

FAN Mail[®]

Technical Manual Variable Annuity
File Formats

The material is provided to you under a license agreement which restricts disclosure by you of this material. The material herein contains proprietary confidential information and trade secrets of substantial economic value to DST Systems, Inc. Any disclosure or dissemination of this information to persons or concerns not authorized by DST Systems, Inc. is strictly prohibited.

The names of companies, products, people, characters, and/or data mentioned herein are fictitious and are in no way intended to represent any real individual, company, product, or event, unless otherwise noted. DST Systems, Inc. reserves the right to revise this publication and to make changes to its content, at any time, without any obligation to notify any person or entity of such revisions or changes. This document is not a comprehensive technical reference guide and applies only to the version of the software stated herein.

All obligations of DST Systems, Inc. with respect to its systems, software, and services are described solely in written agreements between DST Systems, Inc. and its customers. This document does not constitute any amendment, interpretation, or other modification of any agreement between DST Systems, Inc. and any party.

DST SYSTEMS, INC. IS NOT EXTENDING ANY WARRANTIES OR MAKING ANY REPRESENTATIONS TO ITS CUSTOMER WITH RESPECT TO THE SERVICES OF ANY INTERNET SERVICES PROVIDER OR TO ANY OTHER PRODUCTS OR SERVICES USED OR INSTALLED IN CONJUNCTION WITH THE DST SYSTEMS, INC. SYSTEMS, SOFTWARE AND SERVICES. THE ONLY WARRANTIES AND REPRESENTATIONS THAT DST SYSTEMS, INC. IS MAKING TO ITS CUSTOMER WITH RESPECT TO THE PRODUCTS AND SERVICES OF DST SYSTEMS, INC. ARE THOSE EXPRESSLY STATED IN THE WRITTEN AGREEMENT BETWEEN DST SYSTEMS, INC. AND ITS CUSTOMER. EXCEPT AS SET FORTH THEREIN, ALL SYSTEMS, SOFTWARE, SERVICES, AND RELATED DOCUMENTATION ARE PROVIDED "AS-IS", AND DST SYSTEMS, INC. SPECIFICALLY DISCLAIMS ANY AND ALL REPRESENTATIONS AND WARRANTIES, EXPRESS OR IMPLIED, INCLUDING WITHOUT LIMITATION WARRANTIES OF MERCHANTABILITY AND FITNESS FOR A PARTICULAR PURPOSE.

DST SYSTEMS, INC. SHALL NOT BE RESPONSIBLE AND SHALL HAVE NO LIABILITY FOR ANY ACTUAL, SPECIAL, INCIDENTAL, DIRECT, INDIRECT, PUNITIVE, EXEMPLARY OR CONSEQUENTIAL DAMAGES OR ANY DAMAGES WHATSOEVER ARISING OUT OF OR IN CONNECTION WITH IMPROPER INSTALLATION OF SOFTWARE OR FAILURE TO COMPLY WITH THE INSTRUCTIONS CONTAINED HEREIN, AND ANY LIABILITY OF DST SYSTEMS, INC. TO ITS CUSTOMER FOR OTHER DAMAGES OF ANY KIND OR FOR ANY OTHER THING OR MATTER SHALL BE LIMITED AS SET FORTH IN THE AGREEMENT BETWEEN DST SYSTEMS, INC. AND ITS CUSTOMER.

© 2009, DST Systems, Inc. All rights reserved.

TA2000 is a registered trademarks of DST Systems, Inc. AWD is a trademark of DST Technologies, Inc. Other products and company names mentioned herein are the trademarks of their respective owners.

FAN Mail Technical Manual Variable Annuity File Formats
March 17, 2009

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

Prepared in U.S.A.

