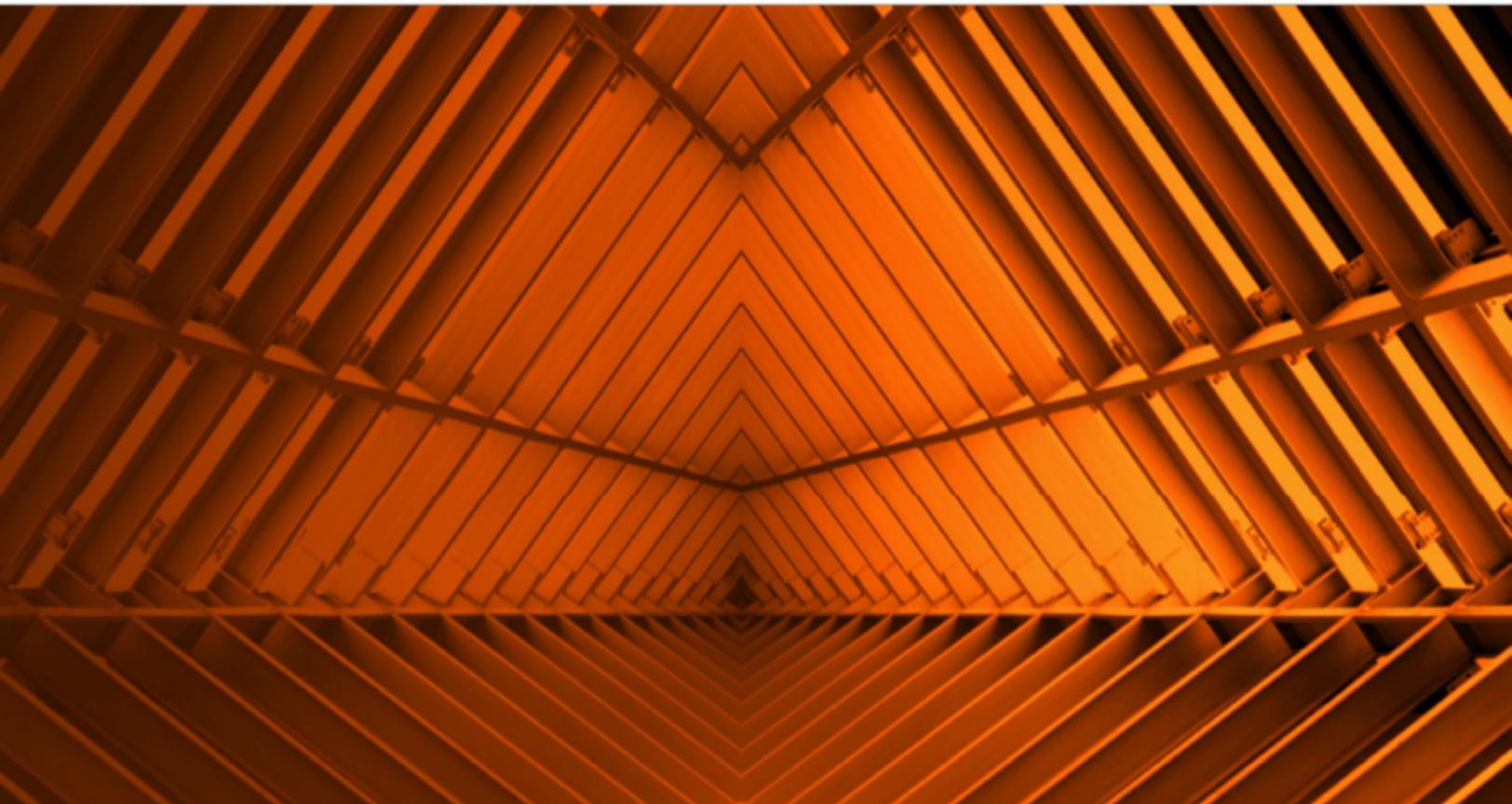


DTCC

INSURANCE INFORMATION EXCHANGE

USER'S GUIDE

JANUARY 15, 2021



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Doc Info: January 15, 2021

Publication Code: IRS107

Service: Wealth Management Services

Title: User's Guide

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INTRODUCTION

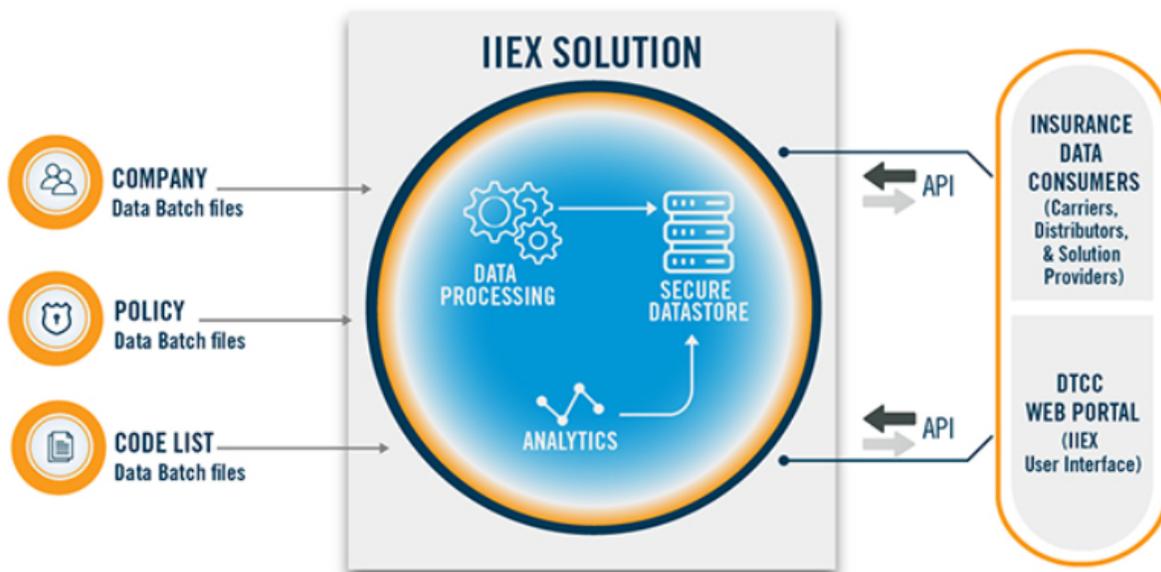
IIEX Overview

DTCC's Insurance & Retirement Service (I&RS) processing environment has evolved over the years into an interconnected and layered suite of products and services. Over 500 firms exchange large amounts of data throughout the life cycle of insurance products, making critical business decisions difficult to make or respond to with today's rapidly changing regulatory and reporting requirements. The sheer volume of insurance processed daily can be challenging for clients to pinpoint the information needed.

DTCC's Insurance Information Exchange (IIEX), a platform for the exchange of data, provides you with an easy, flexible and secure data hub that supports the sourcing and consumption of data. Access to in-force policy data in IIEX is available to you, on-demand, through via a DTCC Web Portal user interface and a flexible API-enabled platform in the DTCC API Marketplace.

A centralized data hub, IIEX provides you, as a Carrier, Distributor, or Service Bureau representative, with

- A standardized alternative to sending large, redundant batch files
- Access to easily consumable, focused, and in-force policy data files
- A solution for all insurance product types - annuities, life insurance, and insurance-based retirement plans
- The ability to stay compliant, meeting industry data standards through reactive regulatory changes



Data Source

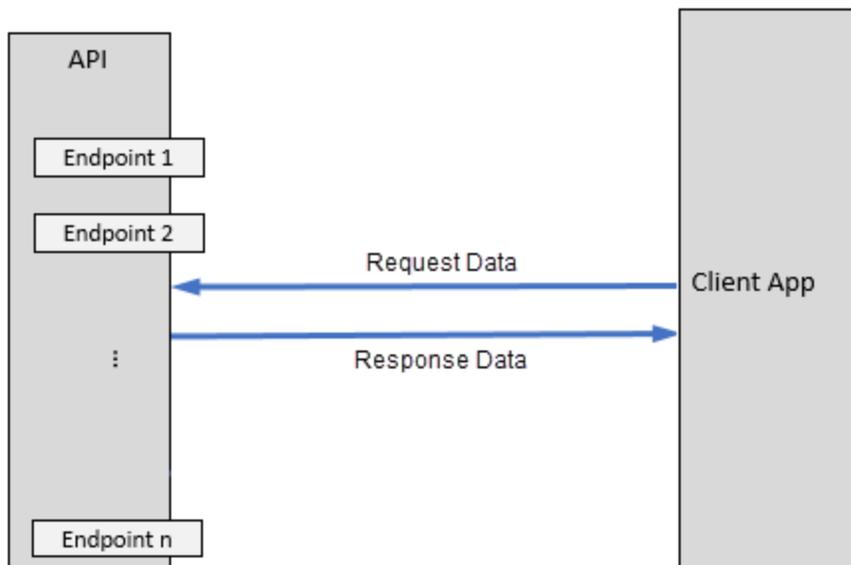
Carriers transmit their contract details (including, individual and group annuity, life insurance long-term care and retirement income/immediate annuities) to I&RS Positions & Valuations (POV) using the Common Data Transfer Service (CDTS) on a daily, weekly, monthly or other periodic basis. The scheduled output from POV populates and refreshes the data stored and sorted in IIEX.

