



**Important Notice**  
National Securities Clearing Corporation

<b>A #:</b>	a9445
<b>P&amp;S:</b>	p&s9018
<b>Date:</b>	June 12, 2024
<b>To:</b>	ALL MEMBERS AND LIMITED MEMBERS
<b>Category:</b>	ALL MEMBERS AND LIMITED MEMBERS
<b>From:</b>	WEALTH MANAGEMENT SERVICES – INSURANCE & RETIREMENT SERVICES
<b>Attention:</b>	MANAGER INSURANCE OPERATIONS, MANAGER DATA PROCESSING, MANAGER CASHIERS, MANAGER P&S DEPARTMENT
<b>Subject:</b>	NSCC Business Continuity and Disaster Recovery – Testing Dates and Modified Insurance & Retirement Services Production Processing Schedule

Pursuant to [Important Notice a9409](#) issued by DTCC Global Business Continuity on May 20, 2024, 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 17-18
- September 14-15
- October 5-6

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

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**

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## 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
<b>Batch Products</b>			
AAP	Asset Pricing	4AM, 6AM, 9AM, 12PM, 2PM	<b>Only running 4 am output.</b> Input files received from <b>4am-5am</b> 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		<b>IIEX User Interface and all IIEX APIs are not available after 5am</b>
POV	Positions and Valuations (PRP)	5AM, 7:30AM, 10AM, 1 PM	<b>Only running 5am output</b>
COM	Commissions	<b>none</b>	<b>No Saturday output.</b>
APP/SUB	Applications and Subsequent	<b>none</b>	Input files received from the last output cycle on Friday through <b>5am</b> on Saturday

IFT	In Force Transactions	none	will be edited but sent out in the first output cycle on Monday.
FTR, WTH, ARR, POA	Day 2 Confirms	none	
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	
<b>B2B/API Products</b>			
IAT	Attachments	Real time	Attachment input messages received from <b>12am – 5am</b> will be processed and delivered.  Other B2B product messages are not accepted on weekends.
FTR, VIQ, WTH, ARR, POA, PAI, DEN	Fund Transfers, Value Inquiry, Withdrawals, Arrangements, Policy Admin, Policy Admin Inquiry, Death Notification	none	
PMB	Producer Management Transactions	none	
PAR	Producer Authorization	Real time	Input messages received from <b>12am – 5am</b> will be processed and delivered
<b>Access Products</b>			
IFT	In Force Transactions	Real time	Input data received from <b>12am – 5am</b> will be processed.