Producer Management Portal Use Cases
Last Updated: February 8, 2013

Use Cases (yellow highlight indicates completed)

1 – Populating Tables Use Cases

1A – Carrier initial population of set of producers with state and product training
   Business Scenario: Initial population by carrier for a set of producers with applicable state and product training.

1B – Carrier population of the new producer training (table 1, 2 & 3) – New Producer Set Up
   Business Scenario: Carrier sends a PR transaction to add an individual producer with applicable state and product training.

1C – Carrier population of new producer training (table 1, 2 & 3) – Existing Producer
   Business Scenario: Carrier sends a PR transaction to update an existing producer with additional applicable state and product training. This may include new state course taken, state adoption or state reciprocity approval.

IC.1 – Carrier population of new producer training (table 1, 2 & 3) – Existing Producer
   Business Scenario: Carrier sends a PR transaction to update an existing producer with additional applicable state and product training. This may include new product course taken or new product CUSIP number introduced which is covered by an existing course completion.

1D – Training vendor population of the state training (table 1) – New Producer Set Up
   Business Scenario: Training vendor sends to DTCC a state training course detail completion. DTCC will pull data from the training update transaction to populate table 1 – Producer/Course Table.

1F – Training vendor population of the state training (table 1) – Existing Producer
   Business Scenario: Training vendor sends to DTCC a state training course detail completion for an existing producer. DTCC will pull data from the training update transaction to populate table 1 – Producer/Course Table.

IG – Carrier sends update to de-associate existing producer from carrier affiliation
   Business Scenario: Carrier sends a PR transaction (no 16, 17, or 18 records) to remove the producer from the Portal. This will remove the producer from tables 1, 2, & 3 based on the carrier affiliation.

IH – Carrier sends update to de-associate existing producer from distributor affiliation
   Business Scenario: Carrier sends a PR transaction (no 16, 17 or 18 records) to remove the producer from the Portal. This will remove the producer from tables 1, 2, & 3 based on the distributor affiliation.

II – Carrier sends update to de-associate existing producer from existing distribution affiliation and add producer to new distributor affiliation.
   Business Scenario: Carrier sends a PR transaction (no 16, 17 or 18 records) to remove the producer from the distribution affiliation and sends a 2nd PR transaction with applicable state and product training for new distributor affiliation.

IJ – Carrier sends update to update demographic changes based on a change such as name, carrier or distributor ID.
   Business Scenario: Carrier sends a PR transaction to update the producer detail in Table 1 - Producer/Course Table.
2 – Training Validation Use Cases

2A Requestor submits a Producer Inquiry request for a specific producer ID (228-15)
   2A.1 Producer Inquiry request – Success - Successful result
   Business Scenario: Distributor submits a Producer Inquiry to request all training authorizations based on a specific producer and matching distributor affiliation via DTCC Web Portal user interface. (Producer Training Inquiry)

   2A.1.1 Producer Inquiry request – Success - Successful result
   Business Scenario: Distributor submits a Producer Inquiry to request all training authorizations based on a specific producer and matching distributor affiliation via DTCC Web Portal user interface (Producer Training Inquiry.)

   2A.2 Producer Inquiry request – Success with Information – Producer Not Found result
   (electronic application submission)
   Business Scenario: Distributor submits a Producer Inquiry to request all training authorizations based on a specific producer ID; however, the producer ID is not found in the Portal. Result Info code: 4202

   2A.2.1 Producer Inquiry request – Success with Information – Producer Not Found result
   (manual paper application)
   Business Scenario: Distributor submits a Producer Inquiry based on a paper application received for processing by the back office. The back office submits a request for all training authorizations based on a specific producer ID; however, the producer ID is not found in the Portal. Result Info code: 4202

   2A.3 Producer Inquiry request - Fail - Rejected by DTCC due to schema formatting
   Business Scenario: Distributor submits a Producer Inquiry to request all training authorizations based on the message rejecting by DTCC due to schema formatting issues. (error code: TBD)

   2A.4 Producer Inquiry request - Fail – Rejected by DTCC due to business rule edit rejects
   Business Scenario: Distributor submits a Producer Inquiry to request all training authorizations based on the message rejecting by DTCC due to business rule edit rejects. (error code: TBD)

   2A.5 Producer Inquiry request – Success with Information – Distributor Affiliation Does Not Match/Exist result
   Business Scenario: Distributor submits a Producer Inquiry to request all training authorizations based on the message rejecting by DTCC due to Distributor Affiliation Does Not Match. (Result Info code: 4203)

2B Requestor submits a “Is the Producer Trained” training inquiry request for a specific sale (228-14)
   2B.1 Training Inquiry request – Success - Successful result
   Business Scenario: Distributor submits a Producer Inquiry to request a training authorization based on specific sale attributes with successful result of “producer trained” via DTCC Web Portal user interface. (Producer Training Inquiry)

   2B.1.1 Training Inquiry request – Success - Successful result
   Business Scenario: Distributor submits a Producer Inquiry to request a training authorization based on specific sale attributes with successful result of “producer trained via B2B web service 22814 message.

   2B.2 Training Inquiry request – Success with Information – Producer Not Found result
Business Scenario: Distributor submits a Producer Inquiry to request a training authorization based on specific sale attributes with a result of “Producer Not Found.” (Result Info code: 4202)

2B.3 Training Inquiry request – Fail - Rejected by DTCC due to schema formatting

Business Scenario: Distributor submits a Producer Inquiry to request a training authorization based on specific sale attributes was rejected by DTCC due to schema formatting errors (error code: TBD)

2B.4 Training Inquiry request – Fail - Rejected by DTCC due to business rule edit rejects.

Business Scenario: Distributor submits a Producer Inquiry to request a training authorization based on specific sale attributes was rejected by DTCC due to business rule edit rejects (error code: TBD)

2B.5 Training Inquiry request – Success with Information Product Training Requirement is Not Found result

Business Scenario: Distributor submits a Producer Inquiry via B2B web service 22814 message to request a training authorization based on specific sale attributes was successful but with response of Product Training not found. (Result Info code: 4208)

2B.5.1 Training Inquiry request – Success with Information Product Training Requirement is Not Found result

Business Scenario: Distributor submits a Producer Inquiry via DTCC Web Portal user interface to request a training authorization based on specific sale attributes was successful but with response of Product Training not found. (Result Info code: 4208)

2B.6 Training Inquiry request – Success with Information – State Training Not Found result

Business Scenario: Distributor submits a Producer Inquiry via B2B web service 228154 message to request a training authorization based on specific sale attributes was successful but with response of State Training not found. (Result Info code: 4204)

2B.6.1 Training Inquiry request – Success with Information – State Training Not Found result

Business Scenario: Distributor submits a Producer Inquiry via DTCC Web Portal user interface to request a training authorization based on specific sale attributes was successful but with response of State Training not found. (Result Info code: 4204)

2B.7 Training Inquiry request – Success with Information – State Training Requirement Has Not Been Met – (with Carrier specific reason included) result

Business Scenario: Distributor submits a Producer Inquiry via B2B web service 22814 message to request a training authorization based on specific sale attributes was successful but with response of state training has not been met with carrier specific reason included.

2B.7.1 Training Inquiry request – Success with Information – State Training Requirement Has Not Been Met – (with Carrier specific reason included) result

Business Scenario: Distributor submits a Producer Inquiry via DTCC Web Portal user interface to request a training authorization based on specific sale attributes was successful but with response of state training has not been met with carrier specific reason included.
2B.8 Training Inquiry request – Success with Information – State Training Has Expired result

Business Scenario: Distributor submits a Producer Inquiry to request a training authorization based on specific sale attributes was successful but with response of State Training Has Expired. (error code: 4205)

2B.9 Training inquiry request – Success with Information - State Does Not Require Producer Training result

Business Scenario: Distributor submits a Producer Inquiry to request a training authorization based on specific sale attributes was successful but with a response of application state does not require producer training based on State Master table. (Result Info code: TBD)

2B.10 Training inquiry request – Success with Information - State Training Not Required by State

Business Scenario: Distributor submits a Producer Inquiry to request a training authorization based on specific sale attributes was successful but with a response application state does not require state level CE training. (Result Info code: 4200)

2B.11 Training Inquiry request – Product Training Not Required by State

Business Scenario: Distributor submits a Producer Inquiry to request a training authorization based on specific attributes was successful but with a response application state does not require product training. (Result Info code: 4201)

2B.12 Training Inquiry request – Success with Information – Distributor Affiliation Does Not Match/Exist result

Business Scenario: Distributor submits a Producer Inquiry to request a training authorization based on specific attributes was successful but with a response of Distributor affiliation does not match requestor. (Result Info code: 4203)

2B.13 Training Inquiry request – Success with Information – Application Date Prior to State Training Effective Date result

Business Scenario: Distributor submits a Producer Inquiry to request a training authorization based on specific attributes was successful with information due to the application date being prior to the effective date of the producer’s state training course completion reject. (Result Info code: 4206)

2B.14 Training Inquiry request – Success with Information – Application Date Prior to Product Training Effective Date result (via DTCC Web Portal user interface)

Business Scenario: Distributor submits a Producer Inquiry to request a training authorization based on specific attributes; message was successful however due to the application date being prior to the effective of the producer’s product training completion reject. (Result Info code: 4207)

2B.14.1 Training Inquiry request – Success with Information – Application Date Prior to Product Training Effective Date result (via real time B2B web service 22814 message)

Business Scenario: Distributor submits a Producer Inquiry to request a training authorization based on specific attributes; message was successful however due to the application date being prior to the effective of the producer’s product training completion reject. (Result Info code: 4207)

2B.15 Training Inquiry request – Success with Information – Product Training Requirement Has Not Been Met – (with Carrier specific reason included) result (via DTCC Web Portal user interface)

Business Scenario: Distributor submits a Producer Inquiry to request a training authorization based on specific attributes; message was successful however, the message was sent back with reject due to the carrier’s indication that the product
training requirement has not been met. The message is returned with the carrier specific reason included.