API CAPABILITIES

API Overview

The Insurance Information Exchange (IIEX) is a HTTP-based set of services implemented according to REST API standards. Representational state transfer (REST) APIs are a software architecture that define a set of constraints to be used for creating web services. REST APIs provide interoperability between computer systems via URL connectivity. IIEX is comprised of a library of GET APIs which returns in-force policy information formatted in JSON.

- [GET Policy List](#)
- [GET Policy Detail](#)
- [GET Policy Code List](#)



Note

JSON objects are returned as an unordered set of name/value pairs. You should not assume any order of names within any objects. JSON arrays returned in a response may be empty depending on the query and dataset. You should be able to handle empty arrays.

GET Policy List

You can use the GET Policy List API to search for new and existing policies giving you the flexibility to get on-demand, customized policy data based on a set of criteria. An 'ad hoc' combination of the following items can be requested using the GET Policy List API criteria listed below:

1. Carrier Number & Name
2. Distributor Number & Name
3. Policy CUSIP & Product Name
4. IRS Qualification Code
5. Distributor Account Number
6. Associated Firm ID
7. Policy Status (only defaulted field: "Active")
8. Product Type
9. Policy Issue State
10. Product Share Class
11. Policy Owner's Last Name
12. Primary Producer's Last Name

Once the criteria is sent to the GET Policy List API, the API will return a matching result set. The Policy List Results Output would include:

1. Policy Number
2. DTCC Carrier Number & Name
3. Policy CUSIP & Product Name
4. IRS Qualification Code
5. Policy Status
6. Product Type
7. Policy Issue State
8. Product Share Class
9. Policy Owner ID & Name
10. Primary Producer ID & Name
11. Reported Policy Value

GET Policy Detail

The Policy Details API provides the flexibility to get on-demand customized data on a wide range of policy details. You can customize and run queries on new and existing DTCC policies, with the ability to request detailed information based on your exact needs. You may send a Get Policy Detail API to request a singular set of data elements based on the following categories. Once you request a Get Policy Detail API for a single policy number, you need to request one or a combination of the following data categories:

1. Get Policy Detail Summary
2. Get Policy Detail Value
3. Get Policy Detail Funds
4. Get Policy Detail Producers
5. Get Policy Detail Dates
6. Get Policy Detail Events
7. Get Policy Detail Party
8. Get Policy Detail Features
9. Get Policy Detail Annuitization
 - a. View Critical Data Elements (CDEs) and 'available' Important data elements) for the chosen policy
 - b. Critical Data Elements (CDEs), which are missing from a policy, will be reported on the API result output with the respective JSON Property

GET Policy Code List

The Get Insurance Code List API provides you with a list of all Codes and Descriptions along with the POV Item Number based on the POV File Layout Format at DTCC.

USER INTERFACE CAPABILITIES

Overview

The Insurance Information Exchange (IIEX) user interface provides you, as a Carrier or Distributor with immediate, on-demand access to your annuity and life insurance policy data. The interface offers the following features:

Policy

1. [Policy Overview](#) - Provides summarized policy value and count by product type, trading partners, and product CUSIPs.
2. [Using Policy Search](#) - Provides a list of policies by pre-defined search criteria such as product type, issue state, qualification code, share class, etc.
3. [Policy Details](#) - Provides up-to-date and comprehensive policy level information, such as parties, values, sub account information, etc.
4. [Data Quality](#) - Provides insight into completeness of business-critical data elements for your annuity and insurance policies.
5. [Administration](#)
6. Data Dictionary

Hours of Operation

IIEX is available 24 hours Monday through Friday; Saturday until 2:00 p.m. EST. Not available Sundays.

Policy Overview - Obtaining a High-Level Policy View

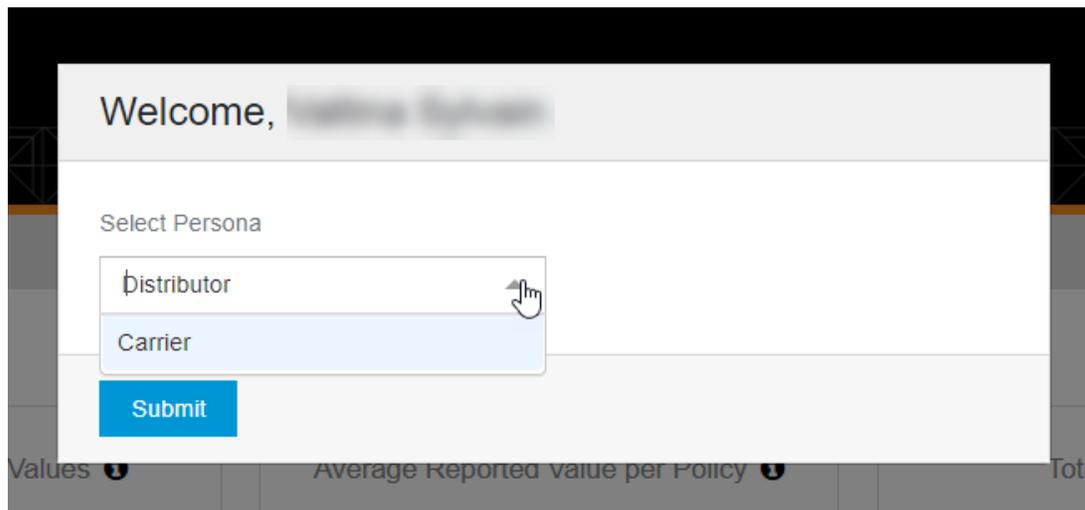
The Insurance Information Exchange (IIEX) Policy Overview section provides you with a high-level view of your firm's policies. By default, the Policy Overview page displays the policy totals for all of your accounts and the top five product types, product CUSIPs, Carriers or Distributors (depending on your role), producers, and policy issue states.

The following scenario will show you how to maximize your usage of the Policy Overview page.

- [Reviewing Top 5 by Policy Value](#)
- [Reviewing Top 50 by Policy Value](#)
- [Reviewing Top 5 by Policy Count](#)
- [Reviewing Top 50 by Policy Count](#)

Scenario: Your firm has multiple sub accounts with DTCC. You need to give a high-level report on the policies for your division's account at today's weekly meeting.

1. Go to [MyDTCC Portal](#) and sign in. If your firm functions in the role of both carrier and distributor, the Select Persona dialog box appears.



2. *Conditional.* Select the appropriate persona for the policies you want to view from the **Select Persona** drop down field if the dialog box appears.
3. Click SUBMIT.
The Policy Overview page appears, with an expanded view. As the default page, the Policy Overview page provides you with an immediate high-level snapshot of your firm's top policies.

DTCC Wealth Management Services
Insurance Information Exchange

Policy Overview

Last Updated: 10/21/20 06:41:09 PM (EST) | Select Distributor: All

Total No of Policies: 1,287,872 | Total Reported Policy Values: \$170,046,123,424 | Average Reported Value per Policy: \$132,637.00 | Total No of Carriers: 37 | Completeness Rate: 6.86%

Top 5 Product Types by Policy Value

Product Types	Reported Policy Value	% of Total Values	Policy Count	% of Total Policies	Avg. Reported Value/Policy
Variable Annuity Products	\$135,383,331,680	79.62%	879,182	68.27%	\$153,987.83
Fixed Indexed Annuity	\$23,995,987,957	14.09%	263,228	20.45%	\$91,481.12
Fixed Annuity Products	\$7,258,556,354	4.27%	97,481	7.57%	\$74,481.24
Index Variable Annuity	\$1,530,882,227	0.90%	7,656	0.59%	\$201,270.34
Registered Index Annuity	\$977,695,406	0.57%	22,921	1.78%	\$42,291.76
Total - Top 5	\$169,016,323,624	99.39%	1,276,718	99.66%	\$132,487.22

Top 5 Product CUSIPs by Policy Value

Product CUSIP	Reported Policy Value	% of Total Values	Policy Count	% of Total Policies	Avg. Reported Value/Policy
0000000000	\$19,830,666,839	11.66%	121,080	9.40%	\$163,781.52
0000000000	\$11,963,936,150	7.04%	63,200	4.93%	\$143,600.68
0000000000	\$4,984,370,719	2.93%	44,078	3.42%	\$113,067.18
0000000000	\$6,021,451,200	3.54%	39,751	3.09%	\$151,720.81
0000000000	\$5,303,341,797	3.12%	31,835	2.47%	\$166,472.12
Total - Top 5	\$46,173,796,726	27.11%	319,944	24.84%	\$146,819.98

