Loop Record | Item #3155, the Deposit/Guaranteed Rate Type field, adds the following codes to the code list:  
- Actual Loss Rate. Code value: AL. Code definition: The actual loss realized based on the index strategy during the last period.  
- Bonus Rate. Code value: BN. Code definition: A percentage of the first-year premiums received that is added to the contract value. Typically, the bonus amount plus any earnings on the bonus are subject to a vesting schedule that may be longer than the surrender charge period schedule.  
- Buffer Rate. Code value: BF. Code definition: Percentage of rate that the insurance carrier absorbs if a loss occurs.  
- Participation Rate. Code value: PT. Code definition: The percentage of the index’s return the insurance company credits to the annuity. For example, if the market went up 8% and the annuity’s participation rate was 80%, a 6.4% return (80% of the gain) would be credited. Most indexed annuities that have a participation rate also have a cap, which in this example would limit the credited return to 3% instead of 6.4%.  
- Trigger Rate. Code value: TG. Code definition: The rate that applied if certain parameters are met. For example, if the trigger rate is 3% and if the index shows positive returns, the trigger rate of 3% would apply. |
Item #3155, the Deposit/Guaranteed Rate Type field, changes documentation for the following codes in the code list:
- **Actual Rate.** Code value: AR. Code definition: The rate earned in the last index crediting period, if this index option has rolled over from a prior period.
- **Blended.** Code value: BL. Code definition: An interest rate charged on a block of monies invested in a fixed account. The rate represents a combination of a previous rate and a new rate.
- **Cap Rate.** Code value: CA. Code definition: The cap rate is a carrier administered rate designed to inform the advisor/agent and/or client of the maximum upside performance for a specific segment through its maturity.
- **Cap Threshold.** Code value: CT. Code definition: A rate elected by an advisor/agent or client at a point of sale or issue that communicates the minimum desired upside performance.
- **Current.** Code value: CR. Code definition: The current rate paid to the contract.
- **Floor Rate.** Code value: FL. Code definition: The maximum percentage loss that an investor experiences from negative index performance.
- **Guaranteed Minimum.** Code value: G. Code definition: The minimum interest rate that an insurance company specifies it will pay on a fixed annuity's principal balance for the duration of the annuity contract. This rate may represent the state mandated minimum guaranteed rate or the contact stated minimum guaranteed rate. However, when reporting this rate, report the highest of the state mandated minimum guaranteed rate or the contract stated rate but not both.
- **MVA Rate.** Code value: MV. Code definition: Current rate which will be compared to crediting rate on MVA fund if money is withdrawn.
- **Margin.** Code value: MG. Code definition: The percentage reduction in the index performance used to determine the amount of return an investor can earn.
- **Tiered.** Code value: TR. Code definition: A tiered-rate that pays interest at an increasingly higher rates as the account balance increases.

The record adds item #3823, the Beneficiary Distribution Option field, that is alphanumeric with a code list, has 1 byte, location 209, is optional, with reject code 681. The field identifies how the proceeds are distributed to a specified party. The code list contains the following values:
- **Value: 1.** Definition: Equal Shares
- **Value: 2.** Definition: Percent
- **Value: 5.** Definition: Dollar Amount

Item #3165, the Service Feature Frequency field, adds the following code to the code list:
- **Bi-Monthly.** Code value: 5. Code definition: Every 2 months.

STL - Settlement For Insurance Processing

Effective in version 10.2.1.1, the following table describes changes to the STL records:

<table>
<thead>
<tr>
<th>Record</th>
<th>Change Description</th>
</tr>
</thead>
</table>
| STL 62/01 Contract Record | The record adds item #2020, the Last Name field, that is alphanumeric, has 35 bytes, location 229-263, is conditional, with reject code 338. The field identifies the last name of the primary annuitant or owner on the ceding policy. The role is determined by item #2014, the Relation Role Code field.  
The record adds item #2021, the First Name field, that is alphanumeric, has 25 bytes, location 264-288, is optional, with reject code 737. The field identifies the first name of the primary annuitant or owner on the ceding policy. The role is determined by item #2014, the Relation Role Code field. |
Effective in version 10.2.1.1, the following table describes changes to the SUB records:

<table>
<thead>
<tr>
<th>Record</th>
<th>Change Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>SUB 35/32 Service Feature Record</td>
<td>Item #4221, the Service Feature Frequency field, adds the following code to the code list:  · Bi-Monthly. Code value: 5. Code definition: Every 2 months.</td>
</tr>
</tbody>
</table>

**Known Limitations**

The following table describes known limitations:

<table>
<thead>
<tr>
<th>CR</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>LIB-705</td>
<td>The list of Data Service Only (DSO) participants is not available for validation purposes. The library transformations do not validate the related fields.</td>
</tr>
<tr>
<td>LIB-700</td>
<td>If the record type or sequence number is missing or not valid, the library reports a reject code of Record Type Missing/Invalid (002) or Sequence Number Missing/Invalid (013). In some cases, the DTCC-NSCC record layout documents indicate a reject code of Record Out of Sequence (500).</td>
</tr>
<tr>
<td>LIB-659</td>
<td>The library validation of empty message lines might give slightly different results from the validation in the DTCC-NSCC test region. The library accepts empty lines in certain contexts where the test region reports an error.</td>
</tr>
<tr>
<td>LIB-504</td>
<td>The library transformations accept all characters in alphanumeric fields, with no validation.</td>
</tr>
</tbody>
</table>

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