2B.15.1 Training Inquiry request – Success with Information – Product Training Requirement Has Not Been Met – (with Carrier specific reason included) result (via B2B web service 22814 message)

Business Scenario: Distributor submits a Producer Inquiry to request a training authorization based on specific attributes; message was successful however, the message was sent back with reject due to the carrier’s indication that the product training requirement has not been met. The message is returned with the carrier specific reason included.

2C Requestor submits a “Course Look Up” training inquiry request (228-16)

2C.1 Course Look Up training Inquiry request – Success - Successful result

Business Scenario: Requestor submits a Producer Inquiry to request all completed course information for a specific producer ID. The message was successful and returns all state course information. This message only returns the state course details due to the fact that requestor does not match the distributor nor carrier affiliation on Portal via DTCC Web Portal user interface.

2C.1.1 Requestor submits a Producer Inquiry to request all completed course information for a specific producer ID. The message was successful and returns all state course information. This message only returns the state course details due to the face that requestor does not match the distributor nor carrier affiliation on Portal via B2B web service 22816 message.

Business Scenario 2: Distributor submits a Producer Inquiry to request all completed course information for a specific producer ID. The message was successful and returns all state and product course information based on the matched distributor affiliation.

Business Scenario 3: Carrier submits a Producer Inquiry to request all completed course information for a specific producer ID. The message was successful and returns all state and product course information based on the match carrier affiliation.

2C.2 Course Look Up training inquiry request – Success with Information – Producer Not Found result

Business Scenario: Requestor submits a Producer Inquiry to request all completed course information for a specific producer ID. The message is successful however, the message is returned with a Producer not found on the Portal. (error code: TBD)

2C.3 Course Look Up training inquiry request – Fail - Rejected by DTCC due to schema formatting

Business Scenario: Requestor submits a Producer Inquiry to request all completed course information for a specific producer ID. The message is rejected by DTCC due to a schema formatting issue.

2C.4 Course Look Up training inquiry request – Fail - Rejected by DTCC due to business rule edit rejects.

Business Scenario: Requestor submits a Producer Inquiry to request all completed course information for a specific producer ID. The message is rejected by DTCC due to a business rule edit issue.
Assumptions
These apply to all uses cases. Additional assumptions that are applicable to a specific use case would be listed in that specific use case.

1. Connectivity between requestor and DTCC is available
2. DTCC Solutions User Numbers are available
3. State Master Table is set up.
4. Requestor has the Producer ID (SSN)
5. All data information is in good order.
6. Appropriate DTCC Solutions agreements are in place.
7. Working Group changes and messages are approved through ACORD.
Begin

Producer initiates OE on desktop

Carrier initiates 228 message for producer training info

DTCC IDS database receives inquiry

Locate Producer?

Yes

IDS pulls training completions and compiles 228 response

No

Cannot locate producer error message

Solution Provider

Determine who submitted msg?

Solution Provider

Web interface user receives training 228 response result via web portal

Producer initiates OE on desktop

Producer Logs into Producer Mgmt Web Portal (Access) for manual lookup

Solution Provider

Carrier initiates 228 message for producer training info

 IDS receives inquiry and validates message attributes

End of Process

Service Providers receives and processes 228 response

End of Process

Producer Management Authorization Portal - Training Inquiry Process Flow
## 1 – Populating Tables Use Cases

<table>
<thead>
<tr>
<th>Use Case ID:</th>
<th>IA</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Use Case Title:</strong></td>
<td>Carrier initial population of a set of producers with state and product training</td>
</tr>
<tr>
<td><strong>Use Case Description:</strong></td>
<td>Initial population by Insurance Carrier for a set of producers with applicable state and product training.</td>
</tr>
</tbody>
</table>
| **Actors:** | 1. Insurance Carrier Systems  
2. DTCC Systems  
3. DTCC Producer Management Portal |
| **Additional Assumptions:** | 1. Carrier is a NSCC member and LNA user.  
2. No producer training has been loaded to the database prior to this initial PR transaction by the specific carrier. |
| **Steps:** | 1. Carrier sends PR transaction to DTCC for initial Portal population and storage indicator = Y;  
2. DTCC edits and validates the file, passes validations and sends any rejected transactions back to carrier.  
3. Creates the producer record and populates the producer state and product training authorizations |
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<thead>
<tr>
<th>Use Case ID:</th>
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<tbody>
<tr>
<td>Use Case Title:</td>
<td>Carrier population of the new producer training (table 1, 2 &amp; 3) – New Producer Set Up</td>
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<tr>
<td>Use Case Description:</td>
<td>Carrier sends a PR transaction to add an individual producer with applicable state and product training.</td>
</tr>
</tbody>
</table>
| Actors: | 1. Insurance Carrier Systems  
2. DTCC Systems  
3. DTCC Producer Management Portal |
| Additional Assumptions: | • Carrier is a NSCC member and LNA user.  
• No producer training has been loaded to the database prior to this PR transaction for this specific producer. |
| Steps: | 1. Carrier sends PR transaction for the individual producer to DTCC for initial Portal population and storage indicator = Y;  
2. DTCC edits and validates the file, passes validations and sends any rejected transactions back to carrier.  
3. DTCC will create an unique storage key and insert all new producer state and product training authorizations from the PR transaction.  
4. |
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<td>Carrier population of new producer training (table 1, 2 &amp; 3) – Existing Producer</td>
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<td>Use Case Description:</td>
<td>Business Scenario: Carrier sends a PR transaction to update an existing producer with additional applicable state and product training. This may include new state course taken, state adoption or state reciprocity approval.</td>
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</table>
| Actors: | 1) Insurance Carrier Systems  
2) DTCC Systems  
3) DTCC Producer Management Portal |
| Additional Assumptions: | Carrier has been notified of state or product course completion  
Carrier is aware of new state adoption or state reciprocity  
Existing NSCC member and LNA user |
| Steps: | 1) Carrier sends PR transaction to the DTCC for Portal update  
2) Storage indicator = Y  
3) DTCC edits and validates the file, passes validations  
4) Existing Portal record for producer is updated to include applicable new course, state adoption, or reciprocity |
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</tr>
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</table>
| **Actors:** | 1) Insurance Carrier Systems  
2) DTCC Systems  
3) DTCC Producer Management Portal |
| **Additional Assumptions:** | Carrier has introduced a new product course  
Carrier has introduced a new product (with new active CUSIP) that is covered by an existing course completion  
Existing NSCC member and LNA user |
| **Steps:** | 1) Carrier sends PR transaction to the DTCC for Portal update  
2) Storage indicator = Y  
3) DTCC edits and validates the file, passes validations  
4) Existing Portal record for producer is updated to include applicable new course or product CUSIP |
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<tr>
<th>Use Case ID:</th>
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<tbody>
<tr>
<td>Use Case Title:</td>
<td>Training vendor population of the state training (table 1) – New Producer Set Up</td>
</tr>
<tr>
<td>Use Case Description:</td>
<td>Training Vendor sends to DTCC a state training course detail completion. DTCC will pull data from the training update transaction to populate table 1 – Producer/Course Table.</td>
</tr>
<tr>
<td>Additional Assumptions:</td>
<td>• Training Vendor is supporting DTCC Portal via TU transactions  • No producer training has been loaded to the database prior to this initial PR transaction by the Training Vendor.</td>
</tr>
<tr>
<td>Steps:</td>
<td>1. Training Vendor sends TU transaction for the individual producer to DTCC for Portal population;  2. DTCC edits and validates the file, passes validations and sends any rejected transactions back to Training Vendor  3. DTCC will create a unique storage key and insert all 53-16 state training course completions into Table 1 from the TU transaction.</td>
</tr>
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<td>Use Case Description:</td>
<td>Training vendor sends to DTCC a state training course detail completion for an existing producer. DTCC will pull data from the training update transaction to populate table 1 (producer/course table)</td>
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</table>
| Actors: | 1. Training Vendor  
| | 2. DTCC Systems  
| | 3. DTCC Producer Management Portal  
| | 4. Insurance Carrier Systems |
| Additional Assumptions: | 1. Training is from an approved vendor  
| | 2. DTCC will forward completion information to Carriers associated with the producer as appropriate |
| Steps: | 1. Producer completes state training course  
| | 2. Training vendor forwards completion information to DTCC via TU transaction  
| | 3. DTCC extracts pertinent completion data and stores in Producer Portal (table 1)  
<p>| | 4. DTCC forwards completion data to insurance carriers as appropriate |</p>
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<td>Carrier sends update to de-associate existing producer from carrier affiliation.</td>
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<td>Use Case Description:</td>
<td>Carrier sends a PR transaction (no 16, 17, or 18 records) to remove the producer from the Portal. This will remove the producer from the tables 1, 2, &amp;3 based on the distributor affiliation.</td>
</tr>
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</table>
| Actors: | 1. Insurance Carrier Systems  
2. DTCC Systems  
3. DTCC Producer Management Portal |
| Additional Assumptions: | 1. The Producer will have the carrier affiliation and product training information for the carrier removed in the Portal  
2. Producer state training completions will remain stored in the Portal. Since only vendors can populate this training and it shouldn’t be deleted |
| Steps: | 1. Insurance carrier terminates producer with the BD in their licensing system  
2. Insurance Carrier sends a dissociation PR transaction to DTCC  
3. DTCC removes Producer records from the Portal |
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</table>
| Actors:         | 1) Insurance Carrier Systems  
                          2) DTCC Systems  
                          3) DTCC Producer Management Portal |
| Additional Assumptions: | Both the carrier and the distributor involved in the PRY transaction are valid DTCC LNA participants  
                                The carrier received a TR transaction for the producer from the distributor which is resulting in the PRY transaction to de-associate the producer for the carrier/distributor key. This termination notification may come outside of the DTCC LNA process as well. |
| Steps:          | 1) Carrier sends PR transaction to the DTCC for Portal update  
                          2) Storage indicator = Y  
                          3) The PR Y transaction will only contain the producer identification records, there will be no 16, 17 or 18 records  
                          3) DTCC edits and validates the file, passes validations  
                          4) Existing Portal records for producer that are stored with the carrier/distributor key will be deleted from the portal |
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<td>Carrier sends update to de-associate existing producer from existing distribution affiliation and add producer to new distributor affiliation.</td>
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<td><strong>Use Case Description:</strong></td>
<td>Business Scenario: Carrier sends a PR transaction (no 16, 17 or 18 records) to remove the producer from the distribution affiliation and sends a 2nd PR transaction with applicable state and product training for new distributor affiliation.</td>
</tr>
</tbody>
</table>
| **Actors:** | 1) Insurance Carrier Systems  
2) DTCC Systems  
3) DTCC Producer Management Portal |
| **Additional Assumptions:** | • Both the carrier and the distributor involved in all of the PRY transactions are valid DTCC Solutions participant or NSCC member.  
• The carrier received a TR transaction from one distributor and then an AI transaction from a distributor the producer is now affiliated with. This termination and appointment notification may come outside of the DTCC LNA process as well.  
• The order of the PR transactions will not matter as long as the distributor ID is different. |
| **Steps:** | 1) Carrier sends 2 different PR transactions for the same producer  
2) Both PR transactions will have the Storage Indicator = Y  
3) The first PR Y transaction will be for the distributor that terminated the producer. It will contain only the producer identification records, there will be no 16, 17 or 18 records  
4) Existing Portal records for the producer that are stored with the carrier/distributor key will be deleted from the portal  
5) The second PR Y transaction will be for the distributor that the producer has a new affiliation with. It will contain all of the producer identification records |
and 16, 17 and 18 records (or any valid combination of these records)

