

FAN Mail[®]

Master File Formats

April 2004

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DST Systems, Inc.
333 West 11th Street
Kansas City, MO 64105-1594
www.dstsystems.com

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Introduction

What is FAN Mail®?

Financial intermediaries are often looking to close the back-office automation gap and eliminate inefficient data entry. Mutual fund and life insurance companies are often looking for a cost-effective way to consolidate, archive, address, and deliver customer account information over the Internet. As a result, DST Systems developed FAN Mail.

FAN Mail is an automated source for complete customer account information across mutual fund, variable annuity, variable universal life, and real estate investment trusts (REIT) companies including confirmation of purchases, redemptions, exchanges, and distributions as well as access to information on positions and daily prices. Through FAN Mail, daily transactions are transferred directly from the fund company to the financial intermediary's portfolio-management or asset tracking software. Intermediaries download the data from a directory accessed through the DST FAN Mail Web site, which is HTTPS/SSL secured.

FAN Mail streamlines daily back-office administration tasks and allows advisors to automate the manual data entry of their customers' information and transactions. As an essential component in thousands of financial advisors' and broker/dealers' back-offices, FAN Mail is a vital link to the largest single source of mutual fund, and variable annuity, variable universal life, and REIT customer account information available.

Financial advisors can enroll at www.dstfanmail.com or call 800.435.4112 for more information.

FAN Mail Administration

The DST FAN Mail department handles all types of user inquiry, both technical and non-technical. This department also serves as an administrative center for all management companies available through the service. All requests for access should be sent to the FAN Mail department in order to track the exact status of all requests for both the data providers and financial advisors.

In addition to providing user access, the FAN Mail department can help software vendors and proprietary users with the development of their interfaces by defining the various file types and interpreting the specific fields.

Selection Criteria

FAN Mail can transmit files based on various criteria found on the account master at the management company.

- **Dealer Level**—provides access to account information assigned to a broker/dealer firm.
If only the dealer number is requested, all accounts linked to the specific dealer number for the specific mutual fund, variable annuity, or life provider are transmitted. Therefore, data for all representatives in all branches is transmitted.
- **Dealer/Branch Level**—provides access to account information assigned to a branch office. Only accounts with the same dealer number and specific branch number are transmitted.
- **Dealer/Branch/Representative Level**—provides access to your individual account information. All accounts for a specific financial advisor are transmitted.



Note: FAN Mail supports multiple combinations of selection criteria.

In addition to dealer/branch/representative number, FAN Mail also supports TAX ID as a selection criteria. TAX ID selection is not available through the Web site. The enrollee must call to enroll through TAX ID selection criteria.



Note: It is important to note this is the TAX ID of the organization such as a trust company, *not* the individual Social Security number of a contract owner.

All requests for access must have the approval of the respective mutual fund, variable annuity, REIT/LP, or life provider. While a request can be made to download based on dealer number, the management company may not authorize that level of downloading.

No-load funds can assign an individual financial advisor an entire dealer number instead of using the branch or rep fields to link customer accounts. If the advisor does not have a unique dealer or advisor number at the time of making the initial request, the fund assigns one, and then codes the accounts accordingly.

External Interfaces can use any single field or combination of fields (dealer/branch/representative) to identify the data recipient. The **dealer**, **branch**, and **representative** fields are required, but they can be filled with zeros for unused numeric fields and spaces for unused alphanumeric fields.

The FAN Mail File formats were selected based on the specific information needed by a financial advisor or broker/dealer to automate a back-office. Therefore, DST does not allow individual interfaces to select which files they offer.

File Retrieval

This manual contains file formats used by the DST FAN Mail product. FAN Mail data is made available through the FAN Mail Web site. To access files, DST FAN Mail requires that the user's browser support SSL (Secure Socket Layer).

File Type	Description
01	Distribution Activity (Mutual Funds only)
02	Direct Financial Activity
03	Account Position
07	Non-Financial Activity (Optional; by request)
08	New Account Activity
09	Account Master Position
17	Price File

Downloading FAN Mail Files

All FAN Mail files are available on the FAN Mail web site located at www.dstfanmail.com. FAN Mail users are able to download files using their Internet browser or a script provided by DST. Both methods provide the same level of encryption (HTTPS/SSL) during file transit.

Manual Web Site Download

When downloading using an Internet browser, you are authenticated at a user log in window by entering a User ID and Password. After you have logged onto the site, a list of available files to download appears. You can choose to download files on an individual based and/or all at one time. You also have the ability to remove files.



Note: You must have **Internet Explorer 6.0 or greater** and **download the FAN Mail ActiveX control** to properly use all functionality of the FAN Mail Web site.

For more information on downloading files manually from the FAN Mail Web site, see [Appendix A: FAN Mail HTTPS File Delivery](#) on page [81](#).

Automated Web Site Download

You can automate the download process by downloading an ActiveX control script created by FAN Mail. The DSTHTTPDL ActiveX control provides a programmatic method of downloading files from the FAN Mail Web site. This program is scriptable and can be used as an independent process or modified to be used with existing software. You will be authenticated before you can download files.

For more information on how to use the DSTHTTPDL ActiveX control, see [Appendix B: DSTHTTPDL Download Manager](#) on page [93](#).

File Naming Conventions

Production Files

Production files use the following naming convention SYSMTxxAxxxx.ZIP, where:

Position	Description
1-5	System and Management code of data provider – Each data provider has a unique system and management code combination. Note: (Please contact the FAN Mail group for a complete listing of the system and management codes.)
6-7	File type 01 Distribution 02 Direct Financial Activity 03 Account Position 07 Non-Financial Activity 08 New Account Activity 09 Account Master Position 17 Price Refresher
8	A - Z =production (except R =resend)
9-12	xxxx is a unique number within a User's directory intended to avoid overwriting existing files in that directory
Extension	.ZIP (indicates a compressed ZIP file) Note: The zip file is not password protected

In addition to the file name, a timestamp is provided showing the date that FAN Mail processed the data. A count of total number of files found on the web site helps insure that all files are successfully downloaded.

Resend Files

Resend files are handled the same way as Production files, but an 'R' is used to differentiate it from the production files.

Uncompressed File Names

Production files use the following naming convention SYSMTxxAxxxx.TXT or SYSMTxxRxxxx.TXT where:

Position	Description
1-5	System and Management code of data provider – Each data provider has a unique system and management code combination. (Please contact the FAN Mail group for a complete listing of the system and management codes.)
6-7	File type 01 – Distribution 02 – Direct Financial Activity 03 – Account Position 07 – Non-Financial Activity 08 – New Account Activity 09 – Account Master Position 17 – Price Refresher
8	A - Z =production (except R =resend)
9-12	xxxx is a unique sequential number within a user's directory intended to avoid overwriting existing files in that directory
Extension	.TXT (indicates an ASCII text file)

Client Account Information

Account Position File

The Account Position file reports the current share/unit balance of every account selected, regardless of whether the account had financial activity. This file is included in the initial transmission, on a month-end basis, or on request. It enables the user to reconcile all accounts on a monthly basis. Please note, the month-end position file should contain data based on the last business day of the month.

Account Master Position File

The Account Master Position file contains complete registration and non-financial information, and it is included in the initial transmission or on request. This file, in conjunction with the Account Position File, is used to establish or verify the account database when FAN Mail is implemented.

New Account Activity File

The New Account Activity file provides the same registration information as the Account Master Position file on new accounts as they are established.

Non-Financial Activity File

The Non-Financial Activity file is generated from maintenance activity to the shareholder/policy owner registration, and contains complete registration and non-financial information.

Direct Financial Activity File

The Direct Financial Activity file is generated when transactions are posted to the owner's account/contract, and this file is used to report all activity involving the movement of money and/or shares/units. Transactions such as purchases, redemptions, or exchanges are reported in this file.

Distribution Activity File (Mutual Funds Only)

The Distribution Activity file is used to confirm all activity resulting from the distribution of a dividend, and long- or short-term capital gain. The Distribution Activity file is generated after the distribution activity is applied to the owner's account.



Note: Distribution Activity Files are not used by variable annuity or variable universal life companies.

Security File

The Security File provides information on the securities held by the financial intermediaries' customers. The Security File eliminates the manual entry of the CUSIP, Ticker/Quotron symbol and security information into the financial intermediaries portfolio management software. The Security File is generated each time that a registration file (New Account Activity, Non-Financial Activity and/or Account Master Position) is produced for an account or sub-account or on request.

Fund Price File

The Fund Price file indicates the share/unit value and offering price as reported by the data providers.

The price file contains the offering price and net asset value (NAV)/unit value as reported by the fund and life companies at the close of the previous day's business. Every CUSIP is transmitted, whether or not shareholder accounts exist under each CUSIP.

CUSIP Information

Mutual fund companies' Committee on Uniform Securities Identification Procedures (CUSIP) and fund codes are not established by FAN Mail. The CUSIPs and fund codes used by the mutual fund companies are those registered with the National Securities Clearing Corporation (NSCC).

Fund/Product Code

The Fund/Product code is a seven-character alphanumeric field that identifies the different products or plans offered by the management company. It is based on the company's unique system code and an alphanumeric combination determined by the management company.



Note: DST FAN Mail establishes the system and management code to ensure uniqueness across management companies.

A unique Fund/Product code is established for every product and plan type in order to establish a combination of product/plan and sub-account CUSIP.

CUSIPs

The CUSIP is a nine-character alphanumeric field that identifies the funds and sub-account within a product. It is established based on the combination of the management company's system code and an alphanumeric combination determined by the variable annuity company.



Note: DST FAN Mail establishes the system and management code to ensure uniqueness across management companies.

Variable Annuity and Variable Universal Life CUSIP Rules

Funds or sub-accounts across different products with common pricing have the same CUSIP. If the fund or sub-account is priced differently because of the way it is invested within a product, a new CUSIP must be established.

The account number (contract number) and CUSIP relationship must be preserved. There are two ways to support an account number and CUSIP relationship. First, if an investor purchases two products in the same fund, the account numbers (contract numbers) must be different, even though the CUSIPs are the same. Second, if the variable annuity company groups multiple products held by the same investor under one account number (contract number), then they maintain unique CUSIPs across all products.

Fixed funds of differing duration lengths must have unique CUSIPs.



Note: The combination of the CUSIP and Product Code comprise the identification of the policy sub-account. Identification of a policy sub-account cannot be made based on recognition of a Product Code or CUSIP alone.

Interpreting Record Layouts

Record layouts in this manual use the format shown in the following diagram. Letters A–K in the Record Layout Field Descriptions table correspond to the letters in the following diagram.

Name of Record AAAAAAAAAAAAAA BBBB Record C of D					
Start	End	Length	Data/Type	Required	Description
E	F	G	HHHHH	I	JJJJJJJJJJJJJJJJ KKKKKKKKKKKK

Record Layout Field Descriptions

Field	Description
A	Any special information or comments regarding the sequence or fields within the sequence.
B	The type of record defined (Header, Detail, or Trailer record).
C	The sequence number of the record. (1=first record, 2=second record).
D	The total number of records in the sequence. (For example, 6=six records).
E	The first byte in the field or starting position of the data.
F	The last byte in the field or ending position of the data.
G	The total number of bytes or length of the field.
H	The type of data in the field (alphabetic, alphanumeric, or numeric).
I	Indicates whether the field is required or not (Yes=Required, No=Not Required).
J	The contents or description of the field. Many fields in this manual have specific values for Mutual Funds, Variable Annuities, Variable Universal Life, and REIT/LP's. Note: The Glossary contains a definition of each field.
K	If a field description has various options available, each option is identified and defined.

Using This Guide

The following formatting conventions are used in this guide.

- **Bold**—Any elements found on the window, such as buttons, boxes, menus, and options.
- **Literal**—Words, names, and paths that must be typed exactly as shown.
- **ALL CAPS**—Computer keyboard keys.

The following icons appear within the left margin to help you quickly locate important or additional information:



Note—This icon appears next to notes in the guide. Notes provide additional, necessary information to the current topic or procedure.



Procedure—This icon appears at the beginning of procedures. Procedures appear throughout the guide, and help you through the FAN Mail file download process.



Cross-reference—This icon appears when there is a reference to another guide or manual in which you can find additional information, helpful to your understanding of the application or process documented.



Tip—This icon appears next to information that can increase your speed and efficiency while using the application.



Warning—This icon appears when there is a possibility your actions could cause a loss of data, or fatal system error.

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- Brief description of the content
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Chapter 1:

Header Record

Header Record (RHR)

The Header record (RHR) applies to all product types.

Each file type begins with a Header record, which identifies the type of file, and references internal information for the file, such as the date, time, and DST job name. The header information enables the client to identify the type of record.

Header records separate each request number. All Header records are assigned a sequence number of 001 (fields 4-6), regardless of the number of Header records within a file.

All files begin with a Header record and end with a Trailer record for audit purposes. For more information, see [Chapter 2: Trailer Record](#) on page [21](#).

RHR—Header Record					
Header Record 1 of 1					
Start	End	Length	Data/Type	Required	Description
1	3	3	Alphanumeric	Yes	Record Type RHR=Request header
4	6	3	Numeric	Yes	Sequence Number=001
7	21	15	Alphanumeric	Yes	File Type (Description) ACCT MASTER POS=Account Master Position ACCT POSITION=Account Position DISTRIBUTION=Distribution Activity (<i>mutual funds and REIT/LP only</i>) FINANCIALDIRECT=Direct Financial Activity NEWACCT ACTIVIT=New Account Activity NONFINANCIALACT=Non- financial Activity (<i>Variable Universal Life & proprietary interfaces only</i>)
22	29	8	Numeric	Yes	Super Sheet Date (CCYYMMDD)
30	37	8	Numeric	Yes	Processed Date (CCYYMMDD)
38	45	8	Numeric	No	Processed Time (HHMMSSDD)
46	53	8	Alphanumeric	Yes	Job Name
54	56	3	Numeric	Yes	File Format Code 014=Account Position 015=Direct Financial Activity 016=New Account Activity 017=Account Master Position 018=Distribution Activity 022=Non-financial Activity
57	63	7	Numeric	Yes	Request Number 0000001 – 9999999
64	64	1	Alphabetic	Yes	*
65	67	3	Alphabetic	Yes	System ID

RHR—Header Record
Header Record 1 of 1

Start	End	Length	Data/Type	Required	Description
68	69	2	Alphabetic	Yes	Management Code
70	70	1	Alphabetic	Yes	*
71	71	1	Alphanumeric	No	Mutual Funds – Unused Variable Annuity – Populated by DST V=Variable Annuity Variable Universal Life – Unused REIT/LP R=Real Estate Trust L=Limited Partnership
72	72	1	Alphanumeric	Yes	Variable Universal Life – Life Data Types A=Whole B=Term C=Universal D=Variable E=VUL
73	160	88	Alphanumeric	No	Unused

Chapter 2:

Trailer Record

Trailer Record (RTR)

The Trailer record (RTR) applies to all product types.

Each file type ends with a Trailer record, which identifies the file type and the number of records contained in the file. Every Header record has a corresponding Trailer record. All Trailer records have a sequence number of 001 (fields 4-6) regardless of the number of Trailer records in a file. The record count shown in the Trailer file includes all detail records and the Header and Trailer.

All files start with a Header record and end with a Trailer record for audit purposes. For more information, see [Chapter 1: Header Record](#) on page [17](#).