Top 5 Carriers by Policy Value

Carriers	Reported Policy Value	% of Total Values	Policy Count	% of Total Policies	Avg. Reported Value/Policy
0000000000	\$75,959,363,818	44.67%	473,453	36.76%	\$160,437.03
0000000000	\$65,315,494,375	38.41%	445,798	34.62%	\$146,513.66
0000000000	\$6,687,683,852	3.93%	40,539	3.16%	\$143,700.63
0000000000	\$4,116,225,518	2.42%	27,379	2.13%	\$150,340.43
0000000000	\$3,606,303,721	2.12%	163,009	12.66%	\$22,117.21
Total - Top 5	\$155,684,101,284	91.56%	1,166,178	90.77%	\$134,654.10

Top 5 Producers by Policy Value

Producers	Reported Policy Value	% of Total Values	Policy Count	% of Total Policies	Avg. Reported Value/Policy
Shelton Capital Management	\$3,522,061,365	2.07%	160,350	12.55%	\$21,964.84
BALANCE	\$297,579,282	0.17%	4,115	0.32%	\$72,315.74
US Bancorp	\$261,767,572	0.15%	6,958	0.54%	\$37,621.09
LEARN	\$225,961,976	0.13%	1,680	0.13%	\$133,723.09
LAFONT	\$155,263,523	0.09%	318	0.02%	\$486,512.96
Total - Top 5	\$4,462,683,738	2.62%	173,431	13.46%	\$25,731.76

Top 5 Policy Issue States by Policy Value

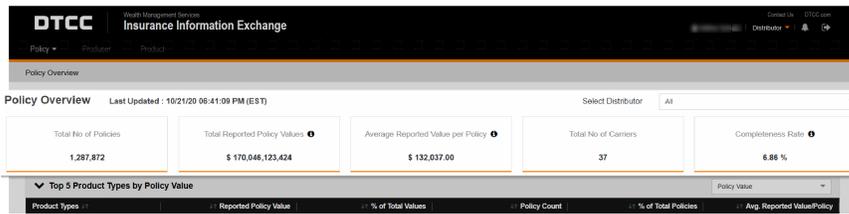
States	Reported Policy Value	% of Total Values	Policy Count	% of Total Policies	Avg. Reported Value/Policy
California	\$15,063,308,545	8.86%	102,363	7.96%	\$147,351.18
Texas	\$13,113,110,466	7.71%	79,815	6.22%	\$164,293.81
Florida	\$11,258,434,894	6.62%	73,913	5.74%	\$152,320.09
Illinois	\$7,632,031,151	4.49%	55,730	4.34%	\$136,948.55
New York	\$7,127,368,648	4.19%	49,499	3.85%	\$144,018.34
Total - Top 5	\$54,214,253,704	31.97%	361,311	28.16%	\$150,048.73

By default, all of your firm's policies are included in the following field values:

Notes

Though the IIEX data is refreshed several times a day according to the POV (Positions and Valuations) output schedule, the total value calculations are refreshed once in the evening after the final POV output.

- Total No of Policies
- Total Reported Policy Values
- Average Reported Value per Policy
- Total No of Carriers
- Completeness Rate

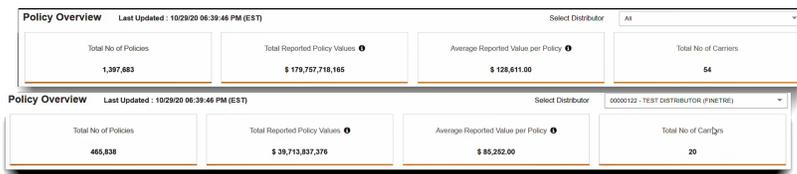


- Click the **Select Distributor** [or **Carrier**] drop-down menu arrow to select your account.

Note

The **Select Distributor/Carrier** field displays only your firm's account(s) in the selection menu for which you are authorized.

- Type enough of the account name or number in the filter field to narrow your selection and select your account. The totals adjust to reflect the selected account.



Reviewing Top 5 by Policy Value

- Review your top 5 product types in the Top 5 Product Types by Policy Value section.

Product Types	Reported Policy Value	% of Total Values	Policy Count	% of Total Policies	Avg. Reported Value/Policy
Variable Annuity Products	\$ 135,363,331,685	79.62 %	879,162	68.27 %	\$ 153,967.83
Fixed Indexed Annuity	\$ 23,965,987,667	14.06 %	269,528	20.85 %	\$ 89,249.12
Fixed Annuity Products	\$ 7,258,556,354	4.27 %	97,451	7.57 %	\$ 74,461.24
Index Variable Annuity	\$ 1,530,862,227	0.90 %	7,600	0.59 %	\$ 201,270.34
Registered Index Annuity	\$ 877,865,406	0.52 %	22,921	1.78 %	\$ 38,291.76
Total - Top 5	\$ 169,016,323,824	99.39 %	1,276,718	99.06 %	\$ 132,487.22

- Sort any of the **Top 5** by any of the following columns:

- Reported Policy Value
- % of Total Values
- Policy Count
- % of Total Policies
- Avg. Reported Value/Policy

- Click the **View Full List** link if you need to see all of your product types. The All Product Types by Policy Value page appears.

Product Types	Reported Policy Value	% of Total Values	Policy Count	% of Total Policies	Avg. Reported Value/Policy
Variable Annuity Products	\$ 34,334,561,000	79.84 %	240,768	52.05 %	\$ 142,604.34
Fixed Indexed Annuity	\$ 3,688,223,623	8.58 %	133,375	28.83 %	\$ 27,653.04
Fixed Annuity Products	\$ 2,721,273,962	6.33 %	55,116	11.92 %	\$ 49,371.78
Retirement Plan	\$ 1,069,859,354	2.49 %	5,879	1.27 %	\$ 181,979.82
Market Value Adjustment	\$ 816,206,921	1.90 %	7,248	1.57 %	\$ 112,611.33
Registered Index Annuity	\$ 301,972,881	0.70 %	19,336	4.18 %	\$ 15,611.96
Pension Plan	\$ 31,804,188	0.07 %	107	0.02 %	\$ 297,234.66
Deferred Income Annuity	\$ 29,899,271	0.07 %	130	0.03 %	\$ 229,302.06
Fixed Whole Life Insurance	\$ 11,188,668	0.03 %	164	0.04 %	\$ 68,223.58
Index Variable Annuity	\$ 285,917	0.00 %	3	0.00 %	\$ 95,305.75
Total	\$ 43,004,178,735	100.00 %	462,652	100.00 %	\$ 92,971.55

- Scroll, sort by column, or search by product type to review and compare the policy values for your products. The total values of each column remain the same while sorting.

Product Types	Reported Policy Value	% of Total Values	Policy Count	% of Total Policies	Avg. Reported Value/Policy
Term Life	\$ 0	0.00 %	35	0.01 %	\$ 0.00
Registered Index Annuity	\$ 306,530,062	0.60 %	19,379	3.72 %	\$ 15,817.64
Total	\$ 51,457,313,396	100.00 %	521,333	100.00 %	\$ 98,703.35

Product Types	Reported Policy Value	% of Total Values	Policy Count	% of Total Policies	Avg. Reported Value/Policy
Pension Plan	\$ 31,804,188	0.06 %	107	0.02 %	\$ 297,234.66
Deferred Income Annuity	\$ 28,899,271	0.06 %	130	0.02 %	\$ 222,302.06
Retirement Plan	\$ 1,069,859,354	2.08 %	5,879	1.13 %	\$ 181,979.82
Variable Annuity Products	\$ 42,206,945,907	82.02 %	291,009	55.82 %	\$ 145,036.57
Market Value Adjustment	\$ 816,206,921	1.59 %	7,248	1.38 %	\$ 112,611.33
Index Variable Annuity	\$ 285,917	0.00 %	3	0.00 %	\$ 95,305.75
Fixed Whole Life Insurance	\$ 11,188,668	0.02 %	164	0.03 %	\$ 68,223.58
Fixed Annuity Products	\$ 3,254,862,388	6.33 %	63,348	12.15 %	\$ 51,382.06
Fixed Indexed Annuity	\$ 3,730,639,302	7.25 %	133,642	25.63 %	\$ 27,915.17
Registered Index Annuity	\$ 306,530,062	0.60 %	19,379	3.72 %	\$ 15,817.64
Total	\$ 51,457,313,396	100.00 %	521,333	100.00 %	\$ 98,703.35

- Click the **DOWNLOAD** button to save an Excel spreadsheet with your data if needed.

of Total Policies | ↑↓ Avg. Reported Value/Policy

Reviewing Top 50 by Policy Value

The next three sections of the Policy Overview page, Top 5 Product CUSIPs by Policy Value, Top 5 Carriers by Policy Value, and Top 5 Producers by Policy Value, give you the option to expand your view of the section to your top 50 policy values.