Contents

Introduction	5
What is FAN Mail®?	5
Using This Guide.....	6
Locating More Information.....	6
Submitting Documentation Comments	7
FAN Mail Administration	7
Selection Criteria.....	7
File Retrieval	8
Downloading FAN Mail Files	9
File Naming Conventions.....	10
Client Account Information.....	11
CUSIP Information.....	13
CUSIP Table Layout	14
Interpreting Record Layouts.....	15
Chapter 1: Header Record.....	17
Header Record (RHR)	17
RHR—Header Record Header Record 1 of 1.....	17
Chapter 2: Trailer Record	19
Trailer Record (RTR)	19
RTR—Trailer Record Trailer Record 1 of 1	19
Chapter 3: Account Position.....	21
Account Position File (APR).....	21
APR—Account Position Detail Record 1 of 2	21
APR—Account Position Detail Record 2 of 2	23
Chapter 4: Direct Financial Activity.....	25
Direct Financial Activity File (DFA)	25
DFA—Direct Financial Activity Detail Record 1 of 2.....	25
DFA—Direct Financial Activity Detail Record 2 of 2.....	27

Chapter 5: New Account Activity, Account Master Position, Non-Financial Activity 29

- New Account Activity File (NAA)..... 29
- Account Master Position File (AMP) 29
- Non-Financial Activity File (NFA) 29
- NAA/AMP/NFA—New Account Activity, Account Master Position, Non-Financial Activity Detail Record 1 of 3..... 30
- NAA/AMP/NFA—New Account Activity, Account Master Position, Non-Financial Activity Detail Record 2 of 3..... 33
- NAA/AMP/NFA—New Account Activity, Account Master Position, Non-Financial Activity Detail Record 3 of 3..... 34

Chapter 6: Price File 35

- Price File..... 35
- FPR—Price Header Record 1 of 1 (For Price File Only) 35
- FPR—Fund Price Detail Record 1 of 1 36

Appendix A: Miscellaneous Information 37

- Social Codes 37
- Record Codes..... 37

Glossary..... 39

Index..... 49

Introduction

What is FAN Mail®?

Financial intermediaries are often looking to close the back-office automation gap and eliminate inefficient data entry. 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 delivering a distributor's complete customer account information on behalf of variable annuity investment companies, including confirmation of purchases, redemptions, exchanges, and rebalancing transactions, as well as access to information on positions and daily prices. DST FAN Mail transmits daily transactions directly from the data provider's recordkeeping system 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 variable annuity customer account information available.

Financial advisors can enroll at www.dstfanmail.com or call (800) 435-4112, Option 2, for more information.

Using This Guide

The following formatting conventions are used in the *FAN Mail Technical Manual Variable Annuity File Formats*.

- **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.

Locating More Information

Additional information about FAN Mail file layouts is available from your client services representative.

Also, you can refer to the following guides:

- *FAN Mail HTTPs Download Guide*
- *FAN Mail Record Codes Quick Reference Guide*
- *FAN Mail Social Codes Quick Reference Guide*

Submitting Documentation Comments

DST makes every effort to ensure the accuracy of this guide and its contents. DST Systems, Inc. provides the latest version of all guides and manuals in Adobe Acrobat PDF format. These are provided to you after returning a signed non-disclosure agreement.

If you have comments, questions, or ideas regarding this guide, and the documentation of this facility, please contact DST Technical Communications at:

FANMail@dstsystems.com

Please include the following information with your correspondence:

- Name of the application
- Chapter title
- Page number
- Brief description of the content
- Your suggestion for how to correct or improve documentation

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. Users submit requests for access through the DST FAN Mail Web site 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**—Extraction and transmission of all accounts associated with a broker/dealer firm. Therefore, extraction of all account data associated with every representative takes place.
- **Dealer/Branch Level**—Extraction and transmission of all accounts associated with a specific office of advisors.
- **Dealer/Branch/Representative Level**—Extraction and transmission of all accounts associated with a specific financial advisor.



Note: FAN Mail can support multiple combinations of selection criteria.

In addition to dealer/branch/representative number, FAN Mail also supports Tax ID, Trust, and Third-Party Administrator as account selection criteria. These additional selections are not available through the Web site, so the enrollee must call to enroll for these types of account 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 require approval by your firm through the DSS Web site.

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 can fill with zeros for unused details.

FAN Mail File formats include specific information needed by a financial advisor or broker/dealer for automation and compliance needs. 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
02	Direct Financial Activity
03	Account Position
07	Non-Financial Activity
08	New Account Activity
09	Account Master Position
17	Price File
P1	DTCC Portfolio Value File (See DTCC File Formats)

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 on to 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 the *FAN Mail HTTPs Download Guide*.

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. FAN Mail users are authenticated before they can download files.

For more information on how to use the DSTHTTPDL ActiveX control, see the *FAN Mail HTTPs Download Guide*.

File Naming Conventions

Production Files

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

Position	Description
1-5	System and Management code of data provider. Each data provider has a unique system and management code combination.
6-7	File type 02 Direct Financial Activity 03 Account Position 07 Non-Financial Activity 08 New Account Activity 09 Account Master Position 17 Price Refresher P1 DTCC Portfolio Value File
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 time stamp will be provided showing the date that FAN Mail processed the data. A count of total number of files found on the Web site will help to insure that all files are successfully downloaded.

Resend Files

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

Uncompressed File Names

Production files use the naming convention SYSMTxxAxxxx.TXT or SYSMTxxRxxxx.TXT, with the following format:



Note: Files archived longer than 45 days on the recipient system could have repeating DST FAN Mail file names.

Position	Description
1-5	System and Management code of data provider. Each data provider has a unique system and management code combination.
6-7	File type <ul style="list-style-type: none"> 02 Direct Financial Activity 03 Account Position 07 Non-Financial Activity 08 New Account Activity 09 Account Master Position 17 Price Refresher P1 DTCC Portfolio Value File
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 unit balance of every CUSIP/contract combination associated with the authorized selection criteria, regardless of whether the contract had financial activity. This file is included in the initial transmission, on a month-end basis, or upon request. It enables the user to reconcile all CUSIP/contract combinations on a monthly basis.



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 of every CUSIP/contract combination associated with the authorized selection criteria, and it is included in the initial transmission or upon 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 contains changes to financial intermediary details and contract/policy owner account attributes, generated from maintenance activity to the contract/policy owner registration. It contains complete registration and non-financial information. Additionally, this file generates when a CUSIP/contract combination drops from the user's authorized selection criteria.

Direct Financial Activity File

The Direct Financial Activity file generates when transactions post to the owner's CUSIP/contract combinations, and this file is used to report all activity involving the movement of money and/or units. Activity such as purchases, redemptions, internal fund transfers, fees, or rebalancing transactions 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.

Fund Price File

The Fund Price file indicates the share/unit value and offering price as reported by the data providers at the close of the previous day. Every CUSIP is transmitted, even if shareholder accounts exist under each CUSIP.

Security File

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

CUSIP Information

A CUSIP is a Committee of Uniform Security Identification Procedure. The **CUSIP** field (nine alphanumeric characters maximum) identifies the underlying fund investment. If a CUSIP is not already assigned for a variable annuity subaccount, the CUSIP is established based on the combination of the variable annuity's system code, provided by FAN Mail, and an alphanumeric combination determined by the data provider.



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

FAN Mail CUSIP Rules

Formatting Rules

CUSIPs used by FAN Mail must adhere to the following formatting rules:

- CUSIPs must be a fixed length of nine alphanumeric characters. Spaces do not count as a character.
- CUSIPs must begin with a three-character alphabetic code that uniquely identifies your company. This code is provided by FAN Mail.
- CUSIPs must be unique to the eighth character.
- Do not reuse old CUSIPs if they have been used previously.

Business Rules

A separate CUSIP must be created for every unique unit value.

CUSIP Table Layout

When providing DST the CUSIP/Fund information necessary to maintain the FAN Mail CUSIP databases, send an e-mail attachment in one of the following formats:

Format	Explanation
Microsoft® Excel (version 2.x or later)	A Microsoft Excel 2 or later worksheet file. Each field from the table becomes a column in the spreadsheet and each record becomes a row. Use the default extension associated with the version of Excel used to create the spreadsheet.
ASCII (comma delimited file or CSV format)	A standard delimited ASCII text file in which each record ends with a carriage return and linefeed. The field separator is a comma. Because character data may include commas, character fields are additionally delimited with double quotation marks.

Data File Specifications

The data in the file should conform to the following specifications:

Field Name	Description	Type	Length
CUSIP	CUSIP number for fund Note: CUSIP must be unique to the eighth character.	Character	9
Fund Code	The fund code	Character	7
Fund Name	Name of the subaccount/fund	Character	40
Product Name	Name of the product	Character	38

Data File Example

CUSIP	Product Code	Fund Name	Product Name
123456789	0000002	Cash Example	Cash Example

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 AAAAAAAAAAAAAAAA BBBB Record C of D					
Start	End	Length	Data/Type	Required	Description
E	F	G	HHHHH	I	JJJJJJJJJJJJJJJJJ KKKKKKKKKKKKK

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.

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 auditing purposes. For more information, see [Chapter 2: Trailer Record](#).

RHR—Header Record Header Record 1 of 1

Start	End	Length	Data/Type	Required	Description
1	3	3	Alpha/Num	Yes	Record Type RHR = Request Header
4	6	3	Numeric	Yes	Sequence Number = 001
7	21	15	Alpha/Num	Yes	File Type (Description) ACCT MASTER POS = Account Master Position ACCT POSITION = Account Position FINANCIALDIRECT = Direct Financial Activity NEWACCT ACTIVIT = New Account Activity NONFINANCIALACT = Non-Financial Activity
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)

Start	End	Length	Data/Type	Required	Description
46	53	8	Alpha/Num	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 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
68	69	2	Alphabetic	Yes	Management Code
70	70	1	Alphabetic	Yes	*
71	71	1	Alpha/Num	No	Populated by DST V=Variable Annuity
72	160	89	Alpha/Num	No	Unused; populate with spaces

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 auditing purposes. For more information, see [Chapter 1: Header Record](#).

RTR—Trailer Record Trailer Record 1 of 1

Start	End	Length	Data/Type	Required	Description
1	3	3	Alpha/Num	Yes	Record Type RTR = Request Trailer
4	6	3	Numeric	Yes	Sequence Number = 001
7	21	15	Alpha/Num	Yes	File Type (Description) ACCT MASTER POS = Account Master Position ACCT POSITION = Account Position FINANCIALDIRECT = Direct Financial Activity NEWACCT ACTIVIT = New Account Activity NONFINANCIALACT = Non-Financial Activity PRICE REFRESHER = Fund Price
22	30	9	Numeric	Yes	Trailer Record Count (includes header, detail, and trailer)
31	160	130	Alpha/Num	No	Unused; populate with spaces

Chapter 3:

Account Position

Account Position File (APR)

The Account Position (APR) file generates with the initial download, at month-end, and upon request. It reports the current unit balance of every selected subaccount, regardless of whether the subaccount had financial activity. All subaccounts (open, closed, or any specified subset) are provided in the APR file.

The APR file is used to reconcile the subaccount transactions delivered during the month against the month-end value.

APR 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](#).

APR—Account Position Detail Record 1 of 2

Start	End	Length	Data/Type	Required	Description
1	3	3	Alpha/Num	Yes	Record Type APR = Account Position File
4	6	3	Numeric	Yes	Sequence 001 = first detail record
7	13	7	Alpha/Num	Yes	Dealer Number Note: Must be left-justified and pre-filled with zero to reflect seven bytes.
14	22	9	Alpha/Num	Yes	Dealer/Branch Number
23	31	9	Alpha/Num	Yes	CUSIP Number
32	38	7	Alpha/Num	Yes	Product Code Note: Must be left-justified and pre-filled with zero to reflect seven bytes.
39	58	20	Alpha/Num	Yes	Policy/Contract Number

Start	End	Length	Data/Type	Required	Description
59	59	1	Alpha/Num	Yes	Contract Number Code F = FAN Mail specific code
60	74	15	Numeric	Yes	Total Units - (six decimal places), fixed sub-accounts are all zero
75	89	15	Numeric	No	Unissued Units - (six decimal places), fixed sub-accounts are all zero
90	104	15	Numeric	No	Issued Units - (six decimal places), fixed sub-accounts are all zero
105	113	9	Numeric	Yes	Unit Value - (six decimal places), fixed sub-accounts are all zero. Note: If the unit value is greater than 999999999 , this field contains asterisks and the unit value is contained in positions 114-128 of APR—Account Position Detail Record 1 of 2.
114	128	15	Numeric	No	Extended Unit Value (six decimal places). Note: If positions 105-113 contain asterisks, this field represents the unit value.
129	132	4	Numeric	No	Trust Company Number
133	136	4	Numeric	No	Third Party Administrator Number
137	160	24	Alpha/Num	No	Unused; populate with spaces