6) This will be recognized as a new Producer setup so DTCC will store all the data in the Portal for producer using the carrier/distributor key
**Use Case ID:** 1J  

**Use Case Title:** Carrier sends update to update demographic changes based on a change such as name, carrier or distributor ID (SSN). *(Based on Transamerica systematic approach we will only be providing demographic updates when SSN is incorrect (by sending dis-association and re-association to correct SSN)).*

**Use Case Description:**  
**Name Change:** Carrier sends a PR-Y transaction to update the producer detail in Table 1 - Producer/Course table.  
**SSN Change:** Carrier sends a PR-Y disassociation transaction (no 53-16, 53-17,53-18) under the incorrect SSN. Carrier also sends a PR-Y refresh transaction under the correct SSN.  

**Actors:**  
1. Insurance Carrier Systems  
2. DTCC Systems  
3. DTCC Producer Management Portal

**Additional Assumptions:**  
- Carrier is a NSCC member and LNA user.  
- Producer training has already been loaded to the database prior to this PR transaction for this specific producer.

**Steps:**  
1. *(SSN Change only)* Carrier sends Disassociation transaction for the individual producer to DTCC as PR with storage indicator = Y;  
2. *(SSN/Name Change)* Carrier sends PR refresh transaction for the individual producer to DTCC for initial Portal population and storage indicator = Y;  
3. *(SSN/Name Change)* DTCC edits and validates the file, passes validations and sends any rejected transactions back to carrier.  
4. *(SSN Change only)* DTCC will delete pre-existing key based on Dis-association and create a new unique storage key and insert all new producer state and product training authorizations from the refresh PR transaction.  
5. *(Name Change only)* DTCC will update the existing storage key with the updated name.
### 2 – Training Validation Use Cases

2.A Requestor submits a Producer Inquiry request for a specific producer ID (228-15)