Product CUSIP	Reported Policy Value	% of Total Values	Policy Count	% of Total Policies	Avg. Reported Value/Policy
53404836 - LINCOLN CHOICEPLUS...	\$ 5,026,865,834	9.85 %	41,237	7.65 %	\$ 143,726.89
80354088 - Transamerica B Share	\$ 4,512,501,796	7.50 %	23,055	4.28 %	\$ 195,727.69
53422815 - SHAREHOLDERS ADVA...	\$ 3,367,022,809	5.60 %	21,388	3.97 %	\$ 157,425.79
53404810 - American Legacy Fusion	\$ 2,225,232,600	3.70 %	14,456	2.68 %	\$ 153,931.42
10622466 - BUCI UNIVL ANNUITY WA...	\$ 659,896,963	1.10 %	10,706	1.99 %	\$ 61,638.05
Total - Top 5	\$ 16,691,620,102	27.74 %	110,842	20.56 %	\$ 160,888.41

Product CUSIP	Reported Policy Value	% of Total Values	Policy Count	% of Total Policies	Avg. Reported Value/Policy
53404836 - LINCOLN CHOICEPLUS...	\$ 5,026,865,834	9.85 %	41,237	7.65 %	\$ 143,726.89
80354088 - Transamerica B Share	\$ 4,512,501,796	7.50 %	23,055	4.28 %	\$ 195,727.69
53422815 - SHAREHOLDERS ADVA...	\$ 3,367,022,809	5.60 %	21,388	3.97 %	\$ 157,425.79
53404810 - American Legacy Fusion	\$ 2,225,232,600	3.70 %	14,456	2.68 %	\$ 153,931.42
10622466 - BUCI UNIVL ANNUITY WA...	\$ 659,896,963	1.10 %	10,706	1.99 %	\$ 61,638.05
53422809 - AMERICAN LEGACY VIII V...	\$ 971,675,846	1.81 %	10,609	1.97 %	\$ 91,589.77
80353402 - TRANSAMERICA LIBER...	\$ 1,495,386,733	2.49 %	10,337	1.92 %	\$ 144,664.67
DUMMYS2007 - Dummy Cusp	\$ 482,517,299	0.80 %	10,062	1.87 %	\$ 47,954.41
0468P249 - Athene Amplify	\$ 192,632,450	0.32 %	9,963	1.85 %	\$ 19,334.78
53422337 - CHOICEPLUS ASSURE...	\$ 1,562,262,913	2.58 %	9,512	1.70 %	\$ 163,189.96
Total - Top 50	\$ 39,292,063,319	66.30 %	339,292	62.95 %	\$ 115,806.05

1. If you need to view the top 50, rather than the top 5 policy values for product CUSIPs, Carriers/Distributors, or producers, click the **View Top 50** links in the respective sections. The corresponding Top 50 by Value page appears.

Top 50 Product CUSIP by Policy Value

Product CUSIP	Reported Policy Value	% of Total Values	Policy Count	% of Total Policies	Avg. Reported Value/Policy
53404B06 - LINCOLN CHOICEPLUS	\$ 5,905,865,934	11.38 %	41,237	7.80 %	\$ 143,726.89
534222815 - SHAREHOLDERS ADVA	\$ 3,367,022,809	6.47 %	21,388	4.04 %	\$ 157,425.79
803540588 - Transamerica B Share	\$ 2,973,363,380	5.71 %	14,588	2.76 %	\$ 203,622.55
53404B10 - American Legacy Fusion	\$ 2,225,232,600	4.27 %	14,456	2.73 %	\$ 153,931.42
53422F337 - CHOICEPLUS ASSURE	\$ 1,552,262,913	2.98 %	9,512	1.80 %	\$ 163,189.96
53404A13 - CHOICEPLUS ASSURE	\$ 1,279,617,009	2.46 %	7,320	1.38 %	\$ 174,811.07
80352C225 - TRANSAMERICA AXIOM II	\$ 1,038,746,287	1.99 %	5,849	1.11 %	\$ 177,593.83
80353N402 - TRANSAMERICA LIBER	\$ 1,000,865,630	1.92 %	6,856	1.30 %	\$ 146,955.91
534220009 - AMERICAN LEGACY III V	\$ 971,675,846	1.87 %	10,609	2.01 %	\$ 91,589.77
53422F378 - CHOICEPLUS ASSURE A	\$ 901,258,701	1.73 %	5,564	1.05 %	\$ 161,971.37
Total - Top 50	\$ 37,892,297,829	72.77 %	296,176	56.00 %	\$ 127,938.45

2. Scroll, sort by column, or search by category to review and compare your top 50 policy values.
3. Click the **DOWNLOAD** button to save an Excel spreadsheet with your data if needed.

Note

Only the top 50 policies according to values are included in the sorting, search, and download.

Reviewing Top 5 by Policy Count

By default, the Policy Overview displays your top policy data by policy value. Sorting by the Policy Count column will only reorder your top 5 items in a section. However, if you need to report on your top accounts by policy count, you can switch the overall basis for comparison of a section to Policy Count.

Top 5 Product Types by Policy Value

Product Types	Reported Policy Value	% of Total Values	Policy Count	% of Total Policies	Avg. Reported Value/Policy
Variable Annuity Products	\$ 46,670,569,136	77.28 %	318,748	58.50 %	\$ 146,418.39
Variable Universal Life Insurance	\$ 4,880,366,456	8.08 %	38,629	7.09 %	\$ 126,339.45
Fixed Annuity Products	\$ 2,904,210,204	4.81 %	53,627	9.84 %	\$ 54,155.75
Fixed Indexed Annuity	\$ 2,772,795,541	4.59 %	76,800	14.10 %	\$ 36,104.11
Retirement Plan	\$ 1,079,223,761	1.79 %	5,887	1.08 %	\$ 183,323.21
Total - Top 5	\$ 56,307,165,098	96.55 %	493,691	90.61 %	\$ 118,104.58

Top 5 Product CUSIPs by Policy Value

Product CUSIP	Reported Policy Value	% of Total Values	Policy Count	% of Total Policies	Avg. Reported Value/Policy
---------------	-----------------------	-------------------	--------------	---------------------	----------------------------

1. Click the drop-down arrow to open the menu and select **Policy Count**.

Top 5 Product Types by Policy Count

Product Types	Reported Policy Value	% of Total Values	Policy Count	% of Total Policies	Avg. Reported Value/Policy
Variable Annuity Products	\$ 46,670,569,136	77.28 %	318,748	58.50 %	\$ 146,418.39
Fixed Indexed Annuity	\$ 2,772,795,541	4.59 %	76,800	14.10 %	\$ 36,104.11
Fixed Annuity Products	\$ 2,904,210,204	4.81 %	53,627	9.84 %	\$ 54,155.75
Variable Universal Life Insurance	\$ 4,880,366,456	8.08 %	38,629	7.09 %	\$ 126,339.45
Term Life	\$ 4,262	0.00 %	16,781	3.08 %	\$ 0.25
Total - Top 5	\$ 57,227,945,639	94.76 %	504,585	92.61 %	\$ 113,415.87

2. Review your new top 5 list. Previously listed items may have switched position. Unlike sorting by the Policy Count column, some top value policies may be replaced by other policies, changing your total for the top 5.

Note

Clicking the **View Full List** link in this view provides you with all your product types or states listed by policy count.

Reviewing Top 50 by Policy Count

Top 5 Product CUSIPs by Policy Count					
Product CUSIP	Reported Policy Value	% of Total Values	Policy Count	% of Total Policies	Avg. Reported Value/Policy
534048536 - LINCOLN CHOICEPLUS	\$ 5,926,865,934	9.85 %	41,237	7.65 %	\$ 143,726.89
803545588 - Transamerica B Share	\$ 4,512,501,796	7.50 %	23,055	4.28 %	\$ 195,727.69
534222815 - SHAREHOLDERS ADVA...	\$ 3,367,022,809	5.60 %	21,388	3.97 %	\$ 157,425.79
534048510 - American Legacy Fusion	\$ 2,225,232,600	3.70 %	14,456	2.68 %	\$ 153,931.42
102234466 - B LIC UNIVL ANNUITY VA...	\$ 659,896,963	1.10 %	10,706	1.99 %	\$ 61,638.05
Total - Top 5	\$ 16,691,620,102	27.74 %	110,842	20.56 %	\$ 150,588.41

1. Click the **View Top 50** link if you need to see your top 50 product CUSIPs, carriers/distributors, or producers by policy count.