APR—Account Position Detail Record 2 of 2

Start	End	Length	Data/Type	Required	Description
1	3	3	Alpha/Num	Yes	Record Type APR = Account Position File
4	6	3	Numeric	Yes	Sequence Number 002 = second detail record
7	13	7	Numeric	No	Interest Rate – Fixed subaccounts only (four decimal places) Example: 0070000 = 7%
14	21	8	Numeric	No	Maturity Date (CCYYMMDD)
22	36	15	Numeric	No	Escrow Units Count (four decimal places)
37	51	15	Numeric	Yes	Collected Balance Amount (two decimal places)
52	61	10	Alpha/Num	No	Alpha Code
62	70	9	Alpha/Num	Yes	Representative Number
71	100	30	Alpha/Num	Yes	Representative Name
101	109	9	Numeric	No	Cumulative Discount Number
110	112	3	Numeric	No	Social Code See Social Codes on page 37.
113	113	1	Numeric	No	Unused; populate with a zero
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

Start	End	Length	Data/Type	Required	Description
133	133	1	Alpha/Num	No	Unused; populate with a space
134	134	1	Alpha/Num	Yes	Sub-Account Type I = fixed U = unit
135	144	10	Alpha/Num	No	Unused; populate with spaces
145	159	15	Numeric	Yes	Total Units (six decimal places) Note: Fixed subaccounts will be all zero.
160	160	1	Alpha/Num	No	Unused; populate with a space

Chapter 4:

Direct Financial Activity

Direct Financial Activity File (DFA)

The Direct Financial Activity (DFA) file generates from transactions posted to the subaccount. This file reports all activity involving the movement of money and/or units. For a list of all record codes reported in the DFA file, see the *FAN Mail Record Codes Quick Reference Guide*.

All DFA 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](#).

DFA—Direct Financial Activity Detail Record 1 of 2

Start	End	Length	Data/Type	Required	Description
1	3	3	Alpha/Num	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	Alpha/Num	Yes	Dealer Number Note: Must be left-justified and pre-filled with zero to reflect seven bytes.
17	25	9	Alpha/Num	Yes	Dealer/Branch Number
26	34	9	Alpha/Num	Yes	CUSIP Number
35	41	7	Alpha/Num	Yes	Product Code Note: Must be left-justified and pre-filled with zero to reflect seven bytes.
42	61	20	Alpha/Num	Yes	Policy/Contract Number

Start	End	Length	Data/Type	Required	Description
62	62	1	Alpha/Num	Yes	Policy/Contract Number Code F = FAN Mail specific code
63	69	7	Numeric	No	Batch Number
70	77	8	Alpha/Num	No	Maturity Date (CCYYMMDD)
78	80	3	Numeric	Yes	Transaction Code
81	83	3	Numeric	Yes	Transaction Suffix
84	84	1	Alpha/Num	Yes	Unit Balance Effect Code A = transaction adds to unit balance N = transaction makes no change to unit balance S = transaction subtracts from unit balance
85	93	9	Numeric	Yes	Unit Value Amount - (six decimal places), fixed subaccounts are all zero. Note: If the unit value is greater than 999000000 , this field contains asterisks and the unit value contained in positions 86-100 of DFA—Detail Record 2 of 2.
94	108	15	Numeric	Yes	Gross Transaction Amount - (two decimal places) Note: This field should be identical to the Unit Transaction Count for fixed subaccounts, with the exception of the decimal point placement.
109	123	15	Numeric	Yes	Unit Transaction Count (six decimal places) Note: This field should be identical to Gross Transaction Amount for fixed subaccounts, with the exception of the decimal point placement.
124	131	8	Alpha/Num	Yes	Trade Date (CCYYMMDD)
132	139	8	Alpha/Num	Yes	Confirmation or Payment Date (CCYYMMDD)
140	141	2	Numeric	No	Discount Category

Start	End	Length	Data/Type	Required	Description
142	150	9	Numeric	No	Order Number
151	151	1	Numeric	Yes	Contract Type Code 0 = new 1 = existing
152	152	1	Numeric	Yes	Subaccount Type Indicator 0 = variable annuity variable subaccounts 5 = variable annuity fixed subaccounts
153	153	1	Alpha/Num	Yes	Payment Method V = variable annuity
154	160	7	Alpha/Num		Unused; populate with spaces

DFA—Direct Financial Activity Detail Record 2 of 2

Start	End	Length	Data/Type	Required	Description
1	3	3	Alpha/Num	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 37.
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	Alpha/Num	Yes	Representative Number
40	69	30	Alpha/Num	Yes	Representative Name
70	84	15	Numeric	No	Unused, populate with zero
85	85	1	Alpha/Num	No	Unused; populate with a space

Start	End	Length	Data/Type	Required	Description
86	100	15	Numeric	No	Extended Unit Value field (six decimal places) Note: If positions 85-93 of DFA—Direct Financial Activity Detail Record 1 of 2 contain asterisks, this field represents the subaccount Unit Value.
101	118	18	Numeric	No	Unused; populate with zero
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)
142	142	1	Numeric	Yes	Social Security Number 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	155	13	Alpha/Num	No	Unused; populate with a space
156	159	4	Alpha/Num	No	CDSC Waiver Reason Code
160	160	1	Alpha/Num	No	Commissionable Shares N = no commissionable shares Y = commissionable shares

Chapter 5:

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

New Account Activity File (NAA)

A New Account Activity (NAA) file is generated when a new policy registration is established. The records sent out in the NAA file are at the subaccount level.

Account Master Position File (AMP)

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

Non-Financial Activity File (NFA)

The Non-Financial Activity (NFA) file is optional. This file is generated for Variable Annuities upon maintenance to the contract owner registration or policy options. The records sent out in the NFA file are at the subaccount level. Additionally, this file generates when an account drops from the user's authorized selection criteria.

All NAA, AMP, and NFA 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](#).

NAA/AMP/NFA—New Account Activity, Account Master Position, Non-Financial Activity

Detail Record 1 of 3

Start	End	Length	Data/Type	Required	Description
1	3	3	Alpha/Num	Yes	Record Type AMP = Account Master Position File NAA = New Account Activity File NFA = Non-Financial Activity File
4	6	3	Numeric	Yes	Sequence Number 001 = first detail record
7	13	7	Alpha/Num	Yes	Dealer Number Note: Must be left-justified and pre-filled with zero to reflect seven bytes.
14	22	9	Alpha/Num	Yes	Dealer/Branch Number
23	31	9	Alpha/Num	Yes	CUSIP Number
32	38	7	Alpha/Num	Yes	Product Code Note: Must be left-justified and pre-filled with zero to reflect seven bytes.
39	58	20	Alpha/Num	Yes	Policy/Contract Number
59	59	1	Alpha/Num	Yes	Policy/Contract Number Code F = FAN Mail specific code
60	67	8	Alpha/Num	Yes	Established Date (CCYYMMDD)
68	75	8	Alpha/Num	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	Alpha/Num	No	Alpha Code

Start	End	Length	Data/Type	Required	Description
87	87	1	Numeric	No	Unused; populate with a zero
88	90	3	Numeric	No	Social Code See Social Codes on page 37.
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
107	107	1	Alpha/Num	No	Unused; populate with a space
108	109	2	Numeric	No	Unused; populate with zero
110	110	1	Numeric	No	Check Writing Account 0 = not authorized for check writing 1 = authorized for check writing

Start	End	Length	Data/Type	Required	Description
111	112	2	Numeric	No	Unused; populate with zero
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	149	5	Numeric	No	Unused; populate with zero
150	150	1	Numeric	No	Certificate Issuance Code 0 = do not issue certificates 1 = issue certificates
151	153	3	Numeric	No	Unused; populate with zero
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 policy/contract 1 = closed policy/contract
156	157	2	Numeric	No	Unused; populate with zero
158	160	3	Alpha/Num	No	Unused; populate with spaces

NAA/AMP/NFA—New Account Activity, Account Master Position, Non-Financial Activity

Detail Record 2 of 3

Start	End	Length	Data/Type	Required	Description
1	3	3	Alpha/Num	Yes	Record Type AMP = Account Master Position File NAA = New Account Activity File NFA = Non-Financial Activity File
4	6	3	Numeric	Yes	Sequence Number 002 = second detail record
7	10	4	Numeric	No	Unused; populate with zero
11	45	35	Alpha/Num	Yes	Registration - Line 1
46	80	35	Alpha/Num	Yes	Registration - Line 2
81	115	35	Alpha/Num	Yes	Registration - Line 3
116	150	35	Alpha/Num	Yes	Registration - Line 4
151	158	8	Alpha/Num	No	Customer Date of Birth (CCYYMMDD format)
159	159	1	Numeric	No	Unused; populate with a zero
160	160	1	Alpha/Num	No	Unused; populate with a space

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

Start	End	Length	Data/Type	Required	Description
1	3	3	Alpha/Num	Yes	Record Type AMP = Account Master Position File NAA = New Account Activity File NFA = Non-financial Activity File
4	6	3	Numeric	Yes	Sequence Number 003 = third detail record
7	41	35	Alpha/Num	Yes	Account Registration - Line 5
42	76	35	Alpha/Num	Yes	Account Registration - Line 6
77	111	35	Alpha/Num	Yes	Account Registration - Line 7
112	120	9	Alpha/Num	Yes	Representative Number
121	150	30	Alpha/Num	Yes	Representative Name
151	152	1	Alpha/Num	No	Position Close-Out Indicator 0 = position belongs to data recipient 1 = position no longer belongs to data recipient Note: A value of 1 is only presented within the NFA file.
152	154	2	Numeric	No	Account Type Indicator
154	160	7	Alpha/Num	No	Unused

Chapter 6:

Price File

Price File

The Price file indicates the Unit Value as reported by the variable annuity company. The Price file contains all possible products offered by that data provider and is sent daily.



Note: The Super Sheet Date in the Header Record of the price file must match the price date in the data. The **Product Code** field should be populated with zeros, unless you maintain unique CUSIPS across all products.

FPR—Price Header Record 1 of 1 (For Price File Only)

Start	End	Length	Data/Type	Required	Description
1	3	3	Alpha/Num	Yes	Record Type RHR = Price Refresher File
4	6	3	Numeric	Yes	Sequence Number 001 = first detail record
7	21	15	Alpha/Num	Yes	File Type (Description) 'PRICE REFRESHER'
22	29	8	Alpha/Num	Yes	Super Sheet Date (CCYYMMDD)
30	37	8	Alpha/Num	Yes	Processed Date (CCYYMMDD)
38	38	1	Alpha/Num	Yes	*
39	41	3	Numeric	Yes	System ID
42	43	2	Alpha/Num	Yes	Management Code
44	44	1	Alpha/Num	Yes	*
45	45	1	Alpha/Num	No	Populated by DST V = variable annuity
46	160	115	Alpha/Num	Yes	Unused; populate with spaces

FPR—Fund Price Detail Record 1 of 1

Start	End	Length	Data/Type	Required	Description
1	3	3	Alpha/Num	Yes	Record Type FPR = Fund Price Refresher File
4	6	3	Numeric	Yes	Sequence Number 001 = first detail record
7	15	9	Alpha/Num	Yes	CUSIP Number
16	22	7	Numeric	Yes	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	Unit Value - (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.
40	48	9	Numeric	Yes	Public Offering Price - (six decimal places)
49	59	11	Numeric	No	Unused; populate with zero
60	97	38	Alpha/Num	Yes	Fund Name
98	112	15	Numeric	No	Extended Unit Value field Note: If positions 31-39 contain asterisks, this field represents the subaccount unit value (six decimal places).
113	126	14	Alpha/Num	No	Unused
127	130	4	Alpha/Num	Yes	Share Class
131	160	30	Alpha/Num	No	Unused

Appendix A:

Miscellaneous Information

Social Codes

Social codes may vary by management company.



For more information on specific social codes, contact your Client Services representative or see the *TA2000 Social Codes Quick Reference Guide*.

Record Codes



For more information on specific record codes, contact your Client Services representative or see the *TA2000 Record Codes Quick Reference Guide*.

Glossary

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

Account Management Company Employee Code (Mutual Funds and REIT/DPPs) 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 and REIT/DPPs) 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.

Account Type Indicator A standardized NSCC social code.

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 into an account on a date prior to its entry into the recordkeeping system.

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 recordkeeping 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.

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 the recordkeeping system 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.

Customer Date of Birth The date of birth of the investment owner.

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 up front or will be paid in standard cycle (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 = non-priced CUSIP
- 6 = VUL fixed subaccount

Dealer Number A value used to identify a broker/dealer on the recordkeeping system.

Discount Category A code that identifies the discount received by an investor in a fund family on a transaction. Lowered fees derived by totaling transactions in several funds from the same fund family to obtain a reduced fee. Generally, fees for investing in a mutual fund decrease as the amount that a person invests increases; therefore, if there is a required minimum investment that allows an investor to receive the fee discount, the investor can receive the discount without having to invest all of that minimum in the same fund.

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

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 stated date on which a shareholder must own shares within the fund in order to receive a portion of the distributable income or capital gain earned by a fund.

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 the recordkeeping system 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 a DST recordkeeping system.

Fiduciary Account A code that indicates whether the shareholder is utilizing the fiduciary subaccounting 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 recordkeeping system's Order Processing tables.

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 fund assets – total fund liabilities)/total fund 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.

Position Close-Out Indicator An identifier from the product company stating that the position no longer belongs to the FAN Mail data file recipient.

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.

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.

Subaccounting 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 recordkeeping 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.

Index

A

Account Management Company
Employee Code 31
Account Number Code 20, 24, 28
Accounts
automated clearing house (ACH) 29
check writing 30
fiduciary 30
net asset value 26
pre-authorized checking (PAC) 29
systematic withdrawal plan (SWP)
29
ActiveX 9
Alpha Code 21

B

Batch Date 24
Batch Number 24

C

Certificate Issuance Code 26, 30
Check Number 26
Collected Balance Amount 21
Confirmation Date 24
Cumulative Discount Number 21, 25,
30
CUSIP 12, 19, 23, 28, 34
Customer Account Number 19, 23, 28

D

Daily Dividend Rate 34
Dealer Commissions
amount 26
Dealer Number 19, 23, 28
Dealer/Branch Number 19, 23, 28
Discount Category 24
DSTHTTPDL control 9

E

Established Date 28

F

FAN Mail
administration 7
automatic downloads 9
manual downloads 8

production files 9
resend files 9
selection criteria 7
File Format Code 16
File Type 8, 15, 17, 33
Foreign Tax
rate 30
Foreign Tax Rate 30
FTP transmissions
file naming convention
production files 9
resend files 9
Fund Name 34

G

Gross Transaction Amount 24

I

Interest Rate 21
interpreting record layouts 14
Issue Date 28

J

Job Name 16

L

Last Maintenance Date 28
Letter of Intent 21, 25, 30
LOI *See* Letter of Intent

M

Management Code 16, 33
Maturity Date 21, 24
Multiple Contract Owners 29

N

NAV *See* Net Asset Value
NAV Account 26
Net Asset Value 20
accounts 26

P

Payment Date 24
Payment Method 25
Percent Sales Charge 25
Plan Status Code 30

Price Date 34
Processed Date 15, 33
Processed Time 16
Product Code 19, 23, 28, 34
Public Offering Price 34

R

record layout field descriptions 14
record layouts 14
Representative Name 21, 25, 32
Representative Number 21, 25, 32
Request Number 16

S

selection criteria 7
Shares
 balance effect code 24
 collected 22
 escrow 21
 escrowed count 21
 issued 20
 price amount 24
 total 20
 transaction count 24
 unissued 20
Social Code 21, 25, 29
Social Security Number 21, 26, 29
SSN Status Code 21, 26
State and Country Codes 25, 29

Super Sheet Date 15
System ID 16, 33

T

Third Party Administrator 20
Total Shares 20
Total Units 20, 22
Trade Date 24
Trailer Records 17–18
Transaction Codes
 direct financial activity records 24
Transaction Suffix
 direct financial activity records 24
Trust Company Number 20

U

Units
 extended value 20, 34
 issued 20
 price amount 24
 total 20, 22
 transaction count 24
 unissued 20
 value 20, 26, 34

Z

ZIP Code 30