RTR—Trailer Record					
Trailer Record 1 of 1					
Start	End	Length	Data/Type	Required	Description
1	3	3	Alphanumeric	Yes	Record Type RTR=Request Trailer
4	6	3	Numeric	Yes	Sequence Number=001
7	21	15	Alphanumeric	Yes	File Type (Description) ACCT MASTER POS=Account Master Position ACCT POSITION=Account Position FINANCIALDIRECT=Direct Financial Activity DISTRIBUTION=Distribution Activity (<i>mutual funds and REIT/LP only</i>) NEWACCT ACTIVIT=New Account Activity PRICE REFRESHER=Fund Price NONFINANCIALACT=Non- Financial Activity (<i>Variable Universal Life & proprietary interfaces only</i>)
22	30	9	Numeric	Yes	Trailer Record Count (includes header, detail, and trailer)
31	160	130	Alphanumeric	No	Unused

Chapter 3:

Account Position

Account Position File (APR)

The Account Position file (APR) is generated at month-end and when requested. It reports the current share/unit balance of every selected account, regardless of whether the account had financial activity. All accounts (open, closed, or any specified subset) are provided in the APR file.

The APR file is used periodically to reconcile all accounts maintained by an external source with those found on the data providers system.

APR files begin with a Header record and end with a Trailer record for audit purposes. For more information, see the following chapters:

- [Chapter 1: Header Record](#) on page [17](#)
- [Chapter 2: Trailer Record](#) on page [21](#)

APR Policy Header (VUL Only)

In addition to the standard header record, the Account Position file for life data (excluding variable annuities) has a policy header record that identifies the information contained within the detail records.

APR Policy Header (VUL Only)					
Start	End	Length	Data/Type	Required	Description
1	3	3	Alphanumeric	Yes	Record Type PPH=Policy Position Header
4	6	3	Numeric	Yes	Sequence 001=First record of the header
7	13	7	Numeric	Yes	Product Code
14	33	20	Alphanumeric	Yes	Policy/Contract Number
34	48	15	Numeric	Yes	Policy Value (two decimal places)
49	63	15	Numeric	Yes	Surrender Value (two decimal places)
64	78	15	Numeric	Yes	Surrender Charge (two decimal places)
79	93	15	Numeric	Yes	Loan Value (two decimal places)
94	108	15	Numeric	Yes	Collateral Value (two decimal places)
109	123	15	Numeric	Yes	Premium Paid Issue to Date (two decimal places)
124	160	37	Alphanumeric	No	Unused

**APR—Account Position
Detail Record 1 of 2**

Start	End	Length	Data/Type	Required	Description
1	3	3	Alphanumeric	Yes	Record Type APR=Account Position File
4	6	3	Numeric	Yes	Sequence 001=First detail record
7	13	7	Numeric (can contain alphabetic characters)	Yes	Dealer Number
14	22	9	Alphanumeric	Yes	Dealer/Branch Number
23	31	9	Alphanumeric	Yes	CUSIP Number
32	38	7	Numeric (can contain alphabetic characters)	Yes	Mutual Funds – Fund Code Variable Annuity – Product Code Variable Universal Life – Product Code REIT/LP – Fund Code
39	58	20	Alphanumeric	Yes	Mutual Funds – Customer Account Number REIT/LP – Investor/Account Number Variable Annuity – Policy/Contract Number Variable Universal Life – Policy/Contract Number
59	59	1	Alphanumeric	Yes	Account Number Code F=Fund account number

**APR—Account Position
Detail Record 1 of 2**

Start	End	Length	Data/Type	Required	Description
60	74	15	Numeric	Yes	Mutual Funds – Total Shares (four decimal places) REIT/LP – Total Units (four decimal places) Variable Annuity – Total Units (six decimal places), fixed sub- accounts are all zeroes Variable Universal Life – Total Units (six decimal places), fixed sub-accounts are all zeroes
75	89	15	Numeric	No	Mutual Funds – Unissued Shares (four decimal places) REIT/LP – Unissued Units (four decimal places) Variable Annuity – Unissued Units (six decimal places), fixed sub-accounts are all zeroes Variable Universal Life – Unissued Units (six decimal places), fixed sub-accounts are all zeroes
90	104	15	Numeric	No	Mutual Funds – Issued Shares (four decimal places) REIT/LP – Issued Units (four decimal places) Variable Annuity – Issued Units (six decimal places), fixed sub- accounts are all zeroes Variable Universal Life – Issued Units (six decimal places), fixed sub-accounts are all zeroes

**APR—Account Position
Detail Record 1 of 2**

Start	End	Length	Data/Type	Required	Description
105	113	9	Numeric	Yes	<p>Mutual Funds – Net Asset Value (four decimal places)</p> <p>REIT/LP – Net Asset Value (four decimal places)</p> <p>Variable Annuity – Unit Value (six decimal places), fixed sub-accounts are all zeroes.</p> <p>If the unit is greater than 999999999, this field contains asterisks and the unit value is contained in positions 114-128 detail record 1 of 2.</p> <p>Variable Universal Life – Unit Value (six decimal places), fixed sub-accounts are all zeroes.</p> <p>If the unit is greater than 999999999, this field contains asterisks and the unit value is contained in positions 114-128 detail record 1 of 2.</p>
114	128	15	Numeric	No	<p>Mutual Funds – Unused</p> <p>REIT/LP – Unused</p> <p>Variable Annuity – Extended Unit Value field (six decimal places). If positions 105-113 contain asterisks, this field represents the sub-account unit value.</p> <p>Variable Universal Life – Extended Unit Value field (six decimal places). If positions 105-113 contain asterisks, this field represents the sub-account unit value.</p>
129	132	4	Numeric	No	NSCC Trust Company Number
133	136	4	Numeric	No	NSCC Third Party Administrator Number
137	143	7	Numeric	No	Trust/Custodian ID Number

**APR—Account Position
Detail Record 1 of 2**

Start	End	Length	Data/Type	Required	Description
144	150	7	Numeric	No	Third Party Administrator ID Number
151	160	10	Alphanumeric	No	Unused

**APR—Account Position
Detail Record 2 of 2**

Start	End	Length	Data/Type	Required	Description
1	3	3	Alphanumeric	Yes	Record Type APR=Account Position File
4	6	3	Numeric	Yes	Sequence Number 002=Second detail record
7	21	15	Numeric	No	Mutual Fund – Accrued Dividend Amount (two decimal places) REIT/LP – Accrued Dividend Amount (two decimal places)
7	13	7	Numeric	No	Variable Annuity – Fixed sub-accounts only Interest Rate (four decimal places) Example: 0070000 = 7%
14	21	8	Numeric	No	Variable Annuity – Maturity Date (CCYYMMDD)
7	13	7	Numeric	No	Variable Universal Life – Fixed sub-accounts only Interest Rate (four decimal places) Example: 0070000 = 7%
14	21	8	Numeric	No	Variable Universal Life – Maturity Date (CCYYMMDD)
22	36	15	Numeric	No	Escrow Shares Count (four decimal places)
37	51	15	Numeric	Yes	Collected Balance Amount (two decimal places)
52	61	10	Alphanumeric	No	Alpha Code
62	70	9	Alphanumeric	Yes	Representative Number
71	100	30	Alphanumeric	Yes	Representative Name
101	109	9	Numeric	No	Cumulative Discount Number
110	112	3	Numeric	No	Social Code See Social Codes on page 106 .

**APR—Account Position
Detail Record 2 of 2**

Start	End	Length	Data/Type	Required	Description
113	113	1	Numeric	Yes	Mutual Fund – Dealer Control Level Code 0=Non-networked broker account 1=Broker-controlled IRA/margin account 2=Customer name brokerage account 3=Broker-controlled brokerage account 4=Fund-controlled brokerage account
				No	REIT/LP – Dealer Control Level Code 0=Non-networked broker account 1=Broker-controlled IRA/margin account 2=Customer name brokerage account 3=Broker-controlled brokerage account 4=Fund-controlled brokerage account
				No	Variable Annuity – Unused
				No	Variable Universal Life – Unused
114	122	9	Numeric	No	Letter of Intent (LOI) Number
123	131	9	Numeric	Yes	Social Security number (SSN)
132	132	1	Numeric	Yes	SSN Status Code 0=SSN missing 1=SSN not certified 2=SSN certified 3=TIN not certified 4=TIN certified 5=SSN applied 6=SSN IRS offender 7=TIN IRS offender 8=SSN exempt account 9=TIN exempt account

APR—Account Position
Detail Record 2 of 2

Start	End	Length	Data/Type	Required	Description
133	133	1	Alphanumeric	No	Mutual Fund – Net Asset Value (NAV) Code 0=Not a NAV account 1=NAV account REIT/LP – Net Asset Value (NAV) Code 0=Not a NAV account 1=NAV account Variable Annuity – Unused Variable Universal Life – Multiple Owners M=Multiple owners
134	134	1	Alphanumeric	No	Mutual Fund – Account Price Scheduling Code 1=Reduced pricing 2=Regular pricing
				Yes	REIT/LP – Account Price Scheduling Code 1=Reduced pricing 2=Regular pricing
				Yes	Variable Annuity – Sub-Account Type U=Unit I=Fixed
				Yes	Variable Universal Life – Sub-Account Type U=Unit I=Fixed

**APR—Account Position
Detail Record 2 of 2**

Start	End	Length	Data/Type	Required	Description
135	135	1	Alphanumeric	No	Mutual Fund – Account Management Company Employee Code Y=Employee N=Not employee REIT/LP – Account Management Company Employee Code Y=Employee N=Not employee Variable Annuity – Unused Variable Universal Life – Collected Balance Value N=Negative
136	144	9	Alphanumeric	No	Mutual Fund – External Plan ID REIT/LP – External Plan ID Variable Annuity – Unused Variable Universal Life – Unused
145	159	15	Numeric	Yes	Mutual Fund – Collected Shares (four decimal places) REIT/LP – Collected Units (four decimal places) Variable Annuity – Total Units (six decimal places), fixed sub- accounts will be all zeroes Variable Universal Life – Total Units (six decimal places), fixed sub- accounts will be all zeroes
160	160	1	Alphanumeric	No	Unused

Chapter 4:

Direct Financial Activity

Direct Financial Activity File (DFA)

The Direct Financial Activity file (DFA) is generated from transactions posted to the owners account/contract. This file reports all activity involving the movement of money and/or shares/units. For a list of all record codes reported in the DFA file, see [Appendix C: Miscellaneous Information](#) on page [105](#).

All DFA files begin with a Header record and end with a Trailer record for audit purposes. For more information, see the following chapters:

- [Chapter 1: Header Record](#) on page [17](#)
- [Chapter 2: Trailer Record](#) on page [21](#)

DFA Policy Header (VUL Only)

In addition to the standard Header record, the DFA data has an additional Transaction Header record. This Header record further identifies information contained within the detail records. The Transaction Header record is used to update important contract or policy information affected by underlying sub-account transactions.

DFA—Direct Financial Activity (VUL Only)**Header Record 1 of 1**

Start	End	Length	Data/Type	Required	Description
1	3	3	Alphanumeric	Yes	Record Type PTH=Policy Transaction Header
4	6	3	Numeric	Yes	Sequence Number 001=First record of the header
7	13	7	Alphanumeric	Yes	Product Code
14	33	20	Alphanumeric	Yes	Policy/Contract Number
34	48	15	Numeric	Yes	Policy Value (two decimal places)
49	63	15	Numeric	Yes	Surrender Value (two decimal places)
64	78	15	Numeric	Yes	Surrender Charge (two decimal places)
79	93	15	Numeric	Yes	Loan Value (two decimal places)
94	108	15	Numeric	Yes	Collateral Value (two decimal places)
109	123	15	Numeric	Yes	Premium Paid Issue to Date (two decimal places)
124	160	37	Alphanumeric	No	Unused

DFA—Direct Financial Activity
Detail Record 1 of 4

Start	End	Length	Data/Type	Required	Description
1	3	3	Alphanumeric	Yes	Record Type DFA=Direct Financial Activity File
4	6	3	Numeric	Yes	Sequence Number 001=First detail record
7	9	3	Numeric	Yes	Record Code
10	16	7	Numeric (can contain alphabetic characters)	Yes	Dealer Number
17	25	9	Alphanumeric	Yes	Dealer/Branch Number
26	34	9	Alphanumeric	Yes	CUSIP Number
35	41	7	Numeric (can contain alphabetic characters)	Yes	Mutual Fund – Fund Code REIT/LP – Fund Code Variable Annuity – Product Code Variable Universal Life – Product Code
42	61	20	Alphanumeric	Yes	Mutual Fund – Customer Account number REIT/LP – Investor/Account number Variable Annuity – Policy/Contract number Variable Universal Life – Policy/Contract number
62	62	1	Alphanumeric	Yes	Account Number Code F=Fund account number
63	69	7	Numeric	No	Batch Number

DFA—Direct Financial Activity
Detail Record 1 of 4

Start	End	Length	Data/Type	Required	Description
70	77	8	Alphanumeric	No	Mutual Fund – Batch Date (CCYYMMDD) REIT/LP – Batch Date (CCYYMMDD) Variable Annuity – Maturity Date This represents the maturity date if it is a sub-account. Variable Universal Life – Maturity Date This represents the maturity date if it is a sub-account.
78	80	3	Numeric	Yes	Transaction Code
81	83	3	Numeric	Yes	Transaction Suffix
84	84	1	Alphanumeric	Yes	Share Balance Effect Code A=Transaction adds to share balance N=Transaction makes no change to share balance S=Transaction subtracts from share balance

DFA—Direct Financial Activity
Detail Record 1 of 4

Start	End	Length	Data/Type	Required	Description
85	93	9	Numeric	Yes	<p>Mutual Fund – Share Price Amount (four decimal places)</p> <p>REIT/LP – Unit Price Amount (four decimal places)</p> <p>Variable Annuity – Unit Price Amount (six decimal places), fixed sub-accounts are all zeroes.</p> <p>If the unit value is greater than 999999999, this field contains asterisks and the unit value contained in positions 86-100 detail record 2 of 2.</p> <p>Variable Universal Life – Unit Price Amount (six decimal places), fixed sub-accounts are all zeroes.</p> <p>If the unit value is greater than 999999999, this field contains asterisks and the unit value contained in positions 86-100 detail record 2 of 2.</p>

DFA—Direct Financial Activity
Detail Record 1 of 4

Start	End	Length	Data/Type	Required	Description
94	108	15	Numeric	Yes	<p>Mutual Fund – Gross Transaction Amount (two decimal places) This field should be identical to the Shares Transaction Count for Variable Annuities and Variable Universal Life, except for the decimal point placement.</p> <p>REIT/LP – Gross Transaction Amount (two decimal places)</p> <p>Variable Annuity – Gross Transaction Amount (two decimal places) This field should be identical to the Unit Transaction Count for fix sub-accounts, except for the decimal point placement.</p> <p>Variable Universal Life – Gross Transaction Amount (two decimal places) This field should be identical to the Unit Transaction Count for fix sub-accounts, except for the decimal point placement.</p>
109	123	15	Numeric	Yes	<p>Mutual Fund – Shares Transaction Count (four decimal places)</p> <p>REIT/LP – Unit Transaction Count (four decimal places)</p> <p>Variable Annuity – Unit Transaction Count (six decimal places) This field should be identical to Gross Transaction Amount for fixed sub-accounts, except for the decimal point placement.</p> <p>Variable Universal Life – Unit Transaction Count (six decimal places) This field should be identical to Gross Transaction Amount for fixed sub-accounts, except for the decimal point placement.</p>

DFA—Direct Financial Activity
Detail Record 1 of 4

Start	End	Length	Data/Type	Required	Description
124	131	8	Alphanumeric	Yes	Trade Date (CCYYMMDD)
132	139	8	Alphanumeric	Yes	Confirmation or Payment Date (CCYYMMDD)
140	141	2	Numeric	No	Discount Category
142	150	9	Numeric	No	Order Number
151	151	1	Numeric	Yes	Account Type Code 0=New 1=Existing
152	152	1	Numeric	Yes	Mutual Fund – Dealer Level Control Code 0=Non-networking broker account 1=Broker-controlled IRA/margin account 2=Customer name brokerage account 3=Broker-controlled brokerage account 4=Fund-controlled brokerage account REIT/LP – Dealer Level Control Code 0=Non-Networking broker account 1=Broker-controlled IRA/margin account 2=Customer name brokerage account 3=Broker-controlled brokerage account 4=Fund-controlled brokerage account Variable Annuity – Dealer Level Control Code 5=Variable Annuity fixed sub-accounts Variable Universal Life – Dealer Level Control Code 6=Variable Universal Life fixed sub-accounts