Top 50 Product CUSIP by Policy Count					
Product CUSIP	Reported Policy Value	% of Total Values	Policy Count	% of Total Policies	Avg. Reported Value/Policy
534048536 - LINCOLN CHOICEPLUS	\$ 5,926,865,934	9.85 %	41,237	7.65 %	\$ 143,726.89
803545588 - Transamerica B Share	\$ 4,512,501,796	7.50 %	23,055	4.28 %	\$ 195,727.69
534222815 - SHAREHOLDERS ADVA...	\$ 3,367,022,809	5.60 %	21,388	3.97 %	\$ 157,425.79
534048510 - American Legacy Fusion	\$ 2,225,232,600	3.70 %	14,456	2.68 %	\$ 153,931.42
102234466 - B LIC UNIVL ANNUITY VA...	\$ 659,896,963	1.10 %	10,706	1.99 %	\$ 61,638.05
534222809 - AMERICAN LEGACY III V...	\$ 971,675,846	1.61 %	10,609	1.97 %	\$ 91,589.77
803534402 - TRANSAMERICA LIBER...	\$ 1,495,398,733	2.49 %	10,337	1.92 %	\$ 144,664.67
DUMMY2007 - Dummy Cusp	\$ 482,517,299	0.80 %	10,002	1.87 %	\$ 47,954.41
94039249 - Athene Amplify	\$ 192,632,450	0.32 %	9,963	1.85 %	\$ 19,334.78
534292337 - CHOICEPLUS ASSURE ...	\$ 1,552,262,913	2.58 %	9,512	1.76 %	\$ 163,189.96
Total - Top 50	\$ 39,292,063,319	65.30 %	339,292	62.95 %	\$ 115,896.05

Note

You can toggle between **Policy Value** and **Policy Count** while viewing your top 50. Because you are only getting your top 50 policies per view, your totals and listed policies may be different as policies shift position.

Top 50 Product CUSIP by Policy Value					
Product CUSIP	Reported Policy Value	% of Total Values	Policy Count	% of Total Policies	Avg. Reported Value/Policy
534048536 - LINCOLN CHOICEPLUS	\$ 5,926,865,934	9.85 %	41,237	7.65 %	\$ 143,726.89
803545588 - Transamerica B Share	\$ 4,512,501,796	7.50 %	23,055	4.28 %	\$ 195,727.69
534222815 - SHAREHOLDERS ADVA...	\$ 3,367,022,809	5.60 %	21,388	3.97 %	\$ 157,425.79
534048510 - American Legacy Fusion	\$ 2,225,232,600	3.70 %	14,456	2.68 %	\$ 153,931.42
039843262 - CORPORATE FLEXIBLE	\$ 1,717,561,157	2.85 %	3,840	0.71 %	\$ 446,240.88
534292337 - CHOICEPLUS ASSURE ...	\$ 1,552,262,913	2.58 %	9,512	1.76 %	\$ 163,189.96
803534402 - TRANSAMERICA LIBER...	\$ 1,495,398,733	2.49 %	10,337	1.92 %	\$ 144,664.67
534044413 - CHOICEPLUS ASSURA...	\$ 1,279,617,009	2.13 %	7,320	1.36 %	\$ 174,811.07
803534105 - LANDMARK 2008	\$ 1,159,490,642	1.93 %	8,354	1.55 %	\$ 138,795.74
803540562 - Transamerica L Share	\$ 1,155,337,540	1.92 %	6,845	1.27 %	\$ 168,785.62
Total - Top 50	\$ 43,209,878,725	71.81 %	289,339	53.68 %	\$ 149,339.88

2. Click the **DOWNLOAD** button to save an Excel spreadsheet with your data if needed.

Using Policy Search

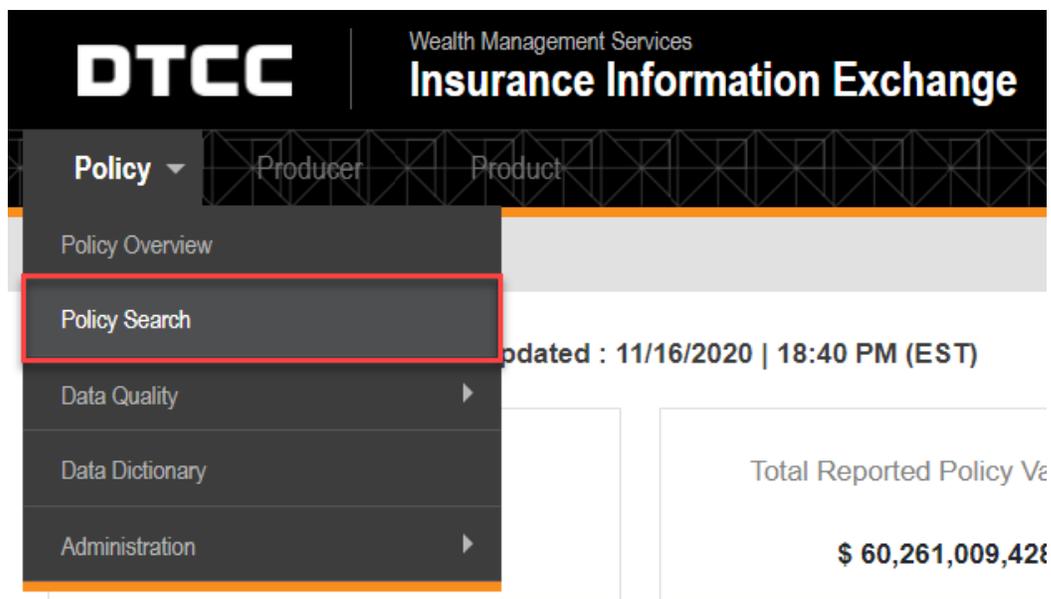
I&RS' Insurance Information Exchange (IIEX) Policy Search feature provides you with the ability to access lists of all of your policies by pre-defined search criteria and to drill down to policy details.

- [Accessing Policy Search from the Menu](#)
- [Accessing Policy Search from Policy Overview](#)
- [Adjusting Columns and Downloading Results](#)
- [Saving Search Criteria](#)
- [Retrieving Saved Searches](#)

Scenario: You need to prepare for a meeting with a representative from IPS Test Carrier to discuss the performance of their insurance products in your Washington D.C. office.

Accessing Policy Search from the Menu

1. Click the Policy menu drop-down arrow to get the menu.



2. Select the **Policy Search** option from the drop-down menu. The Policy Search page appears.

Note

The **Policy Status** field shows the default value "Active". Running a search with this as your only filter criteria selected is possible but will most likely produce more than the allowed number of results.

3. For this search, use the **DTCC Carrier Number & Name** field and the **Policy Issue State** field to add your search criteria.

Note

The drop-down fields allow you to type partial information to narrow your selection. The text fields require you to type the exact information.

4. Click the SEARCH button. The search results appear.

Accessing Policy Search from Policy Overview

You can access Policy Search by clicking on the links provided on the Policy Overview, All Product Types by Policy Value, and Top 50 Carriers by Policy Value pages.

1. On the Policy Overview page, scroll down to the Top 5 section that will help you narrow down what you are researching.

Carriers	Reported Policy Value	% of Total Values	Policy Count	% of Total Policies	Avg. Reported Value/Policy
0000122 - TEST DISTRIBUTOR	\$ 22,972,650,151	38.12 %	160,285	29.72 %	\$ 143,323.77
0000119 - IPS TEST CARRIER	\$ 18,274,536,808	30.33 %	125,722	23.31 %	\$ 145,356.71
0000123 - TEST DISTRIBUTOR	\$ 5,962,600,365	9.89 %	71,727	13.30 %	\$ 83,129.09
0000124 - TEST DISTRIBUTOR	\$ 4,988,456,114	8.28 %	35,348	6.55 %	\$ 141,124.14
0000125 - TEST DISTRIBUTOR	\$ 2,083,634,185	3.46 %	34,597	6.41 %	\$ 60,225.86
Total - Top 5	\$ 64,281,877,623	90.08 %	427,679	79.29 %	\$ 126,922.01

2. Since IPS Test Carrier is one of your top 5 carriers, click the link. The Policy Search page appears with the **DTCC Distributor Number & Name** and **DTCC Carrier Number & Name** fields populated by your selections from the Policy Overview page. You could run your search with these filters, but you would get policies from several states included in your results.

3. Select "Washington D.C." in the **Policy Issue State** field, and click the SEARCH button.

Note

If you decided to compare the Washington D.C. policies with nearby Delaware, you could select the additional state. All drop-down fields in Policy Search allow for multiple selections.