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</table>
| **Actors:** | 1. Insurance Carrier Systems  
2. DTCC Systems  
3. DTCC Producer Management Portal  
4. Distributor Back Office  
5. DTCC Web Portal |
| **Additional Assumptions:** | - Carrier is a NSCC member and LNA user.  
- Carrier populates Portal with the producer training authorizations.  
- SAC is set up for PMP.  
- One or more training completions have been found. |
| **Steps:** | 1. Distributor back office system signs into DTCC Web Portal and submits a Producer Training inquiry based on a specific producer ID (SSN).  
2. DTCC systems receive inquiry.  
4. DTCC sends response message to the Requestor and forwards results to DTCC Web Portal.  
5. Back office has the ability to save the results to .pdf for audit purposes. |
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| **Actors:** | 1. Insurance Carrier Systems  
2. DTCC Systems  
3. DTCC Producer Management Portal  
| **Additional Assumptions:** | • Carrier is a NSCC member and LNA user.  
• Carrier populates Portal with the producer training authorizations.  
• URL connections are set up and active.  
• One or more training completions have been found. |
| **Steps:** | 1. Distributor back office system transmits producer inquiry based on a specific producer ID (SSN) via TXLife 22815 message to DTCC.  
2. DTCC systems receives message.  
3. DTCC performs validation for schema and business rules, finds no error in message and sends message to Producer Portal.  
5. Producer Portal processes producer inquiry message and builds response including all available product and state training authorizations from table 2 & 3.  
6. DTCC sends response message to the Requestor.  
7. Requestor receives TXLife 22815 response message with appropriate success status. |
<table>
<thead>
<tr>
<th><strong>Use Case ID:</strong></th>
<th>2A.2</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Use Case Title:</strong></td>
<td>Producer Inquiry request – Success with Information – Producer Not Found result (electronic application submission)</td>
</tr>
<tr>
<td><strong>Use Case Description:</strong></td>
<td>Distributor submits a Producer Inquiry to request all training authorizations based on a specific producer ID; however, the producer ID is not found in the Portal.</td>
</tr>
</tbody>
</table>
| **Actors:** | Distributor Financial Advisor  
Distributor Annuity case managers  
Distributor Licensing department  
Insurance Carrier licensing department |
| **Systems:** | Affirm annuity order entry system (Electronic orders)  
Distributor back office application (Paper/Manual, electronic) |
| **Additional Assumptions:** | Orders can be completed electronically via electronic order vendor interface. |
| **Steps:** | 1. Distributor agent enters order via annuity order entry system. Distributor license/appointment check is completed at the end of the order as part of order validation resulting in a web service callout to DTCC portal which passes structured query containing all data elements for PTC.  
2. If agent not found in portal, agent receives ‘Agent Not Found’ message which will ask agent to contact distributor licensing department.  
3. Once contacted, distributor licensing department will contact carrier. If product training not completed with carrier, order will be hard stopped and not proceed further. Distributor license department send a business rejection letter to agent.  
4. If carrier verifies PT completed, distributor licensing department will override the check by adding an entry to the exception table. When agent re-verifies order, Distributor license/appointment check will find entry in “manual override/exception” table and allow order to proceed. |
<table>
<thead>
<tr>
<th>Use Case ID:</th>
<th>2A.2.1</th>
</tr>
</thead>
<tbody>
<tr>
<td>Use Case Title:</td>
<td>Producer Inquiry request – Success with Information – Producer Not Found result <em>(manual paper application)</em></td>
</tr>
<tr>
<td>Use Case Description:</td>
<td>Distributor submits a Producer Inquiry to request all training authorizations based on a specific producer ID; however, the producer ID is not found in the Portal.</td>
</tr>
</tbody>
</table>
| Actors: | Distributor Financial Advisor  
Distributor Annuity case managers  
Distributor Licensing department  
Insurance Carrier licensing department  
Systems:  
Distributor back office application (Paper/Manual, electronic) |
| Additional Assumptions: | Orders can be completed manually (paper) in distributor back office application.  
Propose that distributor will create “manual override/exception” table that will be checked before web service callout to DTCC portal. If agent and associated appointment present there, callout to DTCC portal will be skipped and then logged for auditing purposes. This will allow for a manual override for unique situations and ‘Just-In-Time’ appointment situations. |
| Steps: | 1. Annuity case manager enters paper order data, As part of data validation, callout to web service to DTCC passes structured query containing all data elements.  
2. If agent not found in portal, agent receives ‘Agent Not Found’ message which will ask agent to contact distributor licensing department.  
3. Once contacted, distributor licensing department will contact carrier. If product training not completed with carrier, order will be hard stopped and not proceed further. Distributor license department send a business rejection letter to agent.  
4. If carrier verifies PT completed, distributor licensing department will override the check by adding an entry to the exception table. When agent re-verifies order, Distributor license/appointment check will find entry in “manual override/exception” table and allow order to proceed. |
<table>
<thead>
<tr>
<th>Use Case ID:</th>
<th>2A.3</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Use Case Title:</strong></td>
<td>Producer Inquiry request - Fail - Rejected by DTCC due to schema formatting</td>
</tr>
<tr>
<td><strong>Use Case Description:</strong></td>
<td>Distributor submits a Producer Inquiry to request all training authorizations based on the message rejecting by DTCC due to schema formatting issues. <em>(error code: TBD)</em></td>
</tr>
</tbody>
</table>
| **Actors:** | Distributor Financial Advisor  
Distributor Annuity case managers  
Distributor Licensing department  
Distributor IT department |
| **Systems:** | Affirm annuity order entry system (Electronic orders)  
Distributor back office application (Paper/Manual, electronic) |
| **Additional Assumptions:** | Orders can be completed electronically via order entry vendor interface. |
| **Steps:** | 1. Distributor agent enters order vie annuity order entry system. Distributor license/ appointment check is completed at the end of the order as part of order validation resulting in a web service callout to DTCC portal which passes structured query containing all data elements for PTC.  
2. If error code for formatting is generated by DTCC, the web service will generate an error message for the agent advising him of the error and to contact the distributor licensing department. In addition, an email to distributor licensing and IT departments will be systematically generated with details of the error so issues can be remedied.  
3. If issue cannot be remedied, the distributor licensing department has the option hard stopping the order or creates an override process to allow the business to proceed. |
<table>
<thead>
<tr>
<th>Use Case ID:</th>
<th>2A.4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Use Case Title:</td>
<td>Producer Inquiry request - - Fail – Rejected by DTCC due to business rule edit rejects</td>
</tr>
<tr>
<td>Use Case Description:</td>
<td>Distributor submits a Producer Inquiry to request all training authorizations based on the message rejecting by DTCC due to business rule edit rejects. (error code: TBD)</td>
</tr>
</tbody>
</table>
| Actors:         | Distributor Financial Advisor  
|                 | Distributor Annuity case managers  
|                 | Distributor Licensing department  
|                 | Distributor IT department  
| Systems:        | Affirm annuity order entry system (Electronic orders)  
|                 | Distributor back office application (Paper/Manual, electronic) |
| Additional Assumptions: | Orders can be completed electronically via Affirm interface or manually (paper) in distributor back office application. |
| Steps:          | 1. Distributor agent enters order via annuity order entry system. Distributor license/ appointment check is completed at the end of the order as part of order validation resulting in a web service callout to DTCC portal which passes structured query containing all data elements for PTC.  
|                 | 2. If error code for business rule edit rejects is generated by DTCC, the web service will generate an error message for the agent advising him of the error and to contact the distributor licensing department. In addition, an email to distributor licensing and IT departments will be systematically generated with details of the error so issues can be remedied.  
<p>|                 | 3. If issue cannot be remedied, the distributor licensing department has the option hard stopping the order or creates an override process to allow the business to proceed. |</p>
<table>
<thead>
<tr>
<th><strong>Use Case ID:</strong></th>
<th>2A.5</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Use Case Title:</strong></td>
<td>Producer Inquiry request – Success with Information – Distributor Affiliation Does Not Match/Exist result</td>
</tr>
<tr>
<td><strong>Use Case Description:</strong></td>
<td>Distributor submits a Producer Inquiry to request all training authorizations based on the message rejecting by DTCC due to Distributor Affiliation Does Not Match. (error code: 4203)</td>
</tr>
</tbody>
</table>
| **Actors:** | Distributor Financial Advisor  
Distributor Annuity case managers  
Distributor Licensing department  
Insurance Carrier licensing department |
| **Systems:** | Affirm annuity order entry system (Electronic orders)  
Distributor back office application (Paper/Manual, electronic) |
| **Additional Assumptions:** | • Orders can be completed electronically via Affirm interface or manually (paper) in distributor back office application.  
• Propose that distributor will create “manual override/exception” table that will be checked before web service callout to DTCC portal. If agent and associated appointment present there, callout to DTCC portal will be skipped and then logged for auditing purposes. This will allow for a manual override for unique situations and ‘Just-In-Time’ appointment situations. |
| **Steps:** | 1. Distributor agent enters order via annuity order entry system. Distributor license/appointment check is completed at the end of the order as part of order validation resulting in a web service callout to DTCC portal which passes structured query containing all data elements for PTC.  
2. If error code for business rule edit rejects is generated by DTCC, the web service will generate an error message for the agent advising him of the error and to contact the distributor licensing department. In addition, an email to distributor licensing and IT departments will be systematically generated with details of the error so issues can be remedied.  
3. If issue cannot be remedied, the distributor licensing department has the option hard stopping the order or creates an override process to allow the business to proceed. |
## 2 – Training Validation Use Cases

2.B Requestor submits a "Is the Producer Trained" training inquiry request for a specific sale (228-14)