**DFA—Direct Financial Activity
Detail Record 1 of 4**

Start	End	Length	Data/Type	Required	Description
153	153	1	Alphanumeric	Yes	Mutual Fund – Payment Method A=Automated Clearing House C=Check D=Draft Z=Not applicable REIT/LP – Payment Method A=Automated Clearing House C=Check D=Draft Z=Not applicable Variable Annuity – Payment Method V=Variable Annuity Variable Universal Life – Payment Method E=Variable Universal Life
154	160	7	Alphanumeric		Unused

DFA—Direct Financial Activity
Detail Record 2 of 4

Start	End	Length	Data/Type	Required	Description
1	3	3	Alphanumeric	Yes	Record Type DFA=Direct Financial Activity File
4	6	3	Numeric	Yes	Sequence Number 002=Second detail record
7	15	9	Numeric	No	Cumulative Discount Number
16	24	9	Numeric	No	Letter of Intent (LOI) Number
25	27	3	Numeric	No	Social Code See Social Codes on page 106 .
28	30	3	Numeric	Yes	Resident State/Country Code Refer to the <i>TA2000 State and Country Codes Quick Reference Guide</i> for more information.
31	39	9	Alphanumeric	Yes	Representative Number
40	69	30	Alphanumeric	Yes	Representative Name
70	84	15	Numeric	No	Mutual Fund – Percent Sales Charge (10 decimal places) REIT/LP – Percent Sales Charge (10 decimal places) Variable Annuity – Unused Variable Universal Life – Unused
85	85	1	Alphanumeric	No	Mutual Fund – Dealer Commission Code G=Gross N=Net 1=Gross 2=Net REIT/LP – Dealer Commission Code G=Gross N=Net 1=Gross 2=Net Variable Annuity – Unused Variable Universal Life – Unused

**DFA—Direct Financial Activity
Detail Record 2 of 4**

Start	End	Length	Data/Type	Required	Description
86	100	15	Numeric	No	Mutual Fund – Dealer Commission Amount (two decimal places) REIT/LP – Dealer Commission Amount (two decimal places) Variable Annuity – Extended Unit Value field (six decimal places) If positions 85-93 of Detail Record 1 of 2 contain asterisks, this field represents the sub-account Unit Value. Variable Universal Life – Extended Unit Value field (six decimal places) If positions 85-93 of Detail Record 1 of 2 contain asterisks, this field represents the sub-account Unit Value.
101	115	15	Numeric	No	Mutual Fund – Underwriter Commission Amount (two decimal places) REIT/LP – Underwriter Commission Amount (two decimal places) Variable Annuity – Unused Variable Universal Life – Unused
116	118	3	Numeric	No	Mutual Fund – As-Of Reason Code REIT/LP – As-Of Reason Code Variable Annuity – Unused Variable Universal Life – Unused
119	119	1	Numeric	No	Certificate Issuance Code 0=Do not issue certificates 1=Issue certificates
120	132	13	Numeric	No	Check Number
133	141	9	Numeric	Yes	Social Security number (SSN)

DFA—Direct Financial Activity
Detail Record 2 of 4

Start	End	Length	Data/Type	Required	Description
142	142	1	Numeric	Yes	SSN Status Code 0=SSN missing 1=SSN not certified 2=SSN certified 3=TIN not certified 4=TIN certified 5=SSN applied 6=SSN IRS offender 7=TIN IRS offender 8=SSN exempt account 9=TIN exempt account
143	143	1	Alphanumeric	No	Mutual Fund – Net Asset Value (NAV) Account 0=Not an NAV account 1-9, A-Z=NAV account REIT/LP – Net Asset Value (NAV) Account 0=Not an NAV account 1-9, A-Z=NAV account Variable Annuity – Unused Variable Universal Life – Multiple Owners M=Multiple Owners
144	144	1	Numeric	No	Mutual Fund – Account Price Schedule Code 1=Reduced pricing 2=Regular pricing REIT/LP – Account Price Schedule Code 1=Reduced pricing 2=Regular pricing Variable Annuity – Unused Variable Universal Life – Unused

**DFA—Direct Financial Activity
Detail Record 2 of 4**

Start	End	Length	Data/Type	Required	Description
145	145	1	Alphanumeric	No	Mutual Fund – Account Management Company Employee Code Y=Employee N=Not employee REIT/LP – Account Management Company Employee Code Y=Employee N=Not employee Variable Annuity – Unused Variable Universal Life – Unused
146	154	9	Alphanumeric	No	Unused
155	155	1	Alphanumeric	No	Mutual Fund – Underwriter Commission Code “+”=Positive “-”=Negative REIT/LP – Underwriter Commission Code “+”=Positive “-”=Negative Variable Annuity – Unused Variable Universal Life – Unused
156	160	5	Alphanumeric	No	Unused

DFA—Direct Financial Activity**Detail Record 3 of 4 – Optional**

Start	End	Length	Data/Type	Description
1	3	3	Alphanumeric	Record Type DFA = Direct Financial Activity file
4	6	3	Numeric	Sequence Number 003 = third detail record
7	10	4	Numeric	Contribution Year
11	17	7	Numeric	Fund From Code
18	28	11	Numeric	Account From/To
29	54	26	Alphanumeric	Voluntary Transaction Description
55	74	20	Alphanumeric	Customer Account Number
75	75	1	Alphanumeric	Account Number Code E = external account number (used in positions 55 through 74) F = fund account number (used in positions 55 through 65)
76	83	8	Numeric	Super Sheet Date (YYYYMMDD)
84	92	9	Numeric	Bank MICR ID
93	109	17	Numeric	Bank Account Number
110	110	1	Alphanumeric	Liquidation Code F = full liquidation P = partial liquidation Z = not applicable (purchases)
111	111	1	Alphanumeric	Trade Entry Method Code A = Audio Response C = conversion E = Client - FE F = FAN I = Intelligent Work Station (IWS) O = on line S = system T = transmission V = Vision X = TELTRAN Y = shareholder system

DFA—Direct Financial Activity**Detail Record 3 of 4 – Optional**

Start	End	Length	Data/Type	Description
112	118	7	Numeric	Trade Origin ID 0000000 = not applicable 0000100 = NSCC 0000200 = DDPS 0000300 = bulk transmission 0000400 = 10-minute builds 0000500 = SWITCH 0000706 = Vision 0000800 = AFS Share
119	129	11	Numeric	Mutual Fund Transaction ID 1
130	140	11	Numeric	Mutual Fund Transaction ID 2
141	144	4	Numeric	Trust Company Number
145	148	4	Numeric	Third Party Administrator Number
149	160	12	Alphanumeric	Unused

DFA—Direct Financial Activity**Detail Record 4 of 4 – Optional**

Start	End	Length	Data/Type	Description
1	3	3	Alphanumeric	Record Type DFA = Direct Financial Activity file
4	6	3	Numeric	Sequence Number 004 = third detail record
7	19	13	Alphanumeric	Client Reference Number
20	59	40	Alphanumeric	Merchant Description Text
60	66	7	Numeric	Trust/Custodian ID Number
67	73	7	Numeric	Third Party Administrator ID Number
74	88	15	Numeric	Financial Transaction Advanced Commission AT
89	97	9	Alphanumeric	NSCC Branch ID Number
98	98	1	Numeric	NAV Reason Code 1=Net Asset Transfer 2=Repurchase 3=Employee 4=Error Correction 5=Wrap Account
99	108	10	Alphanumeric	Client-Defined Text Field
109	118	10	Alphanumeric	Alpha Code
119	160	42	Alphanumeric	Unused

Chapter 5:

New Account Activity, Account Master Position, Non-Financial Activity

New Account Activity File (NAA)

A New Account Activity File is generated when a new account registration is established.

Account Master Position File (AMP)

The Account Master Position file (AMP) is generated upon the initial download and based on request. The AMP file provides registration information on the selected accounts.

Non-Financial Activity File (NFA)

The Non-Financial Activity file (NFA) is optional for Mutual Funds, Real Estate Investment Trust/Limited Partnerships (REIT/LP) and Variable Annuities and is available only to brokers and dealers with a proprietary interface. This file is generated upon maintenance to the account/contract owner registration or account options.

The NFA file is required for Variable Universal Life and is provided to all users. This file is generated for VUL upon maintenance to the policy registration, policy values and policy options.

All NAA, AMP, and NFA files begin with a Header record and end with a Trailer record for audit purposes. For more information, see the following chapters:

- [Chapter 1: Header Record](#) on page [17](#)
- [Chapter 2: Trailer Record](#) on page [21](#)

NAA/AMP/NFA Policy Header (VUL Only)

In addition to the standard Header record, the Account Master, New Account and Non-Financial Activity file (NFA) for Life data (excluding variable annuities) has an additional Policy Header record (NAA/AMP/NFA) used to identify the information contained within the detail records.

NAA/AMP/NFA Policy Header (VUL Only)
Header Record 1 of 2

Start	End	Length	Data/Type	Required	Description
1	3	3	Alphanumeric	Yes	Record Type PLH=Policy Level Header
4	6	3	Numeric	Yes	Sequence Number 001=First record of header
7	14	8	Alphanumeric	Yes	Anniversary Date (CCYYMMDD)
15	22	8	Alphanumeric	Yes	Issue Date (CCYYMMDD)
23	29	7	Alphanumeric	Yes	Product Code
30	49	20	Alphanumeric	Yes	Policy/Contract Number
50	51	2	Numeric	Yes	Death Benefit Option See Death Benefit Information on page 105 .
52	63	12	Numeric	Yes	Current Policy Face Amount (two decimal places)
64	75	12	Numeric	Yes	Current Sum of Riders (two decimal places)
76	87	12	Numeric	Yes	Current Face Amount Including Sum of Riders (two decimal places)
88	118	31	Alphanumeric	Yes	Name only of Primary Beneficiary
119	119	1	Alphanumeric	Yes	M=Multiple Primary Beneficiaries
120	149	30	Alphanumeric	Yes	Name only of Secondary Beneficiaries
150	150	1	Alphanumeric	Yes	M=Multiple Secondary Beneficiaries
151	152	2	Numeric	Yes	Policy Status See Policy Status Information on page 105 .
153	160	8	Alphanumeric	No	Unused

NAA/AMP/NFA Policy Header (VUL Only)**Header Record 2 of 2**

Start	End	Length	Data/Type	Required	Description
1	3	3	Alphanumeric	Yes	Record Type PLH=Policy Level Header
4	6	3	Numeric	Yes	Sequence Number 002=First record of header
7	7	1	Numeric	Yes	Billing Type 1=Check 2=Automated Clearinghouse (ACH) 3=Government allotment 4=List bill
8	8	1	Numeric	Yes	Billing Frequency 1=Monthly 2=Quarterly 3=Semi-annually 4=Annually
9	23	15	Numeric	Yes	Billing Amount
24	38	15	Numeric	Yes	Guideline Annual Premium (two decimal places)
39	53	15	Numeric	Yes	Guideline Single Premium (two decimal places)
54	68	15	Numeric	Yes	Target Premium (two decimal places)
69	83	15	Numeric	Yes	No Lapse Guarantee Premium (two decimal places)
84	98	15	Numeric	Yes	Seven Pay Premium (two decimal places)
99	99	1	Alphabetic	Yes	MEC Indicator Y=Modified Endowment Contract N=Not a Modified Endowment Contract
100	160	61	Alphanumeric	Yes	Unused

**NAA/AMP/NFA—New Account Activity, Account Master Position, Non-Financial Activity
Detail Record 1 of 4**

Start	End	Length	Data/Type	Required	Description
1	3	3	Alphanumeric	Yes	Record Type NAA=New Account Activity File AMP=Account Master Position File NFA=Non-Financial Activity File (Optional)
4	6	3	Numeric	Yes	Sequence Number 001=First detail record
7	13	7	Numeric (may contain alphabetic characters)	Yes	Dealer Number
14	22	9	Alphanumeric	Yes	Dealer/Branch Number
23	31	9	Alphanumeric	Yes	CUSIP Number
32	38	7	Numeric (may contain alphabetic characters)	Yes	Mutual Fund – Fund Code REIT/LP – Fund Code Variable Annuity – Product Code Variable Universal Life – Product Code
39	58	20	Alphanumeric	Yes	Mutual Fund – Customer Account Number REIT/LP – Investor/Account Number Variable Annuity – Policy/Contract Number Variable Universal Life – Policy/Contract Number
59	59	1	Alphanumeric	No	Account Number Code F=Fund account number

NAA/AMP/NFA—New Account Activity, Account Master Position, Non-Financial Activity
Detail Record 1 of 4

Start	End	Length	Data/Type	Required	Description
60	67	8	Alphanumeric	Yes	Mutual Fund – Established Date (CCYYMMDD) REIT/LP – Established Date (CCYYMMDD) Variable Annuity – Established Date (CCYYMMDD) Variable Universal Life – Issue Date (CCYYMMDD)
68	75	8	Alphanumeric	No	Last Maintenance Date (CCYYMMDD)
76	76	1	Numeric	Yes	Line Code 2=Address Begins on Line 2 3=Address Begins on Line 3 4=Address Begins on Line 4 5=Address Begins on Line 5 6=Address Begins on Line 6 7=Address Begins on Line 7
77	86	10	Alphanumeric	No	Alpha Code
87	87	1	Numeric	Yes	Mutual Fund – Dealer-Level Control Code 0=Non-networked broker account 1=Broker-controlled IRA/Margin account 2=Customer name brokerage account 3=Broker-controlled brokerage account 4=Fund-controlled brokerage account
				No	REIT/LP – Dealer-Level Control Code 0=Non-networked broker account 1=Broker-controlled IRA/Margin account 2=Customer name brokerage account 3=Broker-controlled brokerage account 4=Fund-controlled brokerage account
				No	Variable Annuity – Unused
				No	Variable Universal Life – Unused

**NAA/AMP/NFA—New Account Activity, Account Master Position, Non-Financial Activity
Detail Record 1 of 4**

Start	End	Length	Data/Type	Required	Description
88	90	3	Numeric	No	Social Code See Social Codes on page 106 .
91	93	3	Numeric	Yes	Resident State/Country Code Refer to the <i>TA2000 State and Country Codes Quick Reference Guide</i> for more information.
94	102	9	Numeric	Yes	Social Security number (SSN)
103	103	1	Numeric	Yes	SSN Status Code 0=SSN missing 1=SSN not certified 2=SSN certified 3=Tax ID number (TIN) not certified 4=TIN certified 5=SSN applied 6=SSN IRS offender 7=TIN IRS offender 8=SSN exempt account 9=TIN exempt account
104	104	1	Numeric	No	Systematic Withdrawal Plan (SWP) Account 0=Not a SWP account 1=SWP account
105	105	1	Numeric	No	Pre-Authorized Checking Account 0=Not authorized for pre-authorized checking 1=Authorized for pre-authorized checking
106	106	1	Numeric	No	Automated Clearing House Account (ACH) 0=Not authorized for ACH activity 1=Authorized for ACH activity

NAA/AMP/NFA—New Account Activity, Account Master Position, Non-Financial Activity
Detail Record 1 of 4

Start	End	Length	Data/Type	Required	Description
107	107	1	Alphanumeric	No	Mutual Fund – Reinvest to Another Account 0=Not authorized for dividend reinvestment in another fund account 1=Authorized for dividend reinvestment in another fund account
				No	REIT/LP – Reinvest to Another Account 0=Not authorized for dividend reinvestment in another fund account 1=Authorized for dividend reinvestment in another fund account
				No	Variable Annuity – Unused
				Yes	Variable Universal Life – Multiple Contract Owners M=Multiple Contract Owners
108	108	1	Numeric	No	Mutual Fund – Capital Gains Distribution Option 0=Reinvest 1=Cash REIT/LP – Capital Gains Distribution Option 0=Reinvest 1=Cash Variable Annuity – Unused Variable Universal Life – Unused
109	109	1	Numeric	No	Mutual Fund – Dividend Distribution Option 0=Reinvest 1=Cash REIT/LP – Dividend Distribution Option 0=Reinvest 1=Cash Variable Annuity – Unused Variable Universal Life – Unused