The screenshot shows the 'Policy Search' interface. At the top, there are several filter fields: 'Policy Issue State' (set to 'Washington D.C.'), 'Product Share Class', 'Policy Owner ID', and 'Primary Producer ID'. Below these is a search bar and a 'Search' button. The main area displays a table of search results with columns: Policy Number, DTCC Carrier Number & N., IRS Qualification Code, Policy CUSIP & Product No., Policy Issue State, Policy Owner ID & Name, Policy Status, and Primary Producer ID. The 'Policy Issue State' column is highlighted in red in the first few rows, showing 'DC - Washington D.C.'.

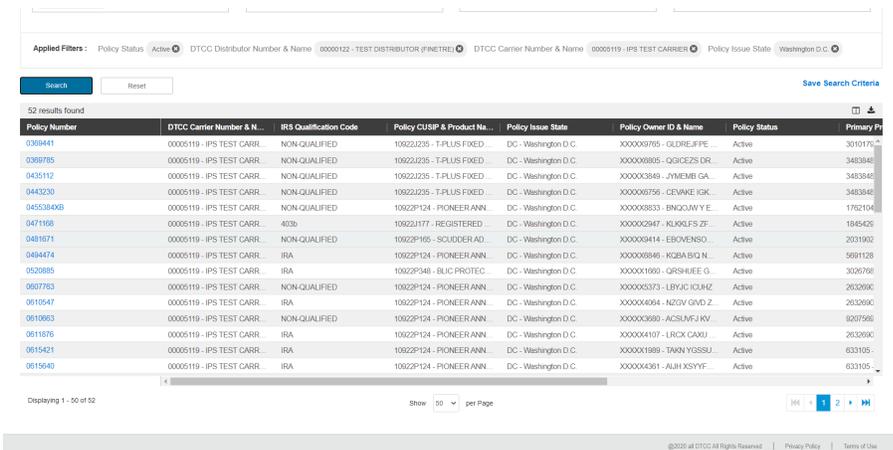
4. If you need to see all of your policies in the area, not just the strictly Active policies, deselect the value and run search again. Additional policies appear that match the remaining criteria.

Policy Number	DTCC Carrier Number & N.	IRS Qualification Code	Policy CUSIP & Product No.	Policy Issue State	Policy Owner ID & Name	Policy Status	Primary Producer ID
9091018	00005119 - IPS TEST CARR.	403b	109221486 - BLC UNL AN	DC - Washington D.C.	X00002690 - FETTM20W	Active	776003
9168646	00005119 - IPS TEST CARR.	403b	DUMMY2007 - Dummy Cusip	DC - Washington D.C.	X00001740 - CLJFL LIEPYU	Active	1700081
	00005119 - IPS TEST CARR.		109221495 - BLC UNL AN	DC - Washington D.C.	X00001740 - CLJFL LIEPYU	Active	1700081
11030513	00005119 - IPS TEST CARR.	IRA	10922M782 - SFG FXEED A	DC - Washington D.C.	X00006339 - YQWGEYAJ	Active	3030954
11000448	00005119 - IPS TEST CARR.	IRA	10922M782 - SFG FXEED A	DC - Washington D.C.	X00006431 - CFYUJGF4HS	Deferred Death	3018855
11081023	00005119 - IPS TEST CARR.	NON-QUALIFIED	10922M782 - SFG FXEED A	DC - Washington D.C.	X00007692 - XCNC BILUCFQ	Active	3424669

Adjusting Columns and Downloading Results

The search results display includes the following columns which do not all fit on your screen:

- Policy Number
- DTCC Carrier Number & Name
- IRS Qualification Code
- Policy CUSIP & Product Name
- Policy Issue State
- Policy Owner ID & Name
- Policy Status
- Primary Producer ID & Name
- Product Share Class
- Product Type
- Reported Policy Value

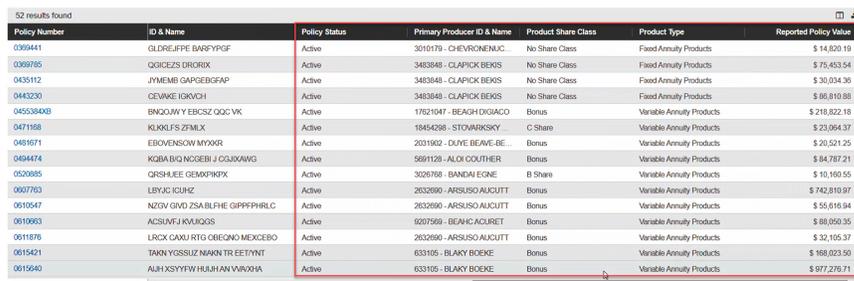


You can take the following steps to adjust the display to your needs:

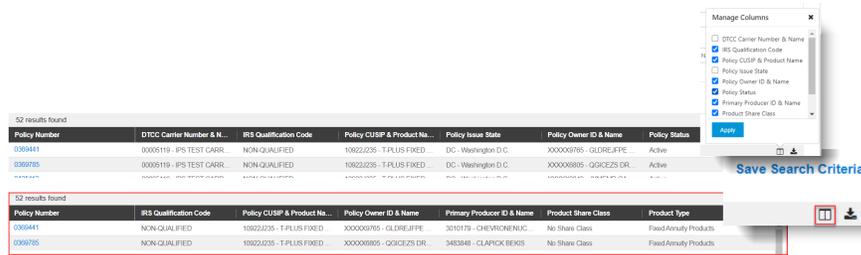
1. Double click on the column separators to adjust column width.



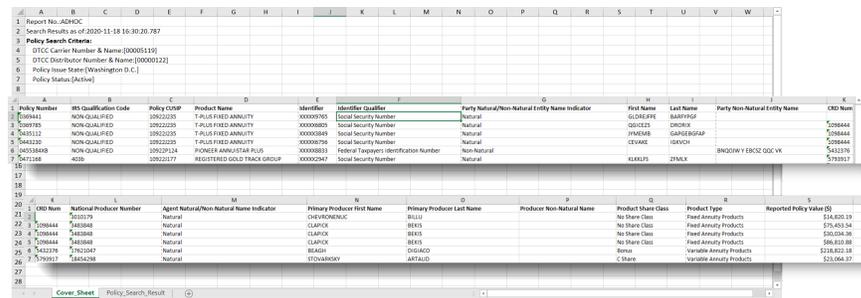
2. Use the scroll bar to see the columns not displayed.



3. *Optional.* Reduce the amount of scrolling needed by clicking the **MANAGE COLUMNS** button to hide a few columns.
4. Deselect the columns matching your search criteria since the values are the same for every search result.



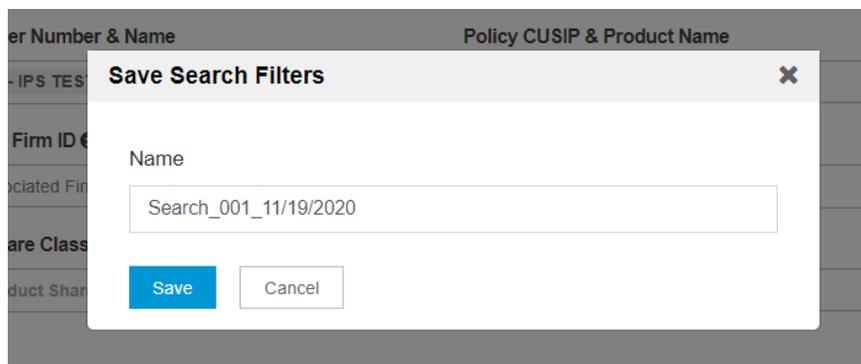
5. *Optional.* Click the **DOWNLOAD** button to download an Excel spreadsheet copy of your search results.



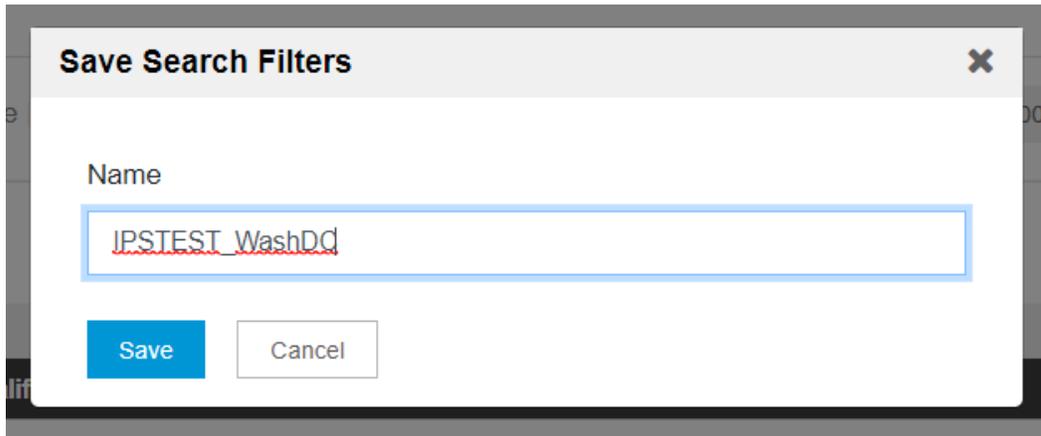
Saving Search Criteria

Save your search criteria if this is information you will need to access in the future.