<table>
<thead>
<tr>
<th>Use Case ID:</th>
<th>2B.1</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Use Case Title:</strong></td>
<td>Training Inquiry request – Success - Successful result</td>
</tr>
<tr>
<td><strong>Use Case Description:</strong></td>
<td>Distributor submits a Producer Inquiry to request a training authorization based on specific sale attributes with successful result of “producer trained” via DTCC Web Portal user interface. (Producer Training Inquiry)</td>
</tr>
<tr>
<td><strong>Actors:</strong></td>
<td>1. Insurance Carrier Systems&lt;br&gt;2. DTCC Systems&lt;br&gt;3. DTCC Producer Management Portal&lt;br&gt;4. Distributor Back Office&lt;br&gt;5. DTCC Web Portal</td>
</tr>
<tr>
<td><strong>Additional Assumptions:</strong></td>
<td>• Carrier is a NSCC member and LNA user.&lt;br&gt;• Carrier populates Portal with the producer training authorizations.&lt;br&gt;• SAC is set up for PMP.&lt;br&gt;• One or more training completions have been found.</td>
</tr>
<tr>
<td><strong>Steps:</strong></td>
<td>1. Distributor back office system signs into DTCC Web Portal and submits a Producer Training inquiry based on a specific producer ID (SSN) and sale attributes.&lt;br&gt;2. DTCC systems receive inquiry.&lt;br&gt;3. Producer Portal processes producer inquiry message and builds response training authorization details from table 2 &amp; 3.&lt;br&gt;4. DTCC sends response message to the Requestor and forwards results to DTCC Web Portal.&lt;br&gt;5. User has the ability to save to .pdf and print, if applicable.</td>
</tr>
<tr>
<td>Use Case ID:</td>
<td>2B.1.1</td>
</tr>
<tr>
<td>-------------------</td>
<td>--------</td>
</tr>
<tr>
<td>Use Case Title:</td>
<td>Training Inquiry request – Success - Successful result</td>
</tr>
<tr>
<td>Use Case Description:</td>
<td>Distributor submits a Producer Inquiry to request a training authorization based on specific sale attributes with successful result of &quot;producer trained&quot; <strong>via B2B web service 22814 message.</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Actors:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Insurance Carrier Systems</td>
</tr>
<tr>
<td>2. DTCC Systems</td>
</tr>
<tr>
<td>3. DTCC Producer Management Portal</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Additional Assumptions:</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Carrier is a NSCC member and LNA user.</td>
</tr>
<tr>
<td>- Carrier populates Portal with the producer training authorizations.</td>
</tr>
<tr>
<td>- URL connections are set up and active.</td>
</tr>
<tr>
<td>- One or more training completions have been found.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Steps:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Distributor back office system transmits producer inquiry based on a specific producer ID (SSN) via TXLife 22814 message to DTCC.</td>
</tr>
<tr>
<td>2. DTCC systems receives message.</td>
</tr>
<tr>
<td>3. DTCC performs validation for schema and business rules, finds no error in message and sends message to Producer Portal.</td>
</tr>
<tr>
<td>5. Producer Portal processes producer inquiry message and builds response based on the sale attributes from table 2 &amp; 3.</td>
</tr>
<tr>
<td>6. DTCC sends response message to the Requestor.</td>
</tr>
<tr>
<td>7. Requestor receives TXLife 22814 response message with appropriate success status.</td>
</tr>
<tr>
<td><strong>Use Case ID:</strong></td>
</tr>
<tr>
<td>------------------</td>
</tr>
<tr>
<td><strong>Use Case Title:</strong> Training Inquiry request – Success with Information – Producer Not Found result via B2B web service 22814 message.</td>
</tr>
<tr>
<td><strong>Use Case Description:</strong> Business Scenario: Distributor submits a Producer Inquiry to request a training authorization based on specific sale attributes with a result of “Producer Not Found.” (error code: 4202)</td>
</tr>
<tr>
<td><strong>Actors:</strong> 1) Distributor or/ Distributor Back Office 2) Distributor Systems - B2B Web Services 3) DTCC Web Portal 4) DTCC Producer Management Portal 5) DTCC Systems</td>
</tr>
<tr>
<td><strong>Additional Assumptions:</strong> 1) Producer is present in the Distributor system 2) Producer is not present in the DTCC Producer Management Portal</td>
</tr>
<tr>
<td><strong>Steps:</strong> 1) Distributor back office system transmits a producer inquiry for a specific producer ID (SSN) to the DTCC. 2) DTCC receives the message. 3) DTCC validates the message based on schema and business rules. 4) DTCC Producer Portal processes producer inquiry message. 5) DTCC Producer Portal finds no match for the producer ID presented and returns appropriate reject message (TBD) to Distributor. 6) Distributor receives Result Info code = 4202 “Producer Not Found” result from DTCC.</td>
</tr>
<tr>
<td><strong>Use Case ID:</strong></td>
</tr>
<tr>
<td>------------------</td>
</tr>
<tr>
<td><strong>Use Case Title:</strong></td>
</tr>
<tr>
<td><strong>Use Case Description:</strong></td>
</tr>
</tbody>
</table>
| **Actors:** | 1) Distributor Back Office  
2) Distributor Systems - B2B Web Services  
3) DTCC Web Portal  
4) DTCC Producer Management Portal  
5) DTCC Systems |
| **Additional Assumptions:** | Producer is present in the Distributor system  
Producer is not present in the DTCC Producer Management Portal  
Error Code will be determined prior to finalizing the requirements. |
| **Steps:** | 1) Distributor back office system transmits a producer inquiry for a specific producer ID (SSN) to the DTCC.  
2) DTCC receives the message.  
3) DTCC validates the message based on schema and business rules.  
4) DTCC Producer Portal processes producer inquiry message.  
5) DTCC Producer Portal finds no match for the producer ID presented and returns appropriate reject message (TBD) to Distributor.  
6) Distributor receives Result Info Code = 4202 “Producer Not Found” result from DTCC. |
<table>
<thead>
<tr>
<th>Use Case ID:</th>
<th>2B.3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Use Case Title:</td>
<td>Training Inquiry request – Fail - Rejected by DTCC due to schema formatting</td>
</tr>
<tr>
<td>Use Case Description:</td>
<td>Business Scenario: Distributor submits a Producer Inquiry to request a training authorization based on specific sale attributes was rejected by DTCC due to schema formatting errors (error code: TBD)</td>
</tr>
</tbody>
</table>
| Actors: | 1) Distributor Back Office  
2) Distributor Systems - B2B Web Services  
3) DTCC Systems |
| Additional Assumptions: | Producer is present in the Distributor system  
Data information for this request is not in good order |
| Steps: | 1) Distributor back office system transmits a producer inquiry for a specific producer ID (SSN) and specific sale attributes to the DTCC.  
2) DTCC receives the message.  
3) DTCC validates the message based on schema and business rules.  
4) Message fails schema formatting  
5) DTCC returns appropriate reject message (TBD) to Distributor.  
6) Distributor receives reject result with reason code from DTCC. |
### Use Case ID: 2B.4

### Use Case Title: Training Inquiry request – Fail - Rejected by DTCC due to business rule edit rejects.

### Use Case Description:
Distributor submits a Producer Inquiry via B2B web service 22814 message to request a training authorization based on specific sale attributes was rejected by DTCC due to **business rule edit rejects** (error code: TBD).

### Actors:
1) Distributor Annuity Order Entry System - B2B Web Services  
2) DTCC Systems  
3) DTCC Producer Management Portal

### Additional Assumptions:
1) Producer is populated in the Distributor system  
2) Producer is populated in the DTCC Producer Management Portal  
3) Producer has state and product training records in the DTCC Producer Management Portal with the correct application state, carrier, CUSIP, and effective date

### Steps:
1) Distributor Annuity Order Entry System - B2B Web Services submits a Producer Inquiry to request a training authorization based on specific sale attributes to DTCC, using B2B web service 22814 message  
2) DTCC receives the message  
3) DTCC validates the message based on schema rules with success  
4) DTCC validates the message based on business rule edits rejects it  
5) DTCC returns appropriate reject message (TBD) to Distributor  
6) Distributor receives reject message (TBD) result from DTCC
<table>
<thead>
<tr>
<th>Use Case ID:</th>
<th>2B.5</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Use Case Title:</strong></td>
<td>Training Inquiry request – Success with Information Product Training Requirement is Not Found result</td>
</tr>
<tr>
<td><strong>Use Case Description:</strong></td>
<td>Business Scenario: Distributor submits a Producer Inquiry <a href="#">via B2B web service 22814 message</a> to request a training authorization based on specific sale attributes was successful but with response of <strong>Product Training not found</strong>. (result info code: 4208)</td>
</tr>
</tbody>
</table>
| **Actors:** | 1) Distributor Annuity Order Entry System - B2B Web Services  
2) DTCC Systems  
3) DTCC Producer Management Portal |
| **Additional Assumptions:** | 1) Producer is populated in the Distributor system  
2) Producer is populated in the DTCC Producer Management Portal  
3) Producer has product training records in the DTCC Producer Management Portal for some CUSIPs for the test carrier, but not for the test CUSIP  
4) Error Code will be determined prior to finalizing the requirements |
| **Steps:** | 1) Distributor Annuity Order Entry System - B2B Web Services submits a Producer Inquiry to request a training authorization based on specific sale attributes to DTCC, using B2B web service 22814 message  
2) DTCC receives the message  
3) DTCC performs validation for schema and business rules, finds no error in message and sends message to Producer Management Portal  
4) Producer Management Portal receives producer inquiry TXLife 22814 message  
5) Producer Management Portal processes producer inquiry message and builds response based on the sale attributes but does not find the correct product training  
6) DTCC returns appropriate reject message for “Product Training not found” (TBD) to Distributor  
7) Distributor receives Success with Information response message with Result Info code = 4208 from DTCC |
<table>
<thead>
<tr>
<th>Use Case ID:</th>
<th>2B.5.1</th>
</tr>
</thead>
<tbody>
<tr>
<td>Use Case Title:</td>
<td>Training Inquiry request – Success with Information</td>
</tr>
</tbody>
</table>

| Use Case Description: | Business Scenario: Distributor submits a Producer Inquiry via DTCC Web Portal user interface to request a training authorization based on specific sale attributes was successful but with response of **Product Training not found**. (result info code: 4208) |

| Actors: | 1) DTCC Web Portal user interface  
2) DTCC Systems  
3) DTCC Producer Management Portal |

| Additional Assumptions: | 1) Producer is populated in the DTCC Producer Management Portal  
2) Producer has product training records in the DTCC Producer Management Portal for some CUSIPs for the test carrier, but not for the test CUSIP |