**NAA/AMP/NFA—New Account Activity, Account Master Position, Non-Financial Activity
Detail Record 1 of 4**

Start	End	Length	Data/Type	Required	Description
110	110	1	Numeric	No	Check Writing Account 0=Not authorized for check writing 1=Authorized for check writing
111	111	1	Numeric	No	Expedited Redemption Account 0=Not authorized for expedited redemptions 1=Authorized for expedited redemptions
112	112	1	Numeric	No	Mutual Fund – Sub account 0=Not a sub account 1=Sub account REIT/LP – Sub account 0=Not a sub account 1=Sub account Variable Annuity – Unused Variable Universal Life – Unused
113	115	3	Numeric	No	Foreign Tax Rate (three decimal places)
116	124	9	Numeric	Yes	ZIP Code
125	126	2	Numeric	No	ZIP Code Future Expansion
127	135	9	Numeric	No	Cumulative Discount Number
136	144	9	Numeric	No	Letter of Intent (LOI) Number
145	145	1	Numeric	No	Timer Flag 0=Not a timer account 1=Timer account
146	146	1	Numeric	No	ListBill Account 0=Not a ListBill account 1=ListBill account

NAA/AMP/NFA—New Account Activity, Account Master Position, Non-Financial Activity
Detail Record 1 of 4

Start	End	Length	Data/Type	Required	Description
147	147	1	Numeric	No	Mutual Fund – Monitored VIP Account 0=Not a monitored VIP account 1=Monitored VIP account REIT/LP – Monitored VIP Account 0=Not a monitored VIP account 1=Monitored VIP account Variable Annuity – Unused Variable Universal Life – Unused
148	148	1	Numeric	No	Mutual Fund – Expedited Exchange Account 0=Not authorized for expedited exchange 1=Authorized for expedited exchange REIT/LP – Expedited Exchange Account 0=Not authorized for expedited exchange 1=Authorized for expedited exchange Variable Annuity – Unused Variable Universal Life – Unused
149	149	1	Numeric	No	Mutual Fund – Penalty Withholding Account 0=Not subject to penalty withholding 1=Subject to penalty withholding REIT/LP – Penalty Withholding Account 0=Not subject to penalty withholding 1=Subject to penalty withholding Variable Annuity – Unused Variable Universal Life – Unused
150	150	1	Numeric	No	Certificate Issuance Code 0=Do not issue certificates 1=Issue certificates

**NAA/AMP/NFA—New Account Activity, Account Master Position, Non-Financial Activity
Detail Record 1 of 4**

Start	End	Length	Data/Type	Required	Description
151	151	1	Numeric	No	Mutual Fund – Stop Transfer Flag 0=Do not stop transfers 1=Stop transfers REIT/LP – Stop Transfer Flag 0=Do not stop transfers 1=Stop transfers Variable Annuity – Unused Variable Universal Life – Unused
152	152	1	Numeric	No	Mutual Fund – Blue Sky Exemption Flag 0=Not exempt from Blue Sky reporting 1=Exempt from Blue Sky reporting REIT/LP – Blue Sky Exemption Flag 0=Not exempt from Blue Sky reporting 1=Exempt from Blue Sky reporting Variable Annuity – Unused Variable Universal Life – Unused
153	153	1	Numeric	No	Mutual Fund – Bank Card Issued 0=No bank card issued 1=Bank card issued REIT/LP – Bank Card Issued 0=No bank card issued 1=Bank card issued Variable Annuity – Unused Variable Universal Life – Unused
154	154	1	Numeric	No	Fiduciary Account 0=Not a fiduciary account 1=Fiduciary account
155	155	1	Numeric	Yes	Plan Status Code 0=Open account 1=Closed account

NAA/AMP/NFA—New Account Activity, Account Master Position, Non-Financial Activity
Detail Record 1 of 4

Start	End	Length	Data/Type	Required	Description
156	156	1	Numeric	No	Mutual Fund – Net Asset Value (NAV) Account 0=Not a NAV account 1-=NAV account A- Z=NAV account REIT/LP – Net Asset Value (NAV) Account 0=Not a NAV account 1-=NAV account A- Z=NAV account Variable Annuity – Unused Variable Universal Life – Unused
157	157	1	Numeric	No	Mailing Flag 0=No mail flag 1=Mail flag
158	158	1	Alphabetic	No	Interested Party Code Y=Interested party N=Not an interested party
159	159	1	Alphanumeric	No	Mutual Fund – Share Account Phone Check Redemption Code Y=Share account phone check redemption N=No share account phone check redemption REIT/LP – Share Account Phone Check Redemption Code Y=Share account phone check redemption N=No share account phone check redemption Variable Annuity – Unused Variable Universal Life – Unused

**NAA/AMP/NFA—New Account Activity, Account Master Position, Non-Financial Activity
Detail Record 1 of 4**

Start	End	Length	Data/Type	Required	Description
160	160	1	Alphanumeric	No	Mutual Fund – Share Account House Account Code Y=Share account house account N=No share account house account REIT/LP – Share Account House Account Code Y=Share account house account N=No share account house account Variable Annuity – Unused Variable Universal Life – Unused

**NAA/AMP/NFA—New Account Activity, Account Master Position, Non-financial Activity
Detail Record 2 of 4**

Start	End	Length	Data/Type	Required	Description
1	3	3	Alphanumeric	Yes	Record Type NAA=New Account Activity File AMP=Account Master Position File NFA=Non-Financial Activity File (Optional)
4	6	3	Numeric	Yes	Sequence Number 002=Second detail record
7	7	1	Numeric	No	Mutual Fund – Dividend Mail Account 0=Does not contain special dividend mail information 1=Contains special dividend mail information REIT/LP – Dividend Mail Account 0=Does not contain special dividend mail information 1=Contains special dividend mail information Variable Annuity – Unused Variable Universal Life – Unused
8	8	1	Numeric	No	Mutual Fund – Stop Purchase Account 0=No purchase restrictions 1=Restrict purchases REIT/LP – Stop Purchase Account 0=No purchase restrictions 1=Restrict purchases Variable Annuity – Unused Variable Universal Life – Unused

**NAA/AMP/NFA—New Account Activity, Account Master Position, Non-financial Activity
Detail Record 2 of 4**

Start	End	Length	Data/Type	Required	Description
9	9	1	Numeric	No	Mutual Fund – Stop Mail Account 0=Do not stop mail restrictions 1=Stop mail REIT/LP – Stop Mail Account 0=Do not stop mail restrictions 1=Stop mail Variable Annuity – Unused Variable Universal Life – Unused
10	10	1	Numeric	No	Mutual Fund – Fractional Check 0=No check issued for fractional shares 1=Issue check for fractional shares REIT/LP – Fractional Check 0=No check issued for fractional shares 1=Issue check for fractional shares Variable Annuity – Unused Variable Universal Life – Unused
11	45	35	Alphanumeric	Yes	Registration – Line 1
46	80	35	Alphanumeric	Yes	Registration – Line 2
81	115	35	Alphanumeric	Yes	Registration – Line 3
116	150	35	Alphanumeric	Yes	Registration – Line 4
151	158	8	Alphanumeric	No	Unused
159	159	1	Numeric	No	Mutual Fund – Account Price Schedule Code 1=Reduced pricing 2=Regular pricing REIT/LP – Account Price Schedule Code 1=Reduced pricing 2=Regular pricing Variable Annuity – Unused Variable Universal Life – Unused

NAA/AMP/NFA—New Account Activity, Account Master Position, Non-financial Activity
Detail Record 2 of 4

Start	End	Length	Data/Type	Required	Description
160	160	1	Alphanumeric	No	Mutual Fund – Account Management Company Employee Code Y=Employee N=Not employee REIT/LP – Account Management Company Employee Code Y=Employee N=Not employee Variable Annuity – Unused Variable Universal Life – Unused

**NAA/AMP/NFA—New Account Activity, Account Master Position, Non-financial Activity
Detail Record 3 of 4**

Start	End	Length	Data/Type	Required	Description
1	3	3	Alphanumeric	Yes	Record Type NAA=New Account Activity File AMP=Account Master Position File NFA=Non-financial Activity File (Optional)
4	6	3	Numeric	Yes	Sequence Number 003=Third detail record
7	41	35	Alphanumeric	Yes	Account Registration – Line 5
42	76	35	Alphanumeric	Yes	Mutual Fund – Account Registration- Line 6 REIT/LP – Account Registration- Line 6 Variable Annuity – Account Registration – Line 6 Variable Universal Life – Name of Primary Insured
77	111	35	Alphanumeric	Yes	Mutual Fund – Account Registration- Line 7 REIT/LP – Account Registration- Line 7 Variable Annuity – Account Registration – Line 7 Variable Universal Life – Name of Secondary Insured
112	120	9	Alphanumeric	Yes	Representative Number
121	150	30	Alphanumeric	Yes	Representative Name
151	160	10	Alphanumeric	No	Unused

**NAA/AMP/NFA—New Account Activity, Account Master Position, Non-Financial Activity
Detail Record 4 of 4** (Optional—Only applies to Trust Company and Third Party Administrator
Transmissions)

Start	End	Length	Data/Type	Description
1	3	3	Alphabetic	Record Type NAA=New Account Activity File AMP=Account Master Position File NFA=Non Financial Activity File (optional)
4	6	3	Numeric	Sequence Number 004=Fourth detail record
7	26	20	Alphanumeric	Customer Account number
27	27	1	Alphanumeric	Account Number Code E = external account number (used in positions 7-17) F = fund account number (used in positions 7-17)
28	42	15	Numeric	Primary Investor Phone Number
43	57	15	Numeric	Secondary Investor Phone Number
58	61	4	Numeric	NSCC Trust Company number
62	65	4	Numeric	NSCC Third Party Administrator number
66	88	23	Alphanumeric	Unused
89	95	7	Numeric	Trust/Custodian ID Number
96	102	7	Numeric	Third Party Administrator ID Number
103	160	58	Alphanumeric	Unused

Chapter 6:

Distribution Activity

Distribution Activity File

The Distribution Activity file is used to confirm all activity resulting from distribution of dividend, capital gain, or foreign tax credits.



Note: This file type is for mutual funds and REITS/LPs only.

The Distribution Activity file is generated after the distribution activity is applied to the account. It also includes the share activity from that night's nightly cycle.

All Distribution Activity files begin with a Header record and end with a Trailer record for auditing purposes. For more information, see [Chapter 1: Header Record](#), and [Chapter 2: Trailer Record](#).

CGH/DVH/FTH—Distribution Activity**Header Record 1 of 1**

Start	End	Length	Data/Type	Required	Description
1	3	3	Alphanumeric	Yes	Record Type CGH=Capital Gain Header Record DVH=Dividend Header Record FTR=Foreign Tax Credit Header Record
4	6	3	Numeric	Yes	Sequence Number 001=First record of the header
7	14	8	Alphanumeric	Yes	Distribution Record Date (CCYYMMDD)
15	22	8	Alphanumeric	Yes	Distribution Payable Date (CCYYMMDD)
23	30	8	Alphanumeric	Yes	Distribution Reinvestment Date (CCYYMMDD)
31	39	9	Alphanumeric	Yes	CUSIP Number
40	46	7	Numeric (can contain alphabetic characters)	Yes	Fund Code
47	61	15	Numeric	Yes	Distribution Rate Per Share (10 decimal places)
62	76	15	Numeric	No	Fund Expense Rate (10 decimal places)
77	77	1	Numeric	Yes	Distribution Type Code 0=Dividend 1=Short-term capital gain 2=Long-term capital gain 3=Stock split 4=28% rate capital gain
78	86	9	Numeric	Yes	Reinvestment Share Price (four decimal places)
87	101	15	Numeric	No	Penalty Withholding Rate (10 decimal places)
102	160	59	Alphanumeric	No	Unused

**CGR/DVR/FTR—Distribution Activity
Detail Record 1 of 2**

Start	End	Length	Data/Type	Required	Description
1	3	3	Alphanumeric	Yes	Record Type CGR=Capital Gain Activity Detail Record DVR=Dividend Activity Detail Record FTR=Foreign Tax Credit Activity Detail Record
4	6	3	Numeric	Yes	Sequence Number 001=First detail record
7	13	7	Numeric (may contain alphabetic characters)	Yes	Dealer Number
14	22	9	Alphanumeric	Yes	Dealer/Branch Number
23	42	20	Alphanumeric	Yes	Customer Account Number
43	43	1	Alphanumeric	Yes	Account Number Code F=Fund account number
44	58	15	Numeric	No	Fund Expense Amount (two decimal places)
59	59	1	Alphanumeric	No	Fund Expense Allocation Code 0=Single fund expense allocation 1=Cumulative fund expense allocation
60	68	9	Numeric	Yes	Social Security number (SSN)
69	69	1	Numeric	Yes	SSN Status Code 0=SSN missing 1=SSN not certified 2=SSN certified 3=Tax ID number (TIN) not certified 4=TIN certified 5=SSN applied 6=SSN IRS offender 7=TIN IRS offender 8=SSN exempt account 9=TIN exempt account

**CGR/DVR/FTR—Distribution Activity
Detail Record 1 of 2**

Start	End	Length	Data/Type	Required	Description
70	70	1	Numeric	Yes	Distribution Code 0=Reinvest distributions 1=Cash to shareholder 2=Reinvest to another fund account 3=Cash in lieu of reinvesting fractional shares 4=Foreign tax credit 5=Cash disbursement – ACH 6=Combination check 7=Individual wire 8=Combination wire 9=Aggregated wire
71	85	15	Numeric	Yes	Shares Reinvested (four decimal places)
86	100	15	Numeric	Yes	Share Balance After Distribution (four decimal places)
101	115	15	Numeric	Yes	Issued Shares (four decimal places)
116	130	15	Numeric	Yes	Distribution Amount (two decimal places)
131	139	9	Numeric	No	Sub-accounting Fee Amount (two decimal places)
140	148	9	Numeric	No	Other Fees Amount (two decimal places)
149	152	4	Numeric	No	NSCC Trust Company Number
153	156	4	Numeric	No	NSCC Third Party Administrator Number
157	160	4	Alphanumeric	No	Unused

**CGR/DVR/FTR—Distribution Activity
Detail Record 2 of 2**

Start	End	Length	Data/Type	Required	Description
1	3	3	Alphabetic	Yes	Record Type CGR=Capital Gain Activity Detail Record DVR=Dividend Activity Detail Record FTR=Foreign Tax Credit Activity Detail Record
4	6	3	Numeric	Yes	Sequence Number 002=Second detail record
7	9	3	Numeric	No	Foreign Tax Withholding Rate (three decimal places)
10	24	15	Numeric	No	Foreign Tax Withholding Amount (two decimal places)
25	39	15	Numeric	No	U.S. Withholding Amount (two decimal places)
40	48	9	Numeric	No	Cumulative Discount Number
49	49	1	Numeric	Yes	Dealer Control Level Code 0=Non-Networking broker account 1=Broker-controlled IRA margin account 2=Customer name brokerage account 3=Broker-controlled brokerage account 4=Fund-controlled brokerage account
50	58	9	Alphanumeric	Yes	Representative Number
59	88	30	Alphanumeric	Yes	Representative Name
89	97	9	Alphanumeric	No	External Fund ID
98	104	7	Numeric	Yes	Fund From/To
105	111	7	Numeric	No	Wire Transaction Group Number
112	112	1	Alphanumeric	No	Balance Indicator A=Add N=No change S=Subtract

**CGR/DVR/FTR—Distribution Activity
Detail Record 2 of 2**

Start	End	Length	Data/Type	Required	Description
113	115	3	Numeric	No	Transaction Code
116	118	3	Numerc	No	Transaction Code Suffix
119	144	26	Alphanumeric	No	Voluntary Trans. Description
145	151	7	Numeric	No	Trust/Custodian ID Number
152	158	7	Numeric	No	Third Party Administrator ID Number
159	160	2	Alphanumeric	No	Unused

Chapter 7:

Security File

Security File

The Security File is generated each time that a registration file (New Account Activity, Non-Financial Activity and/or Account Master Position) is produced for an account or sub-account. This file provides information on the securities held by the financial intermediaries' customers. The Security File eliminates the manual entry of the CUSIP, Ticker/Quotron Symbol and security information into the financial intermediary's portfolio management software. This file can also be created upon request and is based on information contained in the most recent Account Position File.