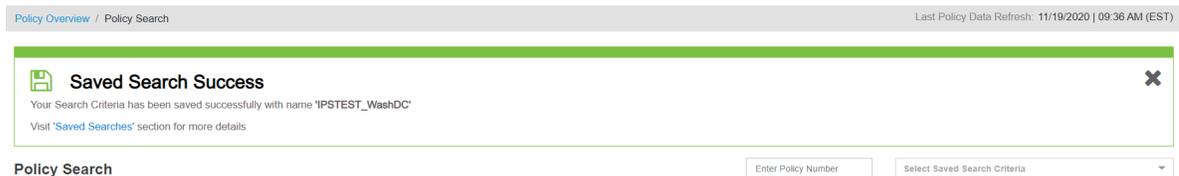
1. Click the **SAVE SEARCH CRITERIA** link. The Save Search Filters dialog box appears.



2. Name your saved search.



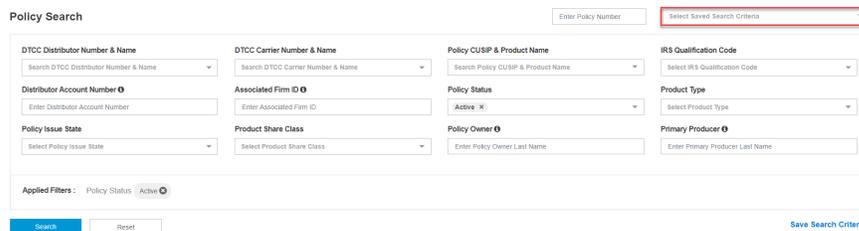
3. Click the SAVE button. The Saved Search Success banner appears.



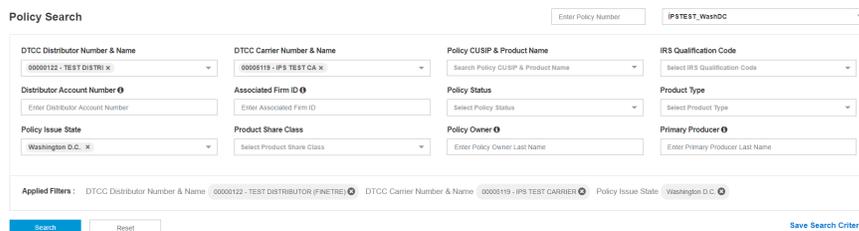
Retrieving Saved Searches

If you saved a search, you can retrieve it from the Policy Search page to run a search.

1. On the Policy Search page, click the drop-down arrow in the **Select Saved Search Criteria** field.



2. Select your saved search from the drop-down list. Your saved criteria appear.



3. Run your search.

Policy Details

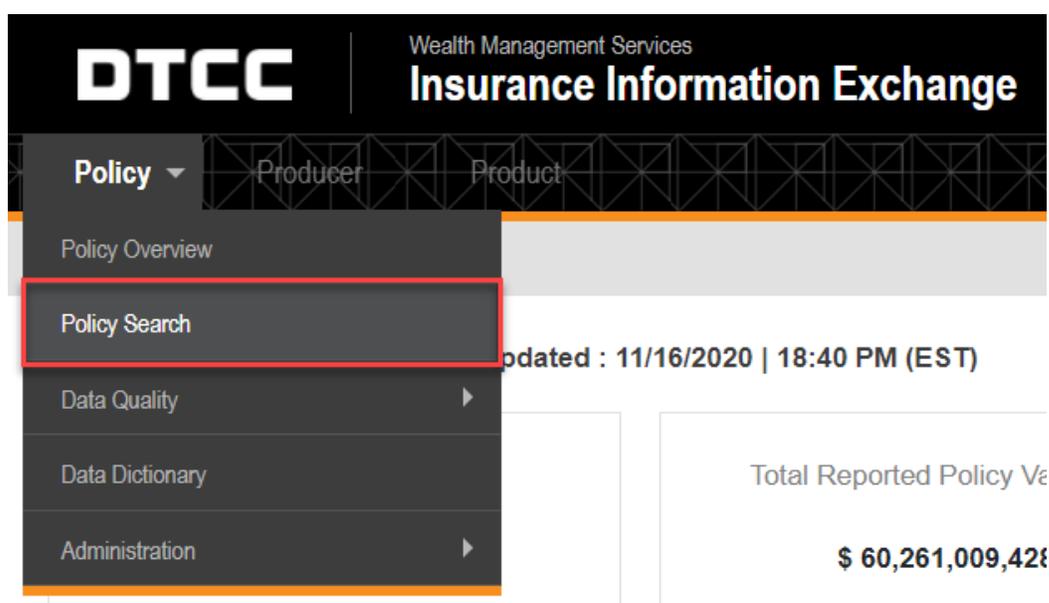
I&RS Insurance Information Exchange (IIEX) provides you with up-to-date and comprehensive policy level information such as parties, values, sub account information, etc.

- [Searching for a Policy](#)
- [If You Have the Policy Number](#)
- [Reviewing Policy Details](#)

Scenario: As a representative of IPS Test Carrier, you met with the rep of your top Test Distributor (Finetre) to discuss the performance of products issued from their Washington D.C. office. A few policies were flagged for a closer look.

Searching for a Policy

1. Click the Policy menu drop-down arrow to get the menu.



2. Select the **Policy Search** option from the drop-down menu. The Policy Search page appears.

Note

The **Policy Status** field shows the default value "Active". You can deselect the "Active" value to broaden your search results.

3. For this search, use the **DTCC Distributor Number & Name** field, **DTCC Carrier Number & Name** field, and the **Policy Issue State** field to add your search criteria and deselect the "Active" value.
4. Click the SEARCH button. The search result appears.

5. Scroll through the results to find the policy you want to review.

Policy Number	DTCC Carrier Number & Name	IRS Qualification Code	Policy CUSIP & Product Name	Policy Issue State	Policy Owner ID & Name	Policy Status	Primary Producer
9091018	0005119 - IPS TEST CARR...	403b	10922466 - BLC UNVLAN...	DC - Washington D.C.	XXXXX2890 - FETXM JGW	Active	776003
9189640	0005119 - IPS TEST CARR...	403b	DUMMY2007 - Dummy Cusp	DC - Washington D.C.	XXXXX1740 - CLJFL LIEPYU	Active	1703081
9189646A	0005119 - IPS TEST CARR...	403b	10922466 - BLC UNVLAN...	DC - Washington D.C.	XXXXX1740 - CLJFL LIEPYU	Active	1703081
A2000941	0005119 - IPS TEST CARR...	NON-QUALIFIED	10922M782 - SFG FIXED A...	DC - Washington D.C.		Active	
A2009650	0005119 - IPS TEST CARR...	NON-QUALIFIED	10922M782 - SFG FIXED A...	DC - Washington D.C.	XXXXX1596 - YKOTF IYGR	Active	3024656
A2013630	0005119 - IPS TEST CARR...	IRA	10922M782 - SFG FIXED A...	DC - Washington D.C.	XXXXX5239 - GSIJCNWG K	Active	692468
A2025170	0005119 - IPS TEST CARR...	NON-QUALIFIED	10922M782 - SFG FIXED A...	DC - Washington D.C.	XXXXX1011 - GSIJUEG ZU	Active	3424697
A2025173	0005119 - IPS TEST CARR...	NON-QUALIFIED	10922M782 - SFG FIXED A...	DC - Washington D.C.	XXXXX4537 - YQSQJQE M	Active	3483956
A2038100	0005119 - IPS TEST CARR...	IRA	10922M709 - SFG VARIAB...	DC - Washington D.C.	XXXXX9907 - AKGQSO B	Active	
A2050079	0005119 - IPS TEST CARR...	NON-QUALIFIED	10922M709 - SFG VARIAB...	DC - Washington D.C.	XXXXX4949 - JEJBNHO LP	Active	9458351
A2052422	0005119 - IPS TEST CARR...	IRA	10922M782 - SFG FIXED A...	DC - Washington D.C.	XXXXX7404 - BSUW KEZZEA	Active	3024097
A2053018	0005119 - IPS TEST CARR...	NON-QUALIFIED	10922M709 - SFG VARIAB...	DC - Washington D.C.		Active	
I1025213	0005119 - IPS TEST CARR...	IRA	10922M782 - SFG FIXED A...	DC - Washington D.C.	XXXXX9339 - YQWQEY AJ	Active	3030654
I100448	0005119 - IPS TEST CARR...	IRA	10922M782 - SFG FIXED A...	DC - Washington D.C.	XXXXX9431 - CFYUJGFHHS	Deferred Death	3018805
I1001023	0005119 - IPS TEST CARR...	NON-QUALIFIED	10922M782 - SFG FIXED A...	DC - Washington D.C.	XXXXX7982 - XCNC BILUCFG	Active	3424697

6. Click the Policy Number link of the policy you want to review.

If You Have the Policy Number

1. Select the **Policy Search** option in the Policy drop-down menu to go to the Policy Search page.
2. Enter the entire policy number in the **Enter Policy Number** field.

