Informatica

Informatica® B2B Data Transformation
10.1.1

DTCC-NSCC Library Release Notes

Informatica B2B Data Transformation DTCC-NSCC Library Release Notes
10.1.1
April 2017

© Copyright Informatica LLC 2001, 2018

Publication Date: 2018-06-18

Table of Contents

Abstract. iv

Chapter 1: New Features. 5

Chapter 2: Installing the Library. 6

Chapter 3: Upgrade Changes. 7

Chapter 4: Known Limitations. 11

Chapter 5: Notes. 12

Chapter 6: Informatica Global Customer Support. 13

Abstract

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.

CHAPTER 1

New Features

The DTCC-NSCC library version 10.1.1 includes the April 2017 enhancement update of DTCC-NSCC.

The DTCC-NSCC library adds the Commission Schedule Transmittal (CST) record to support the update of DTCC-NSCC for the Department of Labor Fiduciary Rule.

CHAPTER 2

Installing the Library

Before you can use a Data Transformation library, you must install it.

Note: If you are running the previous version of the library, you can update the library from the version 10.1.1 .zip file, following the steps described in the Installing Libraries section of the *Data Transformation Libraries Guide*.

1. Copy the library .zip file to your local file system and unzip the file.
2. From the unzipped folder, copy the folder `\<lib name>\Developer\DT` to the directory `<Install_Dir>\<version>\clients\`.

CHAPTER 3

Upgrade Changes

The upgrade changes are based on the April 2017 DTCC-NSCC update.

CST - COMMISSION SCHEDULE TRANSMITTAL RECORD FORMATS

Effective in version 10.1.1, the DTCC-NSCC library adds the CST - COMMISSION SCHEDULE TRANSMITTAL RECORD FORMATS message.

APP/SUB - Initial Application & Subsequent Premiums

Effective in version 10.1.1, the 33/14 - 1035 Qualified Prior Carrier Address Record has changed. The record adds item #4187, the Carrier Processing Location field, that is alphanumeric, has 10 bytes (location 178-187), is optional, with reject code TBD.

FAR - Financial Activity Reporting

Effective in version 10.1.1, the 42/08 Contract PayeePayer Payment Details Record and 43/09 Contract PayeePayer Address have changed. There can be five occurrences per Contract Payee/Payer Record instead of just one.

The following changes are related to Department of Labor database enhancements:

- Item #5057, the Transaction Identifier field, changes the code **Annual Policy Fee** to **Policy Fee**.
- Item #5059, the Transaction Charges Qualifier field, changes the code **Annual Fee** to **Policy Fee**.

Note: This is a documentation change.

The following table describes other changes to FAR records:

Changes	Change Description
Payee Record Looping Increase	The FAR looping structure is updated so that five 43/08 and 43/09 records can be looped for the 43/07 record.
Add Payee/Payor Method Types	The Payee/Payor Payment Method field is relocated from the 43/05 Contract Transaction Record to the 43/08 Contract Payee/Payor Payment Details Record.
Item #5023 IRS Qualification Code	Item #5023 adds the following codes: - Code 4002 description 401(a) - Code 4004 description Combo Asset Type

Changes	Change Description
Item #5057 Transaction Identifier	Item #5057 adds the following codes: - Code 742 description Rider Fee - Code 743 description Rider Fee Reversal
Item #5140 Payment Type	Item #5140 adds the following codes: - Code Q2 description Full 1035 Exchange - Code Q3 description Partial 1035 Exchange - Code EQ description Employee Contribution - Code EZ description Employer Contribution

LNA - Licensing and Appointments

Effective in version 10.1.1, the 53/01 Producer Entity record adds the Distributor Affiliation Date field, that is a date, has 8 bytes (location 196-203), is optional for AC and LC or otherwise NU, with reject code TBD.

The code transactionType = TU changes from not used to optional for the following records:

- 53/17 State Training Confirmation
- 53/18 Product Training Confirmation
- 53/19 SF Rider Confirmation

The following reject codes were added:

- 1203 - SERVICE FEATURE/RIDER RECORD INDICATOR INVALID
- 1204 - CUSIP NUMBER DOESNT MATCH CUSIP NUMBER ON 53/18
- 1208 - CARRIER ID AND PRDCR TAX ID COMBINATION ALREADY USED FOR TIME WINDOW

POV - Positions and Values

Effective in version 10.1.1, some POV records have changed.

The following table describes changes to POV records related to Department of Labor database enhancements:

Code List	Change Description
13/01 Contract Record	The record adds item #3038, the MVA Indicator field, that is alphanumeric, has 1 byte (location 198), is optional, with reject code TBD. The field can contain Y or spaces. If field is set to Y, the reported contract may have a Market Value Adjustment (MVA) component applied. The record also adds item #3039, the Product Share Class field, that is alphanumeric, has 2 bytes (location 199-200), is optional, with reject code TBD. This field identifies the share class of the Product CUSIP linked to this contract. The code list contains the following codes: - 1 - A Share - 2 - B Share - 3 - C Share - 4 - L Share - 5 - Bonus - 6 - No Share Class - 7 - I Share - 8 - O Share The record also adds item #3040, the Commission Schedule Identifier field, that is alphanumeric, has 20 bytes (location 201-220), is optional, with reject code TBD. This field uniquely identifies the commission schedule that is linked to its reported contract. The record also adds item #3041, the Contract Fees Included field, that is alphanumeric, has 1 byte (location 221), is optional, with reject code TBD. The field contains Y or space. Insurance carriers use this field to notify the contra firm that all fees applicable to the contract are reported on the file. When item #3025 is VAR, then item #3041 is not used and must contain spaces.
3/02 Contract Valuation Record	Item #3102, the Contract Value Qualifier field, adds the following codes: - PFE - Policy Fee - SC - Surrender Charge Amount Item #3104, the Contract % Value Qualifier field, adds the following codes: - RCK - Recordkeeping Fee - SLS - Sales Load Fee Percentage - PSL - Premium Sales Load Percentage - PAF - Policy Administrative Fee Percentage - ADM - Administrative Fee Percentage

Code List	Change Description
13/03 Contract Underlying Assets Record	The record can loop up to 999 times for PVF, PNF and PFF. The record adds item #3126, the Total Net Fund Fee Percentage field, that is alphanumeric, has 10 bytes (location 186-195), is optional, with reject code TBD. The record adds item #3127, the MVA Indicator field, that is alphanumeric, has 1 byte (location 196), is optional, with reject code TBD. The field can contain Y, N, or space. If field is set to Y, the reported contract may have a Market Value Adjustment (MVA) component applied to the fixed fund.
13/15 Contract Service Feature Record	The record adds item #3613, the Surrender Charge Schedule field, that is alphanumeric, has 40 bytes (location 239-258), is optional, with reject code TBD. Item #3607, the Service Feature Expense Type field, adds the following codes: - MX - Maximum Fee - MN - Minimum Fee - AR - Rider Administrative Fee - RR - Rider Reduction/Adjustment Fee Item #3612, the Service Feature Sub Type field, modifies the following codes: - 7 - Add I Share - 8 - Add O Share - 44 - Add No Share Class - 27 - Remove Base Surrender Charge The record modifies bytes 111-134. Instead of the Service Feature Expense - Dollars field (14 bytes) and the Service Feature Expense - Percentage field (10 bytes), the record adds the following fields: - Item #3607, the Service Feature Expense Type - 1 field, that is alphanumeric, has 2 bytes (location 109-110), is optional, with reject code 278. - Item #3608, the Service Feature Expense Value - 1 field, that is alphanumeric, has 6 bytes (location 111-116), is optional, with reject code 279. - Item #3609, the Service Feature Expense Qualifier - 1 field, that is alphanumeric, has 2 bytes (location 117-118), is optional, with reject code 280. - Item #3607, the Service Feature Expense Type - 2 field, that is alphanumeric, has 2 bytes (location 119-120), is optional, with reject code 278. - Item #3608, the Service Feature Expense Value - 2 field, that is alphanumeric, has 6 bytes (location 121-126), is optional, with reject code 279. - Item #3609, the Service Feature Expense Qualifier - 2 field, that is alphanumeric, has 2 bytes (location 127-128), is optional, with reject code 280. Item #3609, the Service Feature Expense Qualifier field, adds the following codes: - DO - Dollars - P1 - Percentage

The following table describes other changes to POV records:

Code List	Change Description
13/03 Contract Underlying Assets Record	The record adds item #3128, the Performance ID field, that is alphanumeric, has 30 bytes (location 197-226), is optional, with reject code TBD. The record also adds item #3129, the Performance ID Source field, that is alphanumeric, has 2 bytes (location 227-228), is optional, with reject code TBD and code 01 - Morningstar. Carriers can use the Performance ID field when they pass funds. Distributors can match carrier Fund IDs to Performance IDs from a third party.

CHAPTER 4

Known Limitations

The following table describes known limitations:

CR	Description
LIB-705	The list of Data Service Only (DSO) participants is not available for validation purposes. The library transformations do not validate the related fields.
LIB-700	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).
LIB-659	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.
LIB-504	The library transformations accept all characters in alphanumeric fields, with no validation.

CHAPTER 5

Notes

instance_to_execute is changed to "DTCC_Main_<Parser /Serializer/Restricted_Serializer>"

CHAPTER 6

Informatica Global Customer Support

You can contact a Global Support Center by telephone or through Online Support on Informatica Network.

To find your local Informatica Global Customer Support telephone number, visit the Informatica website at the following link:
http://www.informatica.com/us/services-and-training/support-services/global-support-centers.

If you are an Informatica Network member, you can use Online Support at http://network.informatica.com.