| Steps: | 1) User submits a Producer Inquiry to request a training authorization based on specific sale attributes to DTCC, using DTCC Web Portal user interface  
2) DTCC receives the message  
3) DTCC performs validation for schema and business rules, finds no error in message and sends message to Producer Management Portal  
4) Producer Management Portal receives producer inquiry TXLife 22814 message  
5) Producer Management Portal processes producer inquiry message and builds response based on the sale attributes but does not find the correct product training  
6) DTCC returns appropriate reject message for “Product Training not found” (TBD) to Distributor  
7) DTCC Web Portal user interface receives Success with information message with result info code = 4208  
8) User may save results to pdf for audit purposes. |
<table>
<thead>
<tr>
<th><strong>Use Case ID:</strong></th>
<th>2B.6</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Use Case Title:</strong></td>
<td>Training Inquiry request – Success with Information – State Training Not Found result</td>
</tr>
<tr>
<td><strong>Use Case Description:</strong></td>
<td>Business Scenario: Distributor submits a Producer Inquiry via B2B web service 22814 message to request a training authorization based on specific sale attributes was successful but with response of <strong>State Training not found</strong>. (Result Info code: 4204)</td>
</tr>
</tbody>
</table>
| **Actors:** | 1) Distributor Annuity Order Entry System - B2B Web Services  
2) DTCC Systems  
3) DTCC Producer Management Portal |
| **Additional Assumptions:** | 1) Producer is populated in the Distributor system  
2) Producer is populated in the DTCC Producer Management Portal  
3) Producer has state training records in the DTCC Producer Management Portal for states other than the application state, but not for the test application state  
4) Error Code will be determined prior to finalizing the requirements |
| **Steps:** | 1) Distributor Annuity Order Entry System - B2B Web Services submits a Producer Inquiry to request a training authorization based on specific sale attributes to DTCC, using B2B web service 22814 message  
2) DTCC receives the message  
3) DTCC performs validation for schema and business rules, finds no error in message and sends message to Producer Management Portal  
4) DTCC Producer Management Portal receives producer inquiry TXLife 22814 message  
5) Producer Management Portal processes producer inquiry message and builds response based on the sale attributes but does not find the correct state training  
6) DTCC returns appropriate reject message for “State Training not found” (TBD) to Distributor  
7) Distributor receives Success with Information message with Result Info Code = 4204 result from DTCC |
<table>
<thead>
<tr>
<th>Use Case ID:</th>
<th>2B.6.1</th>
</tr>
</thead>
<tbody>
<tr>
<td>Use Case Title:</td>
<td>Training Inquiry request – Success with Information – State Training Not Found result</td>
</tr>
<tr>
<td>Use Case Description:</td>
<td>Business Scenario: Distributor submits a Producer Inquiry via <a href="#">DTCC Web Portal user interface</a> to request a training authorization based on specific sale attributes was successful but with response of <a href="#">State Training not found</a>. (Result Info code: 4204)</td>
</tr>
</tbody>
</table>
| Actors: | 1) DTCC Web Portal user interface  
2) DTCC Systems  
3) DTCC Producer Management Portal |
| Additional Assumptions: | 1) Producer is populated in the DTCC Producer Management Portal  
2) Producer has state training records in the DTCC Producer Management Portal for states other than the application state, but not for the test application state  
3) Error Code will be determined prior to finalizing the requirements |
| Steps: | 1) User submits a Producer Inquiry to request a training authorization based on specific sale attributes to DTCC, using DTCC Web Portal user interface  
2) DTCC receives the message  
3) DTCC performs validation for schema and business rules, finds no error in message and sends message to Producer Management Portal DTCC  
4) Producer Management Portal receives producer inquiry TXLife 22814 message  
5) Producer Management Portal processes producer inquiry message and builds response based on the sale attributes but does not find the correct state training  
6) DTCC returns appropriate reject message for “State Training not found” (TBD) to DTCC Web Portal user interface  
7) DTCC Web Portal user interface receives Success with Information message with Result Info code 4204.  
8) User may save to pdf for audit purposes. |
| **Use Case ID:** | 2B.7 |
| **Use Case Title:** | Training Inquiry request – Success with Information – State Training Requirement Has Not Been Met – (with Carrier specific reason included) result |
| **Use Case Description:** | Business Scenario: Distributor submits a Producer Inquiry via B2B web service 22814 message to request a training authorization based on specific sale attributes was successful but with response of state training has not been met with carrier specific reason included. |
| **Actors:** | 1) Distributor Annuity Order Entry System - B2B Web Services  
2) DTCC Systems  
3) DTCC Producer Management Portal |
| **Additional Assumptions:** | 1) Producer is populated in the Distributor system  
2) Producer is populated in the DTCC Producer Management Portal  
3) Producer has state training records in the DTCC Producer Management Portal for the test application state but the carrier has sent a PR 17 record with a Satisfied Indicator = N with the appropriate reason code.  
4) Error Code will be determined prior to finalizing the requirements |
| **Steps:** | 1) Distributor Annuity Order Entry System - B2B Web Services submits a Producer Inquiry to request a training authorization based on specific sale attributes to DTCC, using B2B web service 22814 message  
2) DTCC receives the message.  
3) DTCC performs validation for schema and business rules, finds no error in message and sends message to Producer Management Portal DTCC  
4) Producer Management Portal receives producer inquiry TXLife 22814 message  
5) Producer Management Portal processes producer inquiry message and builds response based on the sale attributes but finds the correct state training  
6) DTCC returns appropriate reject message for “State Training has not been met”. A carrier specific reason attached  
7) Distributor receives Success with Information response message with carrier specific reason from DTCC. |
<table>
<thead>
<tr>
<th>Use Case ID:</th>
<th>2B.7.1</th>
</tr>
</thead>
<tbody>
<tr>
<td>Use Case Title:</td>
<td>Training Inquiry request – Success with Information – State Training Requirement Has Not Been Met – (with Carrier specific reason included) result</td>
</tr>
<tr>
<td>Use Case Description:</td>
<td>Business Scenario: Distributor submits a Producer Inquiry via DTCC Web Portal user interface to request a training authorization based on specific sale attributes was successful but with response of state training has not been met with carrier specific reason included. (</td>
</tr>
</tbody>
</table>
| Actors: | 1) DTCC Web Portal user interface  
2) DTCC Systems  
3) DTCC Producer Management Portal |
| Additional Assumptions: | 1) Producer is populated in the Distributor system  
2) Producer is populated in the DTCC Producer Management Portal  
3) Producer has state training records in the DTCC Producer Management Portal for the test application state but the carrier has sent a PR 17 record with a Satisfied Indicator = N with the appropriate reason code.  
4) Error Code will be determined prior to finalizing the requirements |
| Steps: | 1) User submits a Producer Inquiry to request a training authorization based on specific sale attributes to DTCC, using DTCC Web Portal user interface  
2) DTCC receives the message  
3) DTCC performs validation for schema and business rules, finds no error in message and sends message to Producer Management Portal  
4) DTCC Producer Management Portal receives producer inquiry TXLife 22814 message  
5) Producer Management Portal processes producer inquiry message and builds response based on the sale attributes but finds the correct state training however, carrier has indicated that state training requirement is not satisfied.  
6) DTCC returns appropriate reject message for “State Training has not been met”. A carrier specific reason is also included (TBD) to user interface.  
7) DTCC Web Portal user interface receives Success with Information message with appropriate carrier specific reason code.  
8) User may save results to pdf for audit purposes. |
**Use Case ID:** 2B.8

**Use Case Title:** Training Inquiry request – Success with Information – State Training Has Expired result

**Use Case Description:** Distributor submits a Producer Inquiry to request a training authorization based on specific sale attributes was successful but with response of State Training Has Expired. (Result Info code: 4205)

**Actors:**
1. Distributor
2. DTCC Producer Management Portal
3. Producer
4. Carrier

**Additional Assumptions:**
- Producer training loaded by carrier
- State and product training loaded by carrier
- State Training Expiration Date populated with a past date
- State Training Master table populated with “Yes”

**Steps:**
1. Distributor inquiry via Producer Management Portal or UI by providing:
   a. Producer ID
   b. Product CUSIP ID
   c. Application State
   d. Application Date
2. DTCC queries Producer Management Portal to verify Producer has the appropriate training to sale the identified product in that state.
3. Producer Management Portal builds and presents a response indicating that “Product Training requirements are met”, “State Training required for this product sale has expired”
4. Producer contacts training provider/CE vendor for required State training
<table>
<thead>
<tr>
<th>Use Case ID:</th>
<th>2B.9</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Use Case Title:</strong></td>
<td>Training inquiry request – Success with Information - State Does Not Require Producer Training result</td>
</tr>
<tr>
<td><strong>Use Case Description:</strong></td>
<td>Distributor submits a Producer Inquiry to request a training authorization based on specific sale attributes was successful but with a response of application state does not require producer training based on State Master table. (Result Info code: 4200)</td>
</tr>
</tbody>
</table>
| **Actors:**       | 1. Distributor  
|                   | 2. DTCC Producer Management Portal UI  
|                   | 3. Producer  
|                   | 4. Carrier |
| **Additional Assumptions:** | • Producer training loaded by carrier  
|                   | • Product training loaded by carrier  
|                   | • State Training Master table populated with “No” for the specific state. |
| **Steps:**        | 1. Distributor inquiry via Producer Management Portal Access by providing:  
|                   | a. Producer ID  
|                   | b. Product CUSIP ID  
|                   | c. Application State  
|                   | d. Application Date  
|                   | 2. DTCC verifies on State Master table that producer training is required for product training but not for state training for the application state.  
|                   | 3. DTCC queries Producer Management Portal to verify Producer has the appropriate training to sale the identified product in that state.  
|                   | 4. Producer Management Portal builds and presents a response indicating that “Product Training
requirements are met”, “State Training is not currently required for this product sale” with a Result Info code = 4201.
<table>
<thead>
<tr>
<th>Use Case ID:</th>
<th>2B.10</th>
</tr>
</thead>
<tbody>
<tr>
<td>Use Case Title:</td>
<td>Training inquiry request – Success with Information - State Training Not Required by State</td>
</tr>
<tr>
<td>Use Case Description:</td>
<td>Distributor submits a Producer Inquiry to request a training authorization based on specific sale attributes was successful but with a response application state does not require state level CE training. (Result Info code: 4200)</td>
</tr>
</tbody>
</table>
| Actors:             | 1. Insurance Carrier Systems  
                      2. DTCC Systems  
                      3. DTCC Producer Management Portal  
| Additional Assumptions: | • Carrier is a NSCC member and LNA user.  
                                • Carrier populates Portal with the producer training authorizations.  
                                • URL connections are set up and active. |
| Steps:              | 1. Distributor back office system transmits producer inquiry based on a specific producer ID (SSN) via TXLife 22814 message to DTCC.  
                                2. DTCC systems receives message.  
                                3. DTCC performs validation for schema and business rules, finds no error in message and sends message to Producer Portal.  
                                5. DTCC verifies on State Master table that producer training is required for product training but not for state training for the application state.  
                                7. DTCC sends response message to the Requestor indicating that State Training is not required.  
                                8. Requestor receives TXLife 22814 response |
<p>| message with appropriate Success with Information status and Result Info code of 4200. |  |</p>
<table>
<thead>
<tr>
<th>Use Case ID:</th>
<th>2B.11</th>
</tr>
</thead>
<tbody>
<tr>
<td>Use Case Title:</td>
<td>Training Inquiry request – Product Training Not Required by State</td>
</tr>
<tr>
<td>Use Case Description:</td>
<td>Distributor submits a Producer Inquiry to request a training authorization based on specific sale attributes was successful but with a response application state does not require product training. (Result Info code: 4201)</td>
</tr>
</tbody>
</table>

| Actors: | 1. Insurance Carrier Systems  
2. DTCC Systems  
3. DTCC Producer Management Portal  
| Additional Assumptions: |  
- Producer training loaded by carrier  
- State training loaded by carrier  
- State Training Master table populated with “Yes” but product training is populated with ‘no.’ |

| Steps: | 1. Distributor inquiry via Producer Management Portal by providing via B2B web service:  
   a. Producer ID  
   b. Product CUSIP ID  
   c. Application State  
   d. Application Date  
2. DTCC verifies on State Master table that producer training is not required for product training but for state training for the application state.  
3. DTCC queries Producer Management Portal to verify Producer has the appropriate state training to sale in the application state.  
4. Producer Management Portal builds and presents a response product training is not required by state due to the State Master table. State training was validated based on table 2.  
5. DTCC sends 228 response to the requestor with status code of “Success with Information” and appropriate error code of 4201. |
<table>
<thead>
<tr>
<th>Use Case ID:</th>
<th>2B.12</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Use Case Title:</strong></td>
<td>Training Inquiry request – Success with Information – Distributor Affiliation Does Not Match/Exist result</td>
</tr>
<tr>
<td><strong>Use Case Description:</strong></td>
<td>Distributor submits a Producer Inquiry to request a training authorization based on specific sale attributes was successful but with a response of Distributor affiliation does not match requestor. (Result Info Code: 4203)</td>
</tr>
</tbody>
</table>
| **Actors:** | 1. Distributor  
2. DTCC Producer Management Portal  
3. Producer  
4. Carrier |
| **Additional Assumptions:** |  
• Producer training loaded by carrier  
• State and product training loaded by carrier  
• State Training Master table populated with effective date of state and product training |
| **Steps:** | 1. Distributor inquiry via Producer Management Portal or UI by providing:  
   a. Producer ID  
   b. Product CUSIP ID  
   c. Application State  
   d. Application Date  
2. DTCC queries Producer Management Portal to verify Producer has the appropriate training to sale the identified product in that state.  
3. DTCC validates the producer's distributor affiliation and determines the requester is not the stored distributor of record.  
4. Producer Management Portal builds and presents Success with Information response that “Product Training requirements are met”, however result info code of 4203 “State Training requirements are met”, and “Producer is not currently affiliated with
distributor in carriers system. Therefore producer affiliation needs to be obtained by contacting the carrier directly.”
<table>
<thead>
<tr>
<th>Use Case ID:</th>
<th>2B.13</th>
</tr>
</thead>
<tbody>
<tr>
<td>Use Case Title:</td>
<td>Training Inquiry Request-Success with Information-Application date prior to state training effective date result</td>
</tr>
<tr>
<td>Use Case Description:</td>
<td>Distributor submits a Producer Inquiry to request a training authorization based on specific attributes was successful with information due to the application date being prior to the effective date of the producer’s state training course completion reject (Result Info code: 4206)</td>
</tr>
</tbody>
</table>
| Actors: | 1. Distributor Systems  
2. DTCC Producer Management Portal  
3. Possibly Ebix or Aplifi systems depending on scenario |
| Additional Assumptions: | 1. Carrier is a user of the DTCC Portal  
2. Distributor is a user of the DTCC Portal  
3. Carrier populates DTCC Portal with producer training authorizations  
4. State and product training are complete |
| Steps: | 1. Distributor submits inquiry including rep’s SSN to DTCC  
2. DTCC checks for data in the Portal  
3. DTCC responds to distributor with appropriate rejection code after check for state training returns that the rep does not have a valid training  
4. Distributor receives Success with Information status with Result Info Code of 4206 and will be able to take appropriate action. |
<table>
<thead>
<tr>
<th>Use Case ID:</th>
<th>2B.14</th>
</tr>
</thead>
<tbody>
<tr>
<td>Use Case Title:</td>
<td>Training Inquiry request – Success with Information – Application Date Prior to Product Effective Date result. (via DTCC Web Portal user interface)</td>
</tr>
<tr>
<td>Use Case Description:</td>
<td>Distributor submits a Producer Inquiry to request a training authorization based on specific sale attributes; the message was successful however due to the application date being prior to the effective of the producer’s product training completion reject. (error code: 4207)</td>
</tr>
</tbody>
</table>
| Actors: | 1. Distributor  
2. DTCC Producer Management Portal  
3. Producer  
4. Carrier |
| Additional Assumptions: |  
- Producer training loaded by carrier  
- State and product training loaded by carrier  
- State Training Master table populated with effective date of state and product training |
| Steps: | 1. Distributor inquiry via user interface by providing:  
   a. Producer ID  
   b. Product CUSIP ID  
   c. Application State  
   d. Application Date  
2. DTCC queries Producer Management Portal to verify Producer has the appropriate training to sale the identified product in that state.  
3. Producer Management Portal builds and presents a Success with Information status response indicating due to the application date being prior to the effective of the producer’s product training completion reject and sends the response to the requester on the user interface with the appropriate error code (4207.) |
<table>
<thead>
<tr>
<th>Use Case ID:</th>
<th>2B.14.1</th>
</tr>
</thead>
<tbody>
<tr>
<td>Use Case Title:</td>
<td>Training Inquiry request – Success with Information – Application Date Prior to Product Effective Date result. (via B2B web service 22814 message)</td>
</tr>
<tr>
<td>Use Case Description:</td>
<td>Distributor submits a Producer Inquiry real time training authorization based on specific attributes; message was successful however due to the application date being prior to the effective of the producer’s product training completion reject. (error code: 4207)</td>
</tr>
</tbody>
</table>
| Actors: | 1. Distributor  
2. DTCC Producer Management Portal  
3. Producer  
4. Carrier |
| Additional Assumptions: | • Producer training loaded by carrier  
• State and product training loaded by carrier  
• State Training Master table populated with effective date of state and product training |
a. Producer ID  
b. Product CUSIP ID  
c. Application State  
d. Application Date  
2. DTCC receives the 228 message and validates schema and business rules and accepts message for processing.  
3. DTCC queries Producer Management Portal to verify Producer has the appropriate training to sale the identified product in that state.  
4. Producer Management Portal builds and presents a Success with Information status response indicating due to the application date being prior to the effective of the producer’s product training completion reject and sends the response to the requester via 228 response message with the |
appropriate error code of 4207.
<table>
<thead>
<tr>
<th>Use Case ID:</th>
<th>2B.15</th>
</tr>
</thead>
<tbody>
<tr>
<td>Use Case Title:</td>
<td>Training Inquiry request – Success with Information – Application Date Prior to Product Effective Date result. (via DTCC Web Portal user interface)</td>
</tr>
<tr>
<td>Use Case Description:</td>
<td>Distributor submits a Producer Inquiry to request a training authorization based on specific sale attributes; message was successful however due to the application date being prior to the effective of the producer’s product training completion reject. (error code: 4207)</td>
</tr>
</tbody>
</table>
| Actors:           | 1. Distributor  
2. DTCC Producer Management Portal  
3. Producer  
4. Carrier |
| Additional Assumptions: | • Producer training loaded by carrier  
• State and product training loaded by carrier  
• State Training Master table populated with effective date of state and product training |
| Steps:            | 1. Distributor inquiry via user interface by providing:  
   a. Producer ID  
   b. Product CUSIP ID  
   c. Application State  
   d. Application Date  
2. DTCC queries Producer Management Portal to verify Producer has the appropriate training to sale the identified product in that state.  
3. Producer Management Portal builds and presents a Success with Information status response indicating due to the application date being prior to the effective of the producer’s product training completion reject and sends the response to the requester on the user interface with the appropriate error code of 4207.  
4. User has the ability to save to pdf for audit purposes. |
<table>
<thead>
<tr>
<th><strong>Use Case ID:</strong></th>
<th>2B.15.1</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Use Case Title:</strong></td>
<td>Training Inquiry request – Success with Information – Application Date Prior to Product Effective Date result. (via B2B web service 22814 message)</td>
</tr>
<tr>
<td><strong>Use Case Description:</strong></td>
<td>Distributor submits a Producer Inquiry real time training authorization based on specific attributes; message was successful however due to the application date being prior to the effective of the producer’s product training completion reject. (error code: 4207)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Actors:</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Distributor</td>
</tr>
<tr>
<td>2. DTCC Producer Management Portal</td>
</tr>
<tr>
<td>3. Producer</td>
</tr>
<tr>
<td>4. Carrier</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Additional Assumptions:</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>• Producer training loaded by carrier</td>
</tr>
<tr>
<td>• State and product training loaded by carrier</td>
</tr>
<tr>
<td>• State Training Master table populated with effective date of state and product training</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Steps:</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Distributor inquiry via Producer Management Portal by providing via 22814 web service:</td>
</tr>
<tr>
<td>a. Producer ID</td>
</tr>
<tr>
<td>b. Product ID</td>
</tr>
<tr>
<td>c. Application State</td>
</tr>
<tr>
<td>d. Application Date</td>
</tr>
<tr>
<td>2. DTCC queries Producer Management Portal to verify Producer has the appropriate training to sale the identified product in that state.</td>
</tr>
<tr>
<td>3. Producer Management Portal builds and presents a Success with Information status response indicating due to the application date being prior to the effective of the producer’s product training completion and sends the response to the requester via 228 response message with appropriate result info code of 4207.</td>
</tr>
<tr>
<td>4. User has the ability to save to pdf for audit purposes.</td>
</tr>
</tbody>
</table>
2 – Training Validation Use Cases