Note

All Policy Search text fields require an exact match.

Policy Search

Applied Filters: Policy Status: Active | Policy Number: 1100448

3. Click the SEARCH button. The Policy Details page appears.

3. Check the policy for completeness.

Note

Each policy will vary in details depending on product type, status, etc. However, missing critical data elements are flagged as Missing Data. Carriers are responsible for supplying missing data through Positions and Valuations (POV).

Value	Funds	Producers	Dates	Events	Party
Policy Value Name					
Total Withdrawal					\$ 4,145.80
Cost Basis					\$ 9,228.67
Required Minimum Distribution Basis Value					\$ 19,992.31
Year-End Value					\$ 19,992.31
Actuarial Present Value					\$ 0.00
Policy Fee					\$ 0.00
Surrender Charge Amount					\$ 0.00
Loan Amount					\$ 0.00
Gross Death Benefit					Missing Data
Guaranteed Death Benefit					Missing Data

4. Optional. Click the DOWNLOAD button to download a PDF copy of the Policy Details.



Policy Details Last Policy Data Refresh: 10/20/2020 03:33 PM (EST)

Policy Number: 11060448
Product CUSIP Name: SEG FIXED ANNUITY
Product Status: Deferred Death

DTCC Carrier Number & Name 00005119-IPS TEST CARRIER	Product CUSIP 1092234782	IRS Qualif Code IRA
ERISA Indicator Unknown	Policy Issue State Washington D.C.	Product Sub No Share C
End Receiving Company ID Qualifier Member Identification Number (DTCC Participant #)	Fund Transfer Restriction Yes	Fund Trans Restriction Restriction Product No

Values

Policy Value Name	Policy Value
Total Contract Amount	\$19,474.73
Surrender Value	\$19,474.73
Pre-TEFRA Cost	\$0.00
Post-TEFRA Cost	\$9,228.67
Original Investment Value	\$6,328.67
Net Death Benefit	\$0.00
Total Premium	\$9,228.67
Total Withdrawal	\$4,145.80
Cost Basis	\$9,228.67
Required Minimum Distribution Basis Value	\$19,992.31
Year-End Value	\$19,992.31
Actuarial Present Value	\$0.00
Policy Fee	\$0.00
Surrender Charge Amount	\$0.00
Loan Amount	\$0.00
Gross Death Benefit	Missing Data
Guaranteed Death Benefit	Missing Data



POLICY DETAILS - EXPORT
 EXPORTED ON: 11/20/2020 02:33 AM (EST)
 POLICY DETAILS as of: 10/20/2020 03:33 PM (EST)

POLICY # 11060448
 CARRIER # 00005119 - IPS TEST CARRIER

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POLICY # 11060448
 CARRIER # 00005119
 IPS TEST CARRIER
 Page 1

POLICY # 11060448
 CARRIER # 00005119
 IPS TEST CARRIER
 Page 2

Data Quality

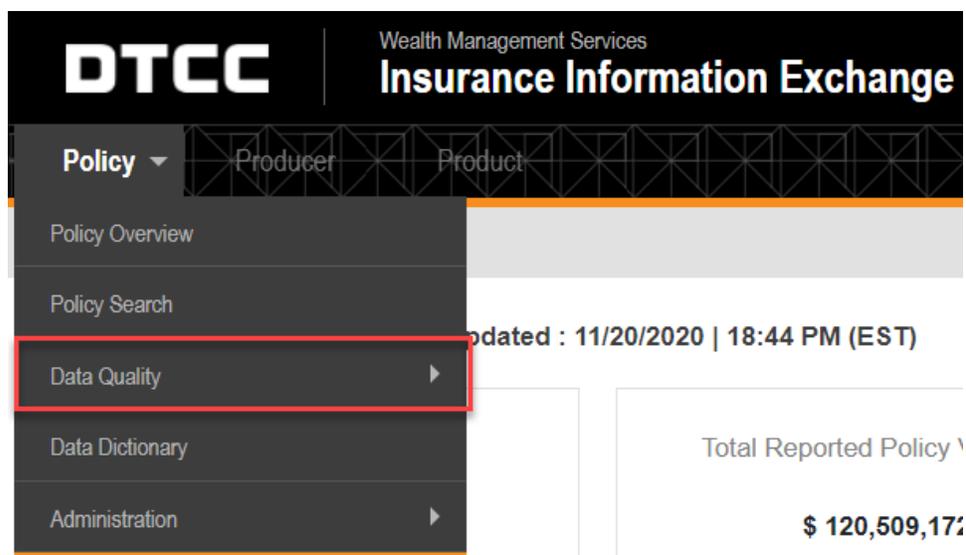
I&RS Insurance Information Exchange (IIEX) provides you with insights into the completeness of your business-critical policy data elements.

Scenario:

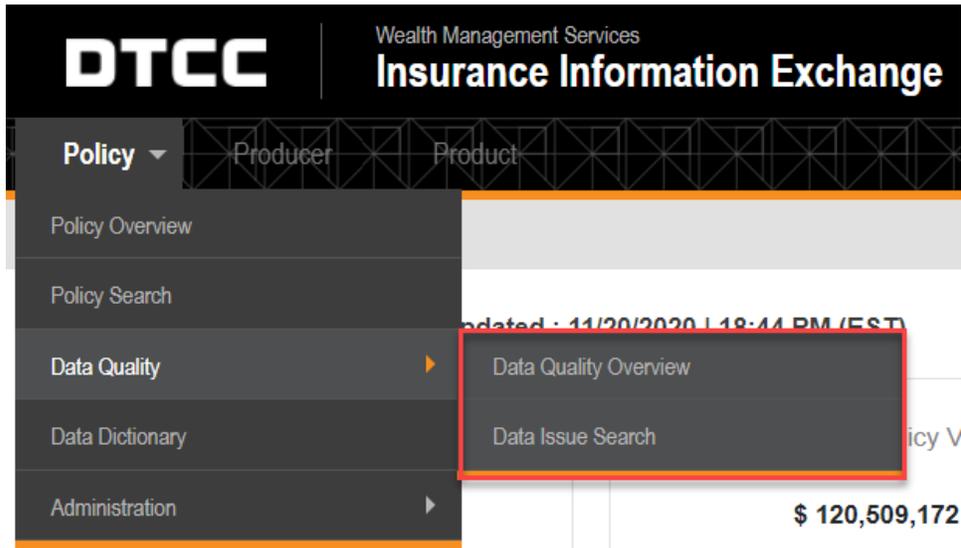
- [Accessing Data Quality](#)
- [Reviewing Overall Policy Completeness](#)
- [Identifying the Top 10 Missing Critical Data Elements \(CDEs\)](#)
- [Checking Completeness Rate by Distributor](#)
- [Checking Completeness Rate by Product Type](#)

Accessing Data Quality

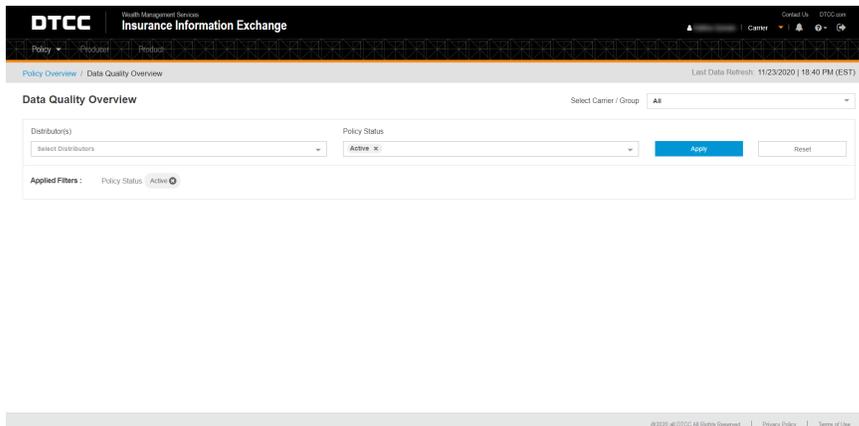
1. Click the Policy menu drