I&RS Review Board

ENHANCEMENT REQUEST FORM

Note: Do not complete gray shaded

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<tr>
<th>Request Number: IPS00466</th>
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Submission Date: 04/11/2014

Name/Phone #/E-mail Address:
Jeanann Smith/212-855-3346/
jsmith@dtcc.com

Requesting Company Name(s):
DTCC

Type of Change: X New

_____ Mod to Existing
_____ Legal Requirement
_____ Code List Add

Priority: X Low (can wait until next release)
_____ Medium (Sooner than next release)
_____ High (Immediate action)

Application:

_____ ACATS/IPS
_____ Access Platforms
_____ Asset Pricing (AAP)
_____ Applications/Sub Pay (APP/SUB)
_____ Attachments (ATT)*
_____ Commissions (COM)

_____ Licensing & Appointments (LNA)*
_____ InForce Transactions (IFT)*

_____ Positions and Valuations (POV)
_____ Replacements (RPL)

_____ Producer Management Portal (PMP)*

*For ATT, IFT, PMP and LNA please check the Access box if you want changes to be made to that platform as well.

Date Reviewed by Board: 05/13/2014  Decision Date: 5/13/2014

1) Overall Scope of the Enhancement (should include the Business Reason for the change):
Carriers are requesting DTCC to support training authorizations at both the product and service feature (SF) /rider level.
Several carriers are creating courses at the base product level and if service feature/riders are chosen on the application (point of sale) additional training authorizations will needed to be processed and reported back to the user. This will be on both the Access platform (user interface) and the B2B (web services) message responses.

2) **Recommended Record Layout Changes:**

**Licensing & Appointments (LNA) modifications:**

1. Modify LNA which will allow insurance carriers to identify additional rider training is required before application can be submitted.
   a. Add new optional field to the 53/18 Product Training Authorization record. This field occurs ten (10) times, once for each existing Product CUSIP on this record.
      i. 53/19 Record Data Elements:
         1. Field Name: Product CUSIP
         2. Field Name: Service Feature/Rider Product Code Type (1 to 10)
         3. Field Name: Service Feature/Rider Training Satisfied Indicator (1 to 10)
         4. Field Name: Service Feature/Rider Training Satisfied Reason Code (1 to 10)
         5. Field Name: Service Feature/Rider Training Effective Date (1 to 10)
   c. Add a new code to the Course Type – item # 6703 on the 53/16 record.
      i. The new code titled “R – Service Feature/Rider”
      ii. If Course Type = R then 6705 (Course Number) is required to be populated.
2. Create the ability for DTCC to store the information from the 53/19 Service Feature/Rider Confirmation record.

**Producer Management Portal (PMP) modifications:**

1. Create the ability to allow insurance carrier to direct I&RS to validate product training at the rider level.
   i. Create a Carrier Control Table screen that would allow insurance carriers to enter the list of the following data points:
      1. Product CUSIP
      2. Service Feature Type/Sub Type
      3. Service Feature Name
      4. Course Number
      5. Course Start Date
      6. Course End Date
2. Modify the Point of Sale (228-14) Inquiry PMP Access user interface to allow asking the BD user to identify the service features/riders that are part of the sale attributes. The riders will be used to do the validation of the training authorization.
3. Modify the Training Completion Inquiry (228-15) to include Rider Training Authorizations in addition to the current product and state training authorizations.
4. Modify Course Detail Look Up Inquiry (228-16) to include Rider Training course details from the Table 1.
   b. Add Course Type = R (Service Feature/Riders) to results screen.
   c. Includes both User Interface and B2B messages.

3) Business Scenario – (Used to determine Best Practices)

Some carriers require additional training beyond the product training and is all driven by the course completion by the producer. These changes will allow DTCC to allow the carrier to drive if this additional training authorization is needed and DTCC will then authorized the training at State, Product and SF/Rider levels.

4) Standard Usage – (Should include specific field/code usage)

The standard usage will be created as part of the Producer Management Portal (PMP) Implementation Guide available on the I&RS website.

5) Status Update:

Approved for September 2014

Revision History

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<th>Date</th>
<th>By</th>
<th>Version</th>
<th>Description</th>
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<tr>
<td>05/14/14</td>
<td>Jon Volpe</td>
<td>1.0</td>
<td>Updated status &amp; approval date</td>
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