2.C Requestor submits a “Course Look Up” training inquiry request (228-16)

<table>
<thead>
<tr>
<th>Use Case ID:</th>
<th>2C.1</th>
</tr>
</thead>
<tbody>
<tr>
<td>Use Case Title:</td>
<td>Course Look Up training inquiry request – Success - Successful result</td>
</tr>
<tr>
<td>Use Case Description:</td>
<td>Requestor submits a Producer Inquiry to request all completed course information for a specific producer ID. The message was successful and returns all state course information. This message only returns the state course details due to the face that requestor does not match the distributor nor carrier affiliation on Portal via DTCC Web Portal user interface. (Producer Training Inquiry)</td>
</tr>
</tbody>
</table>
| Actors:          | 1. Training Vendor Systems  
                              2. Insurance Carrier Systems  
                              3. DTCC Systems  
                              4. DTCC Producer Management Portal  
                              5. Distributor Back Office  
                              6. DTCC Web Portal |
| Additional Assumptions: |  
                              • Producer training has been completed prior to population of database.  
                              • Carrier is a NSCC member and LNA user.  
                              • SAC is set up for PMP.  
                              • One or more state training completions have been found. |
| Steps: | 1. Distributor back office system signs into DTCC Web Portal and submits a Producer Training inquiry based on a specific producer ID (SSN) and sale attributes.  
2. DTCC systems receive inquiry.  
4. DTCC sends response message to the Requestor and forwards results to DTCC Web Portal. |
<table>
<thead>
<tr>
<th>Use Case ID:</th>
<th>2C.1.1</th>
</tr>
</thead>
<tbody>
<tr>
<td>Use Case Title:</td>
<td>Training Inquiry request – Success - Successful result</td>
</tr>
<tr>
<td>Use Case Description:</td>
<td>Requestor submits a Producer Inquiry to request all completed course information for a specific producer ID. The message was successful and returns all state course information. This message only returns the state course details due to the face that requestor does not match the distributor nor carrier affiliation on Portal via B2B web service 22816 message.</td>
</tr>
</tbody>
</table>

| Actors: | 1. Training Vendor Systems  
2. Insurance Carrier Systems  
3. DTCC Systems  
4. DTCC Producer Management Portal  
5. Distributor Systems – B2B web services |

| Additional Assumptions: | • Producer training has been completed prior to population of database.  
• Carrier is a NSCC member and LNA user.  
• URL connections are set up and active.  
• One or more state training completions have been found. |

| Steps: | 1. Requestor back office system transmits course look up inquiry based on a specific producer ID (SSN) via TXLife 22816 message to DTCC.  
2. DTCC systems receives message.  
3. DTCC performs validation for schema and business rules, finds no error in message and sends message to Producer Portal.  
5. Producer Portal processes producer inquiry message and builds response including all available for both product and state training authorizations from table 1.  
6. DTCC sends response message to the Requestor.  
7. Requestor receives TXLife 22816 response message with appropriate success status. |
<table>
<thead>
<tr>
<th>Use Case ID:</th>
<th>2C.2</th>
</tr>
</thead>
<tbody>
<tr>
<td>Use Case Title:</td>
<td>Course Look Up training inquiry request – Success with Information – Producer Not Found result</td>
</tr>
<tr>
<td>Use Case Description:</td>
<td>Requestor submits a Producer Inquiry to request all completed course information for a specific producer ID. The message is successful however, the message is returned with a Producer not found on the Portal. (Result Info code: 4202)</td>
</tr>
<tr>
<td>Additional Assumptions:</td>
<td>• Producer does not exist on Portal at all.</td>
</tr>
<tr>
<td>Steps:</td>
<td>1. Distributor back office system or Carrier System signs into DTCC Web Portal and submits a Course Look up inquiry based on a specific producer ID (SSN); 2. DTCC systems receive inquiry. 3. Producer Portal processes inquiry message and builds response based on the fact that Producer was not found on Portal 4. DTCC sends Success with Information response message to the Requestor and forwards results to DTCC Web Portal.</td>
</tr>
<tr>
<td>Use Case ID:</td>
<td>2C.3</td>
</tr>
<tr>
<td>--------------------------</td>
<td>------</td>
</tr>
<tr>
<td>Use Case Title:</td>
<td>Course Look Up training inquiry request-Fail-Rejected by DTCC due to schema formatting</td>
</tr>
<tr>
<td>Use Case Description:</td>
<td>Requestor submits a Producer Inquiry to request all completed course information for a specific producer ID. The message is rejected by DTCC due to a schema formatting issue (error code TBD)</td>
</tr>
</tbody>
</table>
| Actors:                  | 1. BD or Insurance Carrier systems (depending on requestor)  
                           | 2. DTCC Producer Management Portal |
| Additional Assumptions:  | • Rep has data stored in the database either via population from insurance carrier or state product training vendor  
                           • Requestor is a user of the Portal |
| Steps:                   | 1. Distributor or Carrier sends a B2B web service message 22816 and submits a request for a rep’s completed course information  
                           2. Request identifies rep by SSN  
                           3. DTCC Portal can’t process the request as it’s not formatted correctly  
                           4. DTCC Portal rejects request back to Distributor or Carrier |
<table>
<thead>
<tr>
<th><strong>Use Case ID:</strong></th>
<th>2C.4</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Use Case Title:</strong></td>
<td>Course Look Up training inquiry request – Fail - Rejected by DTCC due to business rule edit rejects.</td>
</tr>
<tr>
<td><strong>Use Case Description:</strong></td>
<td>Business Scenario: Requestor submits a Producer Inquiry to request all completed course information for a specific producer ID. The message is rejected by DTCC due to a business rule edit issue</td>
</tr>
</tbody>
</table>
| **Actors:** | 1) Distributor Systems  
2) DTCC Systems  
3) Carrier Insurance System |
| **Additional Assumptions:** | |
| **Steps:** | 1) Distributor and/or Carrier sends Training Inquiry Request to the DTCC  
2) DTCC Fails/Rejects request due to business rule edit where a required field like SSN # is missing  
3) DTCC returns appropriate reject code to requesting party with appropriate error code.  
4) Distributor and/or Carrier review reject, fixes error and resubmits the request. |