The Security File begins with a unique header record and ends with a standard Trailer record for auditing purposes. For more information, see [Chapter 2: Trailer Record](#).

Security File Header Record 1 of 1					
Start	End	Length	Data/Type	Required	Description
1	3	3	Alphanumeric	Yes	Record Type RHR=Request Header
4	6	3	Numeric	Yes	Sequence Number 001=First record of header
7	21	15	Alphanumeric	Yes	File Type (Description) 'SECURITY FILE'=Security File
22	29	8	Numeric	Yes	Super Sheet Date (CCYYMMDD)
30	37	8	Numeric	Yes	Processed Date (CCYYMMDD)
38	45	8	Numeric	Yes	Processed Time (HHMMSSDD)
46	53	8	Alphanumeric	Yes	Job Name
54	56	3	Numeric	Yes	File Format Code 924=Security File
57	63	7	Numeric	Yes	Request Number 0000001 – 9999999
64	64	1	Alphabetic	Yes	*
65	67	3	Alphabetic	Yes	System ID
68	69	2	Alphabetic	Yes	Management Code
70	70	1	Alphabetic	Yes	*
71	71	1	Alphanumeric	Yes	L=Limited Partnership R=Real Estate Investment Trust V=Variable Annuity
72	72	1	Alphanumeric	Yes	Life Date Type A=Whole B=Term C=Universal D=Variable E=Variable Universal Life (VUL)
73	160	88	Alphanumeric	Yes	Unused

All files are preceded by a header record and conclude with a trailer record for audit purposes.

Security File Detail Record 1 of 1					
Start	End	Length	Data/Type	Required	Description
1	3	3	Alphanumeric	Yes	Record Type SFR=Security File Refresher
4	6	3	Numeric	Yes	Sequence Number 001=First Detail Record
7	15	9	Alphanumeric	Yes	CUSIP Number
16	22	7	Alphanumeric	Yes	Fund Code Product Code for Variable Annuity and Life (right-justified, may contain alpha characters)
23	62	40	Alphanumeric	Yes	Fund Name
63	100	38	Alphanumeric	Yes	Product Name (Variable Annuity and Life only)
101	108	8	Alphanumeric	Yes	Market (Quotron/Ticker) Symbol
109	110	2	Alphanumeric	Yes	Major Security Type LP=Limited Partnership MF=Mutual Funds RT=REIT VA=Variable Annuity VL=Variable Universal Life Ins.
111	160	50	Alphanumeric	Yes	Unused

Security File					
Trailer Record 1 of 1					
Start	End	Length	Data/Type	Required	Description
1	3	3	Alphanumeric	Yes	Record Type RTR=Request Trailer
4	6	3	Numeric	Yes	Sequence Number 001=First Trailer Record
7	21	15	Alphanumeric	Yes	File Type 'SECURITY FILE'=Security File
22	30	9	Numeric	Yes	Trailer Record Count (includes header, detail, and trailer)
31	160	130	Alphanumeric	Yes	Unused

Chapter 8:

Fund Price

Fund Price File

The Fund Price file indicates the Net Asset Value (NAV) and Offering Price as reported by the fund or the Unit Value as reported by the variable annuity company. Transmissions of the Price File may not be available for all data providers.

The Fund Price file contains all possible products offered by that data provider, and is sent daily.

FPR—Fund Price					
Header Record 1 of 1 (For Price File Only)					
Start	End	Length	Data/Type	Required	Description
1	3	3	Alphanumeric	Yes	Record Type RHR=Fund Price Refresher File
4	6	3	Numeric	Yes	Sequence Number 001=First detail record
7	21	15	Alphanumeric	Yes	File Type (Description) 'PRICE REFRESHER'
22	29	8	Alphanumeric	Yes	Super Sheet Data (CCYYMMDD)
30	37	8	Alphanumeric	Yes	Processed Date (CCYYMMDD)
38	38	1	Alphanumeric	Yes	*
39	41	3	Numeric	Yes	System ID
42	43	2	Alphanumeric	Yes	Management Code
44	44	1	Alphanumeric	Yes	*
45	45	1	Alphanumeric	No	Mutual Fund – Unused
				No	REIT/LP – populated by DST L=Limited Partnership R=Real Estate Investment Trust
				Yes	Variable Annuity – populated by DST V=Variable Annuity
				No	Variable Universal Life – Unused
46	46	1	Alphanumeric	Yes	Mutual Fund – Unused REIT/LP – Unused Variable Annuity – Unused Variable Universal Life – Variable Universal Life Indicator E=Variable Universal Life
47	160	114	Alphanumeric	No	Unused

**FPR—Fund Price
Detail Record 1 of 1**

Start	End	Length	Data/Type	Required	Description
1	3	3	Alphanumeric	Yes	Record Type FPR=Fund Price Refresher File
4	6	3	Numeric	Yes	Sequence Number 001=First detail record
7	15	9	Alphanumeric	Yes	CUSIP Number
16	22	7	Alphanumeric	Yes	Mutual Fund – Fund Code REIT/LP – Fund Code Variable Annuity – Product Code Variable Universal Life – Product Code
23	30	8	Numeric	Yes	Price Date (CCYYMMDD) The Price Date must be equal to the super sheet date in the Fund Price Header record.
31	39	9	Numeric	Yes	Mutual Fund – Net Asset Value (NAV) per share (four decimal places) REIT/LP – Net Asset Value (NAV) per share (four decimal places) Variable Annuity – Unit Price (six decimal places) If the unit value is greater than 999999999, this field contains asterisks and the unit value is contained in positions 98-112. Variable Universal Life – Unit Price (six decimal places) If the unit value is greater than 999999999, this field contains asterisks and the unit value is contained in positions 98-112.

FPR—Fund Price Detail Record 1 of 1					
Start	End	Length	Data/Type	Required	Description
40	48	9	Numeric	Yes	Mutual Fund – Public Offering Price (four decimal places) REIT/LP – Public Offering Price (four decimal places) Variable Annuity – Public Offering Price (six decimal places) Variable Universal Life – Public Offering Price (six decimal places)
49	59	11	Numeric	No	Mutual Fund – Daily Dividend Rate REIT/LP – Daily Dividend Rate Variable Annuity – Unused Variable Universal Life – Unused
60	97	38	Alphanumeric	No	Fund Name
98	112	15	Numeric	No	Mutual Fund – Unused REIT/LP – Unused Variable Annuity – Extended Unit Value field If positions 31-39 contain asterisks, this field represents the sub-account unit value (six decimal places) Variable Universal Life – Extended Unit Value field If positions 31-39 contain asterisks, this field represents the sub-account unit value (six decimal places)
113	126	14	Alphanumeric	No	Unused
127	130	4	Alphanumeric	Yes	Share Class
131	160	30	Alphanumeric	No	Unused

Appendix A:

FAN Mail HTTPS File Delivery

FAN Mail® enables you to retrieve your files from the DST FAN Mail Web site at www.dstfanmail.com. The process is quick and easy to use. Only four pages are used for the entire process.

For information on the...	See...
Sign In Page	page 81
My Directory Page	page 83
My File History Page	page 86
File Status Message Board	page 90

Logging into FAN Mail



Note: If you do not have an ID and password to access the FAN Mail Web site, click **Enroll in FAN Mail** to start the enrollment process.



To log on to the FAN Mail Web site

1. Type www.dstfanmail in the address pane of your web browser.
2. On the FAN Mail Sign In page ([Figure A-1](#)), enter your user ID in the **FAN Mail ID** box, enter your password in the **Password** box, and then click **Go!**
3. One of the following occurs:
 - If you entered a valid ID and password, the FAN Mail My Directory page ([Figure A-2](#)) appears.
 - If you entered an incorrect or invalid ID or password, you will see the error message - The ID or Password you entered was not correct. Please re-enter your FAN Mail ID and Password. **Repeat step 2** to access the FAN Mail Web site.

Sign In Page

The Sign In page enables you to access your FAN Mail files. You must log in using the **Existing User Sign In** section of this page. For more information on accessing FAN Mail, see [Logging into FAN Mail](#) on page 81.

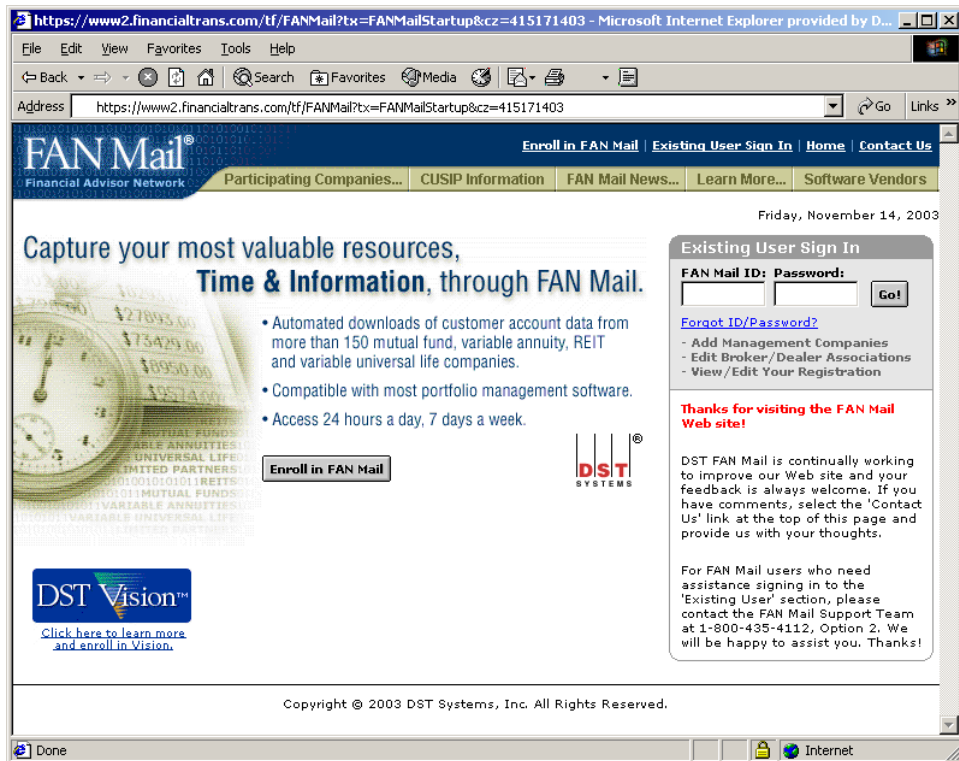


Figure A-1. FAN Mail Sign In page

Field Descriptions

FAN Mail ID Your FAN Mail User ID.

Password Your FAN Mail password.

Buttons

Go! Opens the FAN Mail My Directory page.

Enroll in FAN Mail Enables you to enroll in FAN Mail and obtain a user ID and password.

My Directory Page

The My Directory page enables you to download or remove files from your FAN Mail HTTPS directory.

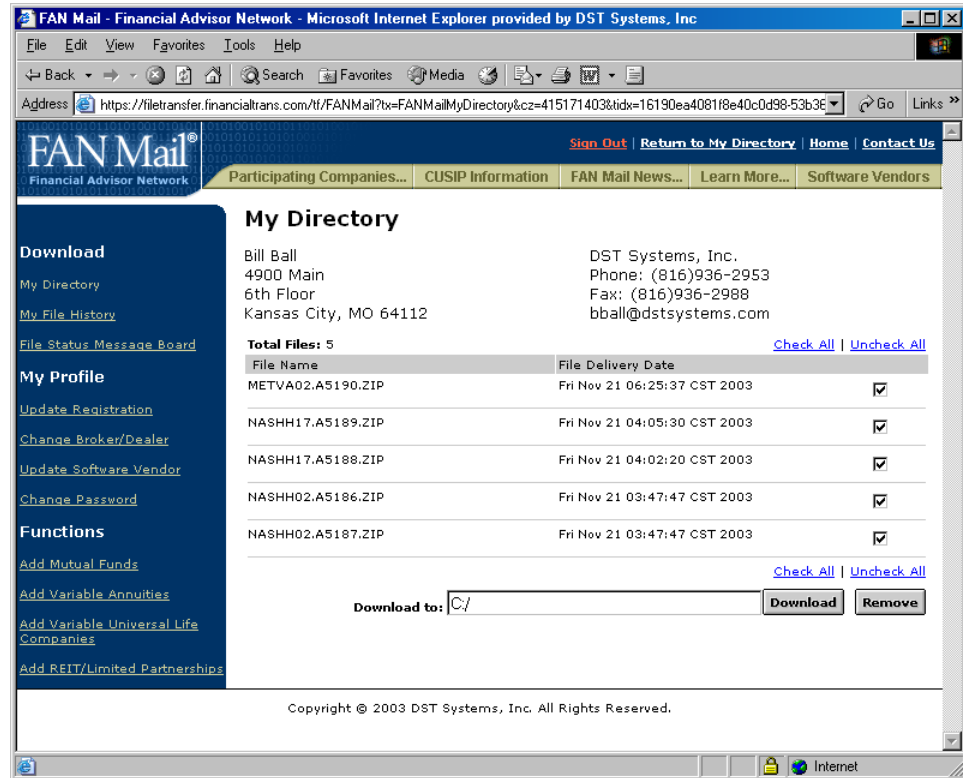


Figure A-2. FAN Mail My Directory page

Left-Pane Navigation Overview

Download

The Download section of the left navigation pane enables you to directly access any of the following pages:

My Directory This link is inactive when viewing the My Directory page.

My File History This link takes you to the My File History page. For more information, see [My File History Page](#) on page 86.

File Status Message Board This link takes you to the File Status Message Board page. For more information on this page, see [File Status Message Board](#) on page 90.

My Profile

The My Profile section of the left navigation pane enables you to update the following items:

Update Registration Link that enables you to update your profile information.

Change Broker/Dealer Link that enables you to change your broker/dealer information.

Update Software Vendor Link that enables you to update your software vendor information.

Change Password Link that enables you to change your password.

Functions

The Functions section of the left navigation pane enables you to update the following items:

Add Mutual Funds Link that enables you to add mutual funds to your existing profile.

Add Variable Annuities Link that enables you to add variable annuities to your existing profile.

Add Variable Universal Life Link that enables you to add variable universal life companies to your existing profile.

Add REIT/Limited Partnership Link that enables you to add real estate investment trusts (REIT) or limited partnerships (LP) to your existing profile.

My Directory—Field and Button Descriptions

FAN Mail Profile

The FAN Mail profile section at the top of the page displays your profile. Profile information includes the following:

- Name
- Address
- Company name
- Phone number
- Fax number
- E-mail address

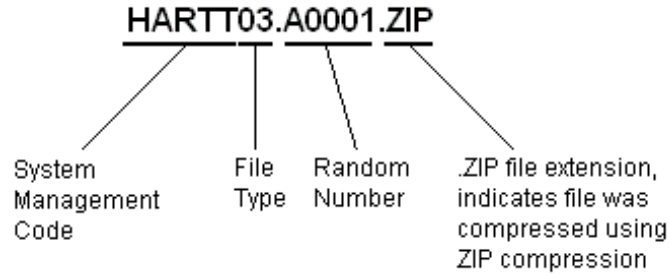
File List

Total Files Number of files available for retrieval.

Check All Click to select all available files.

Uncheck All Click to deselect all available files.

File Name The name of the file. All FAN Mail generated files use the following naming convention.



The following table lists the possible file types.

File Type	Description
01	Distribution File
02	Direct Financial Activity File
03	Account Position File
07	Non-financial Activity File
08	New Account Activity File
17	Price Refresher File

File Delivery Date Date the file was placed on the HTTPS directory.

File Activity Indicator A check box to the right of the file name and date. A checkmark in the box indicates the file will be:

- downloaded when you click **Download**.
- deleted when you click **Remove**.

Download To Type the drive and folder to which the indicated files are to be downloaded to. For example, C:\FANMail\downloads.

Download button Click to download selected files.

Remove button Click to delete selected files.

My File History Page

The My File History page enables you to restore or resend FAN Mail files from the last 45 days.

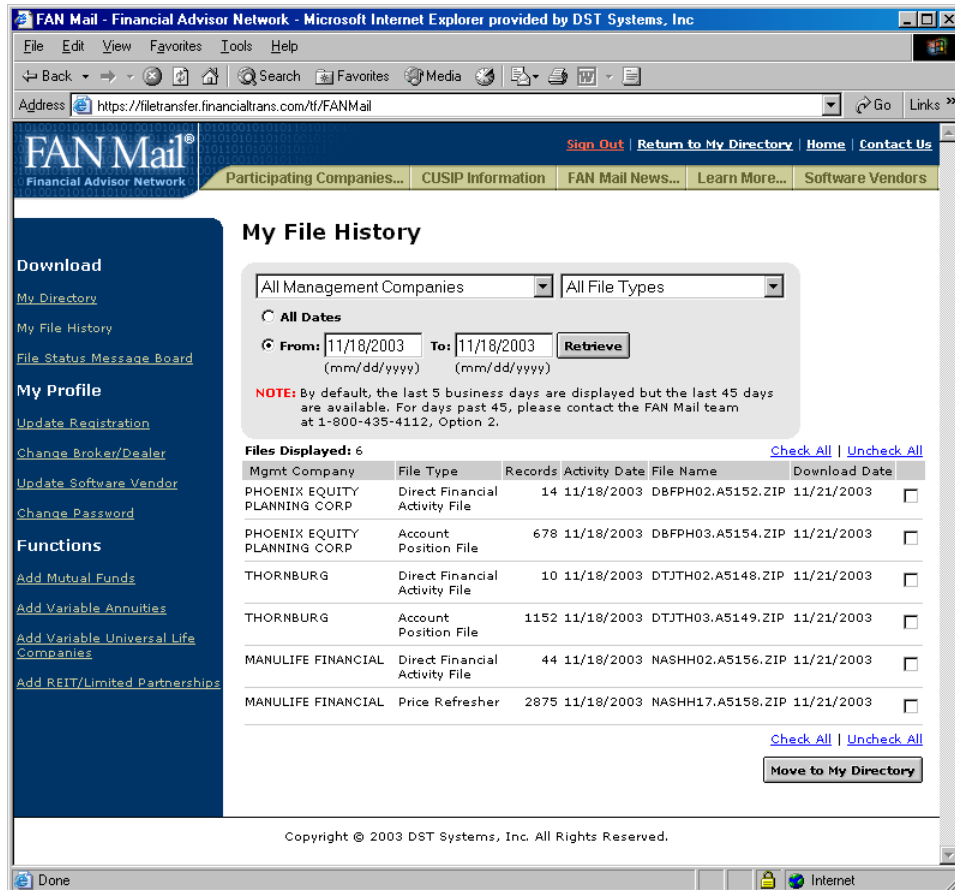


Figure A-3. FAN Mail My File History page

Left-Pane Navigation Overview

Download

The Download section of the left navigation pane enables you to directly access any of the following pages:

My Directory This link takes you to the My Directory page. For more information, see [My Directory Page](#) on page [83](#).

My File History This link is inactive when viewing the My File History page.

File Status Message Board This link takes you to the File Status Message Board page. For more information on this page, see [File Status Message Board](#) on page [90](#).

My Profile

The My Profile section of the left navigation pane enables you to update the following items:

Update Registration Link that enables you to update your profile information.

Change Broker/Dealer Link that enables you to change your broker/dealer information.

Update Software Vendor Link that enables you to update your software vendor information.

Change Password Link that enables you to change your password.

Functions

The Functions section of the left navigation pane enables you to update the following items:

Add Mutual Funds Link that enables you to add mutual funds to your existing profile.

Add Variable Annuities Link that enables you to add variable annuities to your existing profile.

Add Variable Universal Life Link that enables you to add variable universal life companies to your existing profile.

Add REIT/Limited Partnership Link that enables you to add real estate investment trusts (REIT) or limited partnerships (LP) to your existing profile.

My File History—Field and Button Descriptions

My File History Filter Selection

The shaded area of this page enables you to filter which files appear in your file history listing.

Management Company Filter Click the arrow in this box to select which management companies' files you want to view. You can select individual management companies or view all companies by selecting **All Management Companies**.



You can select multiple management companies by pressing **CTRL** while clicking the management companies you want to view.

File Type Filter Click the arrow in this box to select which file types you want to view. You can select individual file types or view all files by selecting **All File Types**. You can select any of the following options:

- **All Files Types**
- **Distribution File**
- **Direct Financial Activity File**
- **Account Position File**
- **Non Financial Activity File**
- **New Account Activity File**
- **Price Refresher**



You can select file types by pressing **CTRL** while clicking the file types you want to view.

All Dates Select this option if you to view all files from the last 45 days.



Note: You cannot use the **From:** and **To:** date range fields if you have selected the **All Dates** option.

From Select this option if you want to view files from a specific date range. Enter the start date of the range in this field.



Note: You cannot use the **All Dates** option if you have selected the **From:** and **To:** option.

To Enter the end date of the date range in this field.

Retrieve Click this button to view the results of the search query you specified.

File List

Check All Click to select all available files.

Uncheck All Click to deselect all available files.

Files Displayed The number of files that matched your specified search criteria.

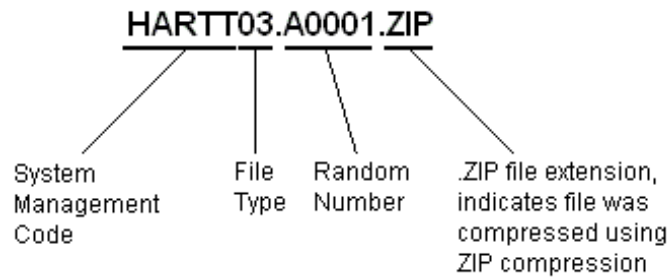
Mgmt Company Name of the management company sending the data.

File Type Description of data within the file.

Records Number of lines on the file.

Date The supersheet date of the file.

File Name The original name of the file. All FAN Mail generated files use the following naming convention.



Download Date The date the file was originally downloaded.

File Activity Indicator A check box to the right of the file name and date. A checkmark in the box indicates the file will be moved to the My Directory page. This enables you to download the file again.

Move to My Directory button Click this button to move the selected files to the My Directory page.

File Status Message Board

The File Status Message Board page provides you with updates on any file delays or data issues. The FAN Mail Administrative group uses this page to communicate with end users.

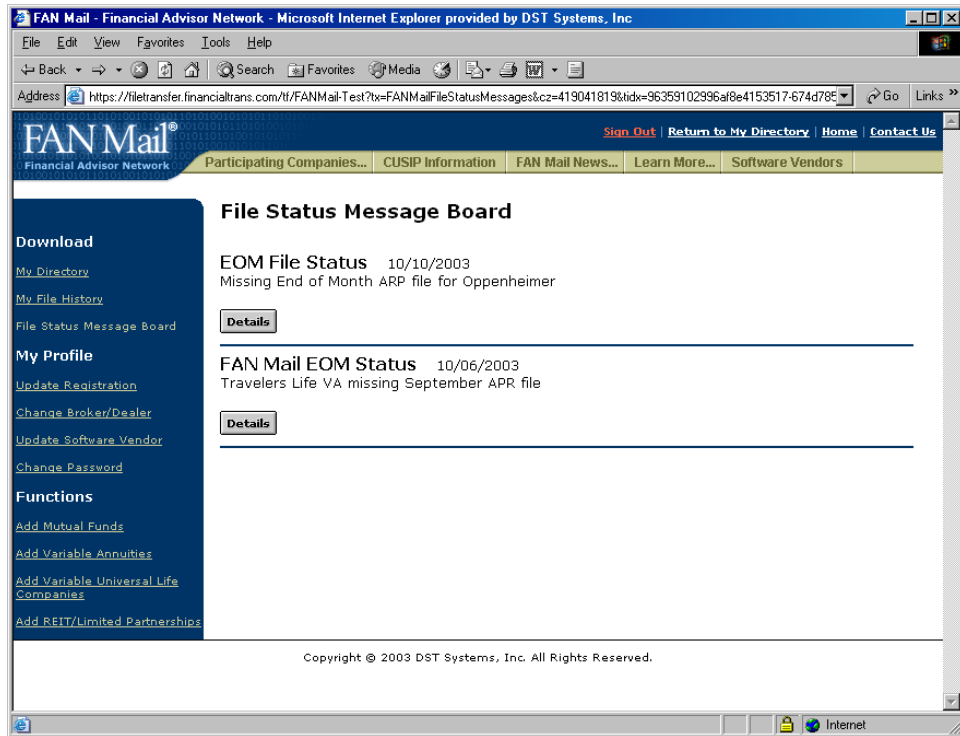


Figure A-4. FAN Mail File Status Message Board page

Left-Pane Navigation Overview

Download

The Download section of the left navigation pane enables you to directly access any of the following pages:

My Directory This link takes you to the My Directory page. For more information, see [My Directory Page](#) on page [83](#).

My File History This link takes you to the My File History page. For more information, see [My File History Page](#) on page [86](#).

File Status Message Board This link is inactive when viewing the File Status Message Board page.

My Profile

The My Profile section of the left navigation pane enables you to update the following items:

Update Registration Link that enables you to update your profile information.

Change Broker/Dealer Link that enables you to change your broker/dealer information.

Update Software Vendor Link that enables you to update your software vendor information.

Change Password Link that enables you to change your password.

Functions

The Functions section of the left navigation pane enables you to update the following items:

Add Mutual Funds Link that enables you to add mutual funds to your existing profile.

Add Variable Annuities Link that enables you to add variable annuities to your existing profile.

Add Variable Universal Life Link that enables you to add variable universal life companies to your existing profile.

Add REIT/Limited Partnership Link that enables you to add real estate investment trusts (REIT) or limited partnerships (LP) to your existing profile.

File Status Message Board—Field and Button Descriptions

Message Title A short descriptive title of the message/

Message Abstract A short excerpt from the message. You can read these to get a general idea of what the message is about.

Details button Click to view the full message.



Note: You will see the message “There are no records in the file” when there are no active messages.

Appendix B:

DSTHTTPDL Download Manager

DSTHTTPDL is an ActiveX control that provides programmatic file download abilities from an EComm Core web application. It is scriptable so that JavaScript within an HTML page can be used to tell it which files to download. The Download Manager can also be used from within a C++, Visual Basic, or Visual FoxPro application. The control has no graphical user interface; the host program, script or web page is responsible for that.

There are two modes of operation:

- Asynchronous mode (default)
- Synchronous mode

During asynchronous operations the file downloads are performed on a worker thread; events are fired for error notification, status updates and download completion; and the download may be canceled by calling the **Cancel()** or **Terminate()** methods. A failed download for a single file does not cause the entire download to stop.

During synchronous operations the file downloads are performed on the same thread in which the **DownloadFiles()** method was called; no events are fired; and causes for errors are retrieved through the **GetLastErrorCode()** and **GetLastErrorMessage()** methods. A single error stops the entire download process. Synchronous mode is recommended for environments where it is difficult to receive or wait for events from the control.

Requirements

For hosting in a HTML page, this control requires Microsoft® Internet Explorer version 6.0 or later.

ActiveX Download Manager

The DST HTTP Download Manager is a signed ActiveX control provided by FAN Mail that can be used by several programming languages. This control has been tested with:

- Visual FoxPro 6.0 (VFP6)
- Visual Basic 6.0 (VB6)
- JavaScript
- C++
- .NET languages such as C#

The following table documents the values required to use the Download Manager ActiveX control in both the test and production environments. For more information on a specific property, see [Properties](#) on page [96](#).

Property	Test Environment	Production Environment
User ID	Assigned FAN Mail ID	Assigned FAN Mail ID
Password	FAN Mail password	FAN Mail password
Host	filetransfer.financialtrans.com	filetransfer.financialtrans.com
Target	/tf/FANMail-test	/tf/FANMail
Client	419041819	415171403
UseHTTPS	True	True
UseProxy	True (if using a proxy) False (if not using a proxy)	True (if using a proxy) False (if not using a proxy)

Identification

File Name

DSTHTTPDL.DLL

Program ID

DSTHTTPDL.DownloadManager

CLSID

2DEA82A9-7FEF-4F68-8091-B800ECF54C9F

Property/Method/Event List

Properties

- UserID
- Password
- Session
- Host
- Target
- Client
- LocalDirectory
- UseHTTPS
- UseProxy
- Asynchronous

Methods

- GetFileListAsXML
- DownloadFiles
- DeleteSingleFile
- CancelRequest
- Terminate
- GetLastErrorCode
- GetLastErrorMessage

Events

- DownloadError
- DownloadComplete
- DownloadProgress

Properties

UserID

Description The user ID used for HTTP authentication.

Password

Description The password used for HTTP authentication.

Remarks This is a set-only property.

Session

Description An EComm session ID.

Remarks Used to identify the current EComm session.



Note: The **Session** property is mutually exclusive of the **UserID** and **Password** pair of properties. If the control already has a **Session**, it is cleared if either the **UserID** or **Password** property is set. If the control already has a **UserID** and/or **Password**, they are both cleared when the **Session** property is set.

If the **UserID** and **Password** properties are initially set, they are cleared after the server validates the pair and returns a valid EComm session ID.

If an EComm session times out, then the **Session** property is cleared and the host application is then required to either re-populate the **UserID** and **Password** properties [after prompting the user]; or to re-populate the **Session** property with a new and valid Session ID.

Host

Description The base URL of the web server.

Example www.dstsystems.com

Target

Description The target application/page on the web server.

Example /tf/FileRetr

Remarks A URL such as www.dstsystems.com/tf/FileRketr has two parts, the host and the target. The host is the base URL and the target identifies the application or page the server is supposed to access.

Client

Description The Ecomm client.

Remarks The 'cz' value in an Ecomm URL.

LocalDirectory

Description The directory on the local workstation where the downloaded files are to be stored.

UseHTTPS

Description A flag indicating whether to use SSL through an HTTPS request.

Remarks The default value is **true**. If the value is **false** use a normal HTTP request.

UseProxy

Description A flag indicating whether to use a proxy server.

Remarks The default value is **true**. The proxy identified for Microsoft Internet Explorer is the proxy that is used.

Asynchronous

Description Indicates whether the file downloads are performed asynchronously.

Remarks The default value is **true**. In asynchronous mode the **DownloadFiles()** method spins off a worker thread to download the files and return immediately. In synchronous mode, the **DownloadFiles()** method does not return until the download is complete or there is an error.

Note: Set this property to **false** to operate in synchronous mode.



Methods

GetFileListAsXML

Description Returns the list of files available to be downloaded.

Parameters None.

Return A string containing the list of files as an XML document.

Example Here is an example return from the method:

```
<FileList>
  <File name="file001.zip" short-name="file001.zip"/>
  <File name="file002.zip" short-name="file002.zip"/>
</FileList>
```

Remarks When this method is called, the control sends an HTTP/HTTPS request to the server for the file list. This list must be a valid XML document use the following tags:

```
<?xml version="1.0" encoding="UTF-8" ?>
<FileRetriever>
  <FileList>
    <File name=" file001.zip " />
    <File name=" file002.zip " />
  </FileList>
</FileRetriever>
```

DownloadFiles

Description Downloads the list of files.

Parameters A string containing the list of files as XML or a semicolon delimited list.

Example

```
<FileList><File name="file001.zip"/></FileList>
or
file001.zip;file002.zip;
```

Return True if successfully started (async) / true if all files were downloaded without error (sync).

Remarks Asynchronous mode—The method returns immediately and the files are downloaded one at a time on a worker thread. Events are fired after each file is downloaded, after the download is complete, and if any errors are encountered.

Synchronous mode—This method does not return until all the files have downloaded successfully or there is an error. If there is an error, a value of *false* is returned. No events are fired in synchronous mode. A call to **GetLastErrorCode()** and/or **GetLastErrorMessage()** provides the reason for a failure.

DeleteSingleFile

Description Sends a request to the server to delete a file.

Parameters A string containing the file to delete.

Return True if the file was deleted from the server.

Remarks This method is used to a file from the server.

CancelRequest

Description Cancels the download (asynchronous mode only).

Parameters None.

Return None.

Remarks The method should be called in response to a user request to cancel the download. A **DownloadError** event is triggered with the message Download Request Canceled with code 605 as a result.

Terminate

Description Cancels the download and suppresses all events. (asynchronous mode only)

Parameters None.

Return None.

Remarks This method should be called when an HTML page is unloaded or the hosting application is closing. All events are suppressed.

GetLastErrorCode

Description Returns the code for the last error encountered. Used primarily for synchronous processing.

Parameters None.

Return An error code.

Remarks This method is provided to determine the cause of an error when a failure (*false*) is returned from a method call while the control is in the synchronous mode.

GetLastErrorMessage

Description Returns the text for the last error encountered. Used primarily for synchronous processing.

Parameters None.

Return An error code.

Remarks This method is provided to determine the cause of an error when a failure (*false*) is returned from a method call while the control is in the synchronous mode.

Events (Asynchronous Mode Only)

DownloadError

Description This event is fired when an error is encountered or the **CancelRequest** method is called.

Parameters String—An error message, Long—An error code.

Remarks Any code between 100 and 599 are HTTP response codes. The following codes are internal and have the following definition:

Code	Definition
601	Missing property
602	Open connection failure
603	File open failure
604	MSXML failure
605	Download canceled
607	Empty Download List

DownloadComplete

Description This event is fired after the download is complete.

Parameters None.

DownloadProgress

Description This event is fired after each file has downloaded.

Example HTML

```

<html>
<head>
  <title>Test Page for DSTHTTPDL</title>
</head>

<script language="javascript">

function GeFileList()
{
  HTTPDL_result.value = "";
  HTTPDL.Host      = "filetransfer.financialtrans.com";
  HTTPDL.UseProxy = false;
  HTTPDL.LocalDirectory = "c:\temp";
  HTTPDL.UseHttps = true;

  <!-- Note: Test System Information -->
  HTTPDL.Target    = "/tf/FANMail-Test";
  HTTPDL.Client    = "419041819";

  <!-- Note: For testing UserID and Password will be supplied by DST -
->
  HTTPDL.UserID = UserID.value;
  HTTPDL.Password = Password.value;

  var list = HTTPDL.GetFileListAsXML();
  var dlist = "No file list returned";

  var xmlDoc = MSXML3;
  xmlDoc.async = false;
  xmlDoc.preserveWhiteSpace = true;
  xmlDoc.loadXML(list);

  var docelement = xmlDoc.documentElement;

  if ( docelement.hasChildNodes() )
  {
    dlist = "<form name=\"Selection\">";

    var nodeList = docelement.childNodes;
    var node = nodeList.nextSibling();

    while ( node != null )
    {
      var file = node.getAttribute("name");
      var display = node.getAttribute("short-name");

      dlist += "<input type=\"checkbox\" name=\"sfile\" value=\"\"";
    }
  }
}

```

```
        dlist += file;
        dlist += "\">&nbsp;";
        dlist += display;
        dlist += "<br>";

        node = nodeList.nextNode();
    }

    dlist += "<br>";
    dlist += "<input type=\"button\" value=\"Download Files\"
onclick=\"Download()\">";
    dlist += "&nbsp;<input type=\"button\" value=\"Cancel\"
onclick=\"CancelDownload()\">";
    dlist += "<br>";
    dlist += "</form>";
}

FileList.innerHTML = dlist;
}

function Download()
{
    HTTPDL.LocalDirectory = DestDir.value;

    var selection = document.forms[0].sfile;
    var flist = "";

    for ( index=0; index<selection.length; ++index)
    {
        if ( selection[index].checked )
        {
            flist += selection[index].value;
            flist += ";";
        }
    }

    PostResult( "Begin Download" );
    HTTPDL.DownloadFiles( flist );
}

function CancelDownload()
{
    HTTPDL.CancelRequest();
}

function TerminateDownload()
{
    HTTPDL.Terminate();
}
```



```
<td>
  <textarea name="HTTPDL_result" rows=10 cols=50
wrap=soft></textarea>
</td>
</tr>
<tr>
  <td style="padding-top:20px;vertical-align:top">
    <p>Destination Directory (local):
    <input type="text" id="DestDir" size=30></p>
  </td>
</tr>
<tr>
  </td>
  <td style="padding-left:20px;padding-top:20px;">
    <div id="FileList">
    </div>
  </td>
</tr>
</table>

</body>
</html>
```


Appendix C:

Miscellaneous Information

Death Benefit Information

Code	Description
01	Level benefit equal to the face amount.
02	Benefit equals the sum of the face amount and the account value.
03	Benefit equals the sum of the face amount and the total premiums paid to date on the policy minus the total of any withdrawals made from the policy.
04	Benefit equals an amount that varies by policy year according to a table of benefit values stored on the policy master record at issue.

Policy Status Information

Code	Description
01	Policy issued but initial premium not paid
02	Policy issued and premium paid
03	Policy currently on waiver (disability)
04	Policy paid up; no premium notices mailed
05	Policy terminated
06	Policy is pending a re-issue
07	Death claim pending
08	Grace Period
09	Lapsing Policy Over Loaned
10	Terminated Death
11	Terminated Lapsed
12	Not Taken
13	1035 Redeem

Social Codes

Social codes can vary by management company. A list of commonly accepted social codes are detailed on the following pages, however, please note that this list may not be all-inclusive.

General Social Codes

Code	Description
005	Individual – Man, Sole Proprietorship owned by a man
009	Brokerage – House Accounts
010	Individual – Woman, Sole Proprietorship owned by a woman
015	Joint Tenants, Tenants in Common, Tenants by Entirety, Community Property
020	Custodian – Uniform Gift to Minors Act
021	Custodian Other – Guardian, Committee Conservator
030	Estates – Executors, Administrators
040	Corporate Accounts – Incorporated, Company, Association, Foundation
041	Partnership
042	Nominee – Committee to Elect
043	Financial Organizations – Bank and Trust Companies
044	Insurance Companies
045	Other Financial Organizations – Savings and Loan, Credit Union
046	Hospitals, Medical Institutions, Rest Homes, Nursing Homes
047	Funeral Homes, Cemeteries
048	Unions
050	Pension Plans
051	Thrift Plans (Salary Savings)
052	Retirement Plans – Unclassified
053	Miscellaneous Self-Directed IRA
054	Broker Self-Directed IRA
060	Charitable and Welfare Organizations, Foundations
061	Churches and Religious Institutions

Code	Description
062	Colleges and Universities
063	Clubs and Fraternal Organizations
064	Investment Clubs
065	Townships, Cities, and Counties
066	School Districts
067	529 Plan – Scholarship Provider
070	Trusts – Individual and Corporate Trusts Under Agreement or Will
071	Trusts – Charitable Annuity Trusts
072	Trusts – Charitable Unit Trusts
073	Trusts – Revisionary Trusts
074	Private Annuity
075	Installment Sales
076	Deferred Compensation Plans
077	Payroll Deduction Plans
080	Foreign Banks or Brokers
090	Networked Accounts
091	Corporate Officers
092	Corporate Directors
093	Corporate Employees – Net Asset Value (NAV)
094	Group Account (Spec Div. Reporting)
096	Low Load Account
101	Keogh Master
102	Keogh Employee (Employer Contribution) – Participant
103	Keogh Voluntary Contribution
104	Keogh Master – Custodian
105	Keogh Employer – Custodian
106	Keogh Voluntary – Custodian
201	Profit Sharing – Master

Code	Description
202	Profit Sharing – Employee
203	Profit Sharing – Voluntary Contributions
701	IRA – Individually Established
702	IRA – Employer Established (Simplified Employee Pension Plan)
703	IRA – Rollover from Non-Qualified Plan
704	IRA – Spousal Accounts
711	IRA – Individually Established Split Funded
712	IRA – Employer Established Split Funded
713	IRA – Rollover Split Funded
714	IRA – Trade Union Split Funded
755	529 Plan – Individual Owner
757	529 Plan – Non-Profit Educational Organization
767	529 Plan – Scholarship
771	403B – Individually Established
772	403B – Group
773	Salary Reduction Contribution
791	Roth IRA
792	Roth IRA converted from a Regular IRA
793	Educational IRA
856	529 Plan – Corporation
858	529 Plan – UGMA/UTMA
861	529 Plan – Trust
900	Special Account – Master Account
901	Special Account – Model Account
902	Special Account – Employer Contribution
903	Special Account – Voluntary Contribution
911	Special Account – Keogh Master
912	Special Account – Keogh Employer

Code	Description
913	Special Account – Keogh Voluntary (Employee)
964	IRA – Rollover Account from Another IRA
967	IRA – Rollover Account from Non-Qualifying Plan Split Funds
968	IRA – Rollover form Another IRA – Split Funds
985	401(K) Employer Contribution
986	401(K) Employee Contribution
987	401(K) Rollover
996	401(K) Voluntary Deferred Compensation
997	401(K) Employer Deferred Compensation

Record Codes

Code	Description
002	Reinvest from Another Fund
005	Order Purchase
006	Order Redemption
007	Order Purchase Cancel
008	Order Redemption Cancel
009	Redemption Fee
010	Dividend Fee
023	Share Class Exchange Purchase
024	Share Class Exchange Redemption
025	Share Class Exchange Purchase Cancel
026	Share Class Exchange Redemption Cancel
030	Loan Repayment
031	Loan Interest Payment
032	Loan Repayment Cancel
033	Loan Interest Payment Cancel
040	Fund Merger Exchange In

Code	Description
041	Fund Merger Exchange Out
042	Fund Merger Exchange In Cancel
043	Fund Merger Exchange Out Cancel
048	TPA Purchase Cancel
049	TPA Purchase
050	Exchange Purchase
051	Exchange Redemption
052	Transfer Purchase
053	Transfer Redemption
054	Systematic Withdrawal Plan (SWP) Transaction
055	Pre-Authorized Checking (PAC) Transaction
056	Reinvest to Another Fund
057	Direct Purchase
058	Direct Redemption
059	Purchase Cancel
060	Redemption Cancel
061	Exchange Purchase Cancel
062	Exchange Redemption Cancel
063	Exchange Fee
064	Dividend Increase to Shares
065	Dividend Decrease to Shares
066	Dividend Increase to Dollars
067	Dividend Decrease to Dollars
068	Capital Gain Increase to Shares
069	Capital Gain Decrease to Shares
070	Capital Gain Increase to Dollars
071	Capital Gain Decrease to Dollars
072	Short-Term Increase to Shares

Code	Description
073	Short-Term Decrease to Shares
074	Short-Term Increase to Dollars
075	Short-Term Decrease to Dollars
076	Increase Dividend Withholding Dollars
077	Decrease Dividend Withholding Dollars
078	Increase Capital Gain Withholding Dollars
079	Decrease Capital Gain Withholding Dollars
080	Increase Short-Term Withholding Dollars
081	Decrease Short-Term Withholding Dollars
082	Increase Redemption Withholding Dollars
083	Decrease Redemption Withholding Dollars
084	Increase Foreign Tax (FTX) Adjustment Purchase of Shares
085	Decrease Foreign Tax (FTX) Adjustment Dollars
086	Increase Foreign Tax (FTX) Adjustment Dollars
087	Fiduciary Withholding Decrease Shares
088	Fiduciary Withholding Decrease Dollars
089	Fiduciary Withholding Increase Shares
090	Fiduciary Withholding Increase Dollars
091	Redemption Withholding Shares
092	Increase Capital Gain Withholding Shares
093	Increase Short-Term Withholding Shares
094	Increase Redemption Withholding Shares
095	Increase Dividend Withholding Shares
096	Fee Adjustment Dollars
097	Foreign Tax (FTX) Adjustment Decrease to Shares
098	No Effect to Share Balance
557	Loan Payment
558	Redeem for Loan

Code	Description
559	Loan Payment Cancellation
560	Redeem for Loan Cancellation
561	Cost of Insurance
562	Cancel Cost of Insurance
563	Premium Payment
564	Premium Payment Cancellation
565	1035 Exchange Purchase
566	1035 Exchange Purchase Cancellation
567	1035 Exchange Redemption
568	1035 Exchange Redemption Cancellation
569	Partial Withdrawal
570	Partial Withdrawal Cancellation
571	Interest Charge
572	Cancel Interest Charge
573	Interest Credit
574	Cancel Interest Credit
575	Surrender
576	Cancel of Surrender
577	Surrender Charge
578	Cancel of Surrender Charge
579	Not taken out
580	Cancel of Not taken out
581	Lapse Redemption
582	Cancel of Lapse Redemption
583	Grace Period Redemption
584	Cancel of Grace Period Redemption
585	Redemption Withholding
586	Cancel Redemption Withholding

Code	Description
998	Credit Incentive Cancel
999	Credit Incentive

Appendix D:

Revision Listing

Documentation Update Table

The following table lists the date of the *most recent* updates for each chapter or appendix.

Chapter/Appendix	Revision Date	Enhancement/Reason for Revision
Introduction	02/19/2004	Removed outdated information.
	04/23/2004	Minor corrections.
Chapter 1: Header Record	09/05/2003	Initial release
Chapter 2: Trailer Record	09/05/2003	Initial release
Chapter 3: Account Position	09/05/2003	Initial release
Chapter 4: Direct Financial Activity	09/05/2003	Initial release
Chapter 5: New Account Activity, Account Master Position, Non-Financial Activity	09/05/2003	Initial release
Chapter 6: Distribution Activity	09/05/2003	Initial release
Chapter 7: Security File	09/05/2003	Initial release
Chapter 8: Fund Price	04/23/2004	Added the Share Class field to the FPR—Fund Price Detail Record 1 of 1.
Appendix A: FAN Mail HTTPS File Delivery	12/15/2003	New section added to explain HTTPS file delivery
	02/19/2004	Fixed typographic error.
Appendix B: DSTHTTPDL Download Manager	12/15/2003	New section added to explain Download Manager protocols.
	02/19/2004	Added required values for test and production environments.
Appendix C: Miscellaneous Information	09/05/2003	Initial release
Appendix D: Revision Listing	04/19/2004	Updates to Introduction and Chapter 8.

Glossary

Account Number Code A code used to identify whether the Account Number field on the transaction represents the external account number or the fund account number.

Account Management Company Employee Code (Mutual Funds) A code used to indicate whether a person is an employee of the account management company.

Account Number A value assigned by individual product companies to customer investments. An Account Number becomes unique when combined with investment CUSIPs.

Account Price Scheduling Code (Mutual Funds) A code used to indicate whether the mutual fund receives reduced or regular pricing.

Account Type Code A code used to indicate whether an account is new or already exists.

Accrued Dividend Amount (Mutual Funds) Indicates the dollar amount of interest earned but not received in cash.

Alpha Code A code developed from the shareholder registration enabling the user to locate the account without the account number.

Anniversary Date Date from which anniversaries are measured.

As-Of Reason Code A code explaining the reason for processing a trade as an as-of trade.

Automated Clearing House (ACH) Account An account in which the shareholder elected to make fund purchases or redemption activity electronically from a pre-approved bank or financial institution.

Bank Account Number A number assigned to the specific owner's account with the bank.

Bank Card Issued A code used to determine whether a debit card was issued to the shareholder.

Bank MICR ID Magnetic Ink Character Recognition is the automation concept used by the banking industry to identify account numbers on the bottom of checks.

Batch Date The date that a group of transactions were entered into the mutual fund system.

Batch Number A number assigned to a set of similar transactions that a clerk enters into the system. This field is used primarily for research purposes only. This field can be used by the client to track a transaction through the system.

Benefit Option Structure of policy determining calculation of death benefit. See [Death Benefit Information](#) on page [105](#) for more information.

Blue Sky Exemption Flag A flag indicating whether a transaction is counted toward the maximum number of shares sold within a given state.

Capital Gains Distribution Options Indicates whether capital gains for a given customer are reinvested or paid in cash.

Cash Distribution A code indicating whether the distribution amount is received in cash. This code is used for reinvesting into another account.

Certificate Issuance Code A code indicating whether a certificate should be issued. A certificate is the document that indicates ownership in a corporation.

Check Number A unique identifier for a check related to a transaction.

Check Writing Account A code used to indicate if the shareholder was issued check writing drafts. Check writing is a shareholder privilege offered by some money market and fixed income funds that provides the shareholder with special checks that can be written against the mutual fund account.

Collateral Value The amount of the policy that is held to secure a loan.

Collected Balance Amount Indicates the dollar amount within an account that DST allows the shareholder to redeem, prior to a fund controlled waiting period.

Collected Shares (Mutual Funds) The total number of shares in an account available to the shareholder for redemptions, exchanges, or transfers.

Confirmation Date The date a transaction was processed into the system.

Contribution Year The year that a fiduciary transaction applies to.

Cumulative Discount Number A value used to associate or link together accounts for the purpose of securing reduced sales prices on purchases.

CUSIP Number An alphanumeric value used to identify the fund.

Dealer/Branch Number A value used to identify a dealer branch within a dealer.

Dealer Commission Amount The amount of money paid to a dealer and representative for their compensation for investments that they solicited.

Dealer Commission Code A code indicating whether the dealer received his commission. (N=Net or G=Gross).

Dealer Level Control Code A code used to indicate the type of account. Valid codes include:

- 0=Non-networked broker account; or Variable sub-account (for VAs and VULs)
- 1=Broker-controlled IRA/margin account
- 2=Customer name brokerage account
- 3=Broker-controlled brokerage account
- 4=Fund-controlled brokerage account
- 5=VA Fixed sub-account
- 6=VUL Fixed sub-account

Dealer Number A value used to identify a broker/dealer on the DST mutual fund system.

Discount Category The applicable pricing category within which a purchase transaction should be priced. Discount categories are based on the number of shares purchased and are established by the fund.

Distribution Amount The amount of dividends, capital gains, or foreign tax credit payments realized by the fund and passed along to the shareholders.

Distribution Code A code used to determine how a distribution is processed.

Distribution Payable Date The date on which a distribution is paid.

Distribution Record Date A value used to identify the type of information contained on the file record.

Distribution Reinvestment Date The date on which the net asset value (NAV) is used to determine the price per share at which distributions are reinvested.

Distribution Type A value indicating how the distribution is to be distributed.

Dividend Distribution Option Indicates whether dividends for a given customer are reinvested or paid in cash.

Dividend Mail Account A code indicating if the shareholder has elected to mail distribution checks to an address other than the address on record.

Escrow Shares Count Shares held in custody by DST pending successful completion of a Letter of Intent (LOI).

Established Date The date an account was opened.

Expedited Exchange Account Determines if the shareholder has the privilege to exchange funds using the telephone or telegraph.

Expedited Redemption Account A code used to determine if the shareholder has the privilege to redeem shares by telephone and have funds wire-transferred to a previously established bank.

Extended Unit Value This field is used if the value is greater than \$ 9,999.99

External Plan A unique identifier of a plan that does not use TA2000 as its recordkeeping system.

Fiduciary Account A code that indicates whether the shareholder is utilizing the fiduciary sub-accounting system.

File Format Code The three-position code found in the header record that identifies the numeric value assigned to the type of file.

File Type (Description) A field used in the Header and Trailer records that describes the type of records sent.

Foreign Tax Withholding Amount The non-resident alien (NRA) tax withheld for an account after it has been calculated using the Foreign Tax Rate.

Foreign Tax Withholding Rate The rate at which the non-resident alien (NRA) withholding tax is calculated for foreign shareholders.

Fractional Check (Mutual Funds) A code used to indicate whether a check should be issued for fractional shares.

Fractional Shares (Mutual Funds) Share amounts that are less than one full share.

Fund Code A numeric value used to identify the fund.

Fund Expense Allocation Code Indicates how the fund expenses are allocated. Fund expenses are not calculated at this time.

Fund Expense Amount The amount calculated for the fund expenses using the Fund Expense Rate. Fund expenses are not calculated at this time.

Fund Expense Rate The rate at which the fund expense is calculated. Fund expenses are not calculated at this time.

Fund Name A field that describes the name of the fund.

Fund Order Number A number used to identify a specific order on the DST Order Processing System.

Gross Shares The share figure associated with a shareholder's transaction.

Gross Transaction Amount The net dollar figure associated with a shareholder's transactions.

Guideline Annual Premium The maximum annual premium that may be paid while still qualifying as life insurance under the Federal Internal Revenue Code.

Guideline Single Premium The maximum single premium that may be paid while still qualifying as life insurance under the Federal Internal Revenue Code.

Interested Party Code A code used to indicate whether a shareholder is an interested party.

Interest Rate Indicates the rate of interest for a variable annuities' fixed sub-account.

Issued Date The date in which the policy / contract was issued.

Issued Shares Shares issued in certificate form.

Issued Units Units issued in certificate form.

Job Name The job name associated with a type of file.

Last Maintenance Date The date changes were last made to the shareholder's account.

Letter of Intent Number A numeric value used to identify the Letter of Intent (LOI) number for an account.

Line Code A numeric value indicating on which line of the shareholder registration the address starts.

Liquidation Code A number that represents the type of liquidation that has occurred.

Listbill Account Indicates whether the shareholder has established the privilege of making periodic purchases using the GPURCH facility (GPURCH replaced the LISTBILL facility).

Load/No-Load Code Indicates whether a fund is a load or no-load fund. On a load fund, the commission amount is added to the net asset value (NAV) price of a fund. On a no-load fund, the commission amount is not added to the NAV price.

Loan Value The sum value of all loan activity for an individual policy

Mailing Flag Indicates whether the address referenced is an interested party address or a dividend mailing address.

Management Code An alphanumeric code used to identify the Management Company.

Maturity Date (Variable Annuity) The date on which a variable annuity matures.

Monitored VIP Account Indicates whether an account is set up for monitoring. This flag is used to indicate fund executives or shareholders with large investments.

Multiple Owners This is used to indicate if there are multiple owners on the policy.

Mutual Fund Transaction ID A series of numbers which uniquely identifies a transaction on the system.

NAV Code A code used to indicate whether an account is a net asset value (NAV) account.

Net Asset Value (NAV) The value of one share of a fund as determined by this formula: (total assets – total liabilities)/total shares outstanding.

NSCC The National Securities Clearing Corporation, established in 1976, is currently the nation's leading provider of centralized clearance, settlement, and information services to brokers, dealers, banks, and mutual funds. Owned jointly by the New York and American Stock exchanges and the National Association of Securities Dealers, the NSCC is a registered clearing agency with the Securities and Exchange Commission. The NSCC offers four products: Networking, Fund/SERV, Commission Settlement, and Automated Customer Account Transfer Service.

Order Number A number used to identify a specific order on the DST Order Processing System.

Other Fees Additional fees taken out from the dividend-distribution cycle such as a service charge or dealer fee.

Payment Date Allows the optional entry of the payment (effective) date of the trades in the batch.

Payment Method A code used to indicate the payment method for variable life insurance products. Valid Codes include:

- V = Variable annuity fixed sub-accounts
- E = Variable universal life fixed sub-accounts

Penalty Withholding Account Indicates whether a shareholder is subject to a 20 percent distribution withholding to be paid to the Internal Revenue Service. Penalty Withholding results from failure to provide the fund with a certified Tax Identification Number (Social Security number or employee ID number).

Percentage Sales Charge The percentage amount deducted from shareholder purchases or redemptions paid to the dealer.

Plan Status Code A code used to indicate whether an account within the plan is open or closed.

Policy/Contract Number A value assigned by individual product companies to customer investments. A Policy/Contract Number becomes unique when combined with investment CUSIPs.

Policy Value The collective balance of all sub-accounts associated with one individual policy.

Pre-Authorized Checking Account A code used to indicate whether the shareholder has the privilege of allowing the transfer agent to make fund deposits from the shareholder's checking account.

Premium Paid Issue to Date The total amount of premium paid as of that current date.

Price Date The date the shares/units are priced.

Primary Beneficiary The person who inherits the investment if the benefactor dies.

Processed Date The date the job was executed.

- Processed Time** The time the job was executed.
- Product Code** Identifies the life company product or plan
- Public Offering Price** The price at which a new issue of securities is offered to the public by underwriters.
- Rate Per Share** The distribution amount paid per share for each share held as of the record date.
- Record Code** A value used to describe a set of transaction codes and suffixes that categories a type of transaction.
- Record Date** Shares held in the account on this date are eligible for the distribution payout.
- Record Type** A value used to identify the type of information contained in the file record.
- Redemption Amount** A dollar figure used in a redemption transaction.
- Reduced Price** Indicates whether the trade is processed at a reduced price.
- Registration** Identifies the name and address of the account/policy owner.
- Reinvest Capital Gains Option** A shareholder option that controls whether the capital gain distribution is reinvested.
- Reinvest Dividend Option** A shareholder option that controls whether the capital gain distribution is to be reinvested.
- Reinvest to Another Account** A flag used to determine whether the shareholder has elected to reinvest distributions in another fund account. The account generating the distribution must be coded for cash distributions.
- Reinvestment Price** The price at which all shares are reinvested into an account.
- Representative Name** The name of the registered representative assigned to the account.
- Representative Number** Identifies the registered representative assigned to the account.
- Request Number** A sequentially-assigned number used to identify a particular set of selection criteria in a file.
- Resident State / Country Code** number associated with the state or country of the account owner
- Sequence Number** A sequentially-assigned number used to identify a particular record.
- Share Account House Account Code (Mutual Funds)** A code used to indicate whether an account is a share account house account.
- Share Account Phone Check Redemption Code (Mutual Funds)** A code used to indicate whether an account is a share account phone check redemption.
- Share Amount** The total number of shares requested in a transaction.

Share Balance Effect Code Determines how a particular transaction affects the total number of shares within an account.

Share Balance The total number of shares in an account as of a specific date and time. This includes all issued and un-issued shares.

Share Price Amount The price at which shares are purchased or redeemed.

Shares Reinvested The total number of shares that the shareholder elected to purchase into the fund after being paid a distribution.

Shares Transaction Count The total number of shares involved with a transaction.

Social Code A code established and maintained that characterizes the owner of the account (such as male, female, joint tenant, trustee, charitable organization). Social codes can be specifically assigned by a management company. See [Social Codes](#) on page [106](#) for a list of common social codes.

Social Security Number (SSN) A number assigned by the Internal Revenue Service that uniquely identifies an individual.

SSN Status Code Indicates the status of the certification of the Tax Identification Number (Social Security number or employee ID number).

State/Country Code Identifies the state or country in which a shareholder resides. Refer to the *TA2000 State and Country Codes Quick Reference Guide* for a complete listing.

Stop Mail Account Determines if suppression of shareholder mailings can be legally done for a particular account. Stop mails are generally used when shareholder mail has been returned due to insufficient address and when the fund is unable to obtain a better address.

Stop Purchase Account Determines whether suppression of shareholder purchases can be legally restricted for a particular account.

Stop Transfer Flag Determines whether suppression of account transfer can be legally restricted for a specific account. Stop transfers are generally issued when adverse claims are pending against an account and there is not to be any further debits, transfers or redemptions.

Sub-Account An account linked by cumulative discount number to other accounts for the purpose of combined reporting.

Sub-Account Type Identifies whether or not the sub-account is of a fixed or variable nature.

Sub-Accounting Fee The fees associated with handling a sub-account.

Suffix Number Links a specific interested party address with a shareholder's account that already contains multiple interested party addresses.

Super Sheet Date The date the nightly processing uses to process a transaction.

Surrender Charge A charge assessed to the policyholder if the policy is surrendered prior to its maturity date.

Surrender Value The value of a policy at the time of a surrender.

SWP Account A code used to indicate whether an account is established as a systematic withdrawal plan account.

System ID An internal DST code.

Target Premium The premium amount the policy owner must pay to keep the policy in force. Target Premium is also known as No Loss Guarantee.

Term Life Insurance Life insurance payable to a beneficiary only when an insured dies within a specified period.

Third Party Administrator Number (TPA) A unique identifier for a financial institution responsible for the placement of trades through the National Securities Clearing Corporation (NSCC) and for record keeping and administrative functions as designated by a trust company. Third party administrators are members of the NSCC with an assigned TPA number.

Timer Flag A code indicating whether an account is associated with a Timer (Dealer) Group.

Total Shares The amount of shares purchased by the shareholder in certificate form.

Total Units Total amount of units purchased by the contract / policy owner within a sub-account of a life policy.

Trade Date The date the trade was affected. Also, the date the system uses to determine share price of the transaction.

Trailer Record Count The total number of records contained within a request. This count includes all detail records, plus the header and trailer.

Transaction Code Identifies the type of activity processed against the account on the system.

Transaction Suffix Further defines the type of activity processed against the account within a specific Transaction Code on the system.

Transaction Type Indicates whether a new record is being added or if an existing record is being changed or deleted.

Trust Company Number A unique identifier for a financial institution that holds legal title to a legal ownership registration in order to administer the account for a beneficiary. The trust can be custodian of the assets of the account and is a member of the National Securities Clearing Corporation (NSCC) with an NSCC assigned Trust Member Number.

Underwriter Commission Amount The fees paid to an underwriter who markets a new fund offering.

Underwriter Commission Code A code used to indicate whether an underwriter commission is credited or debited to the total commission paid.

Unissued Shares The shares held on deposit by the transfer agent for which certificates are not issued.

Unit Price Amount The price at which units are purchased or redeemed.

Unit Transaction Count The total number of units involved with a transaction.

Unit Value The price at which units are purchased or redeemed.

Universal Life A flexible premium life insurance policy under which the policy may change the death benefit from time to time (with satisfactory evidence of insurability for increases) and vary the amount of timing of premium payments. Premiums (minus expense charges) are credited to a policy account from which mortality charges are deducted and to which interest is credited at rates that can change from time to time.

Variable Life Life insurance under which benefits relate to the value of assets behind the contract at the time the benefit is paid. The amount of death benefit payable would, under variable life policies that have been proposed, never be less than the initial death benefit payable under the policy.

Variable-Universal Life A life insurance policy that combines the premium flexibility feature of universal life insurance with the equity-based benefit feature of variable life insurance.

Whole Life Insurance Life insurance payable to a beneficiary at the death of the insured whenever it occurs. Premiums may be payable for a specified number of years (limited payment life) or for life (straight life).

Wire Transaction Group Number A unique identifier for a group of wire transactions.

ZIP Code A code used by the U.S. Postal Service to indicate the street, city, and state for delivery of mail.

ZIP Code Future Expansion Reserved for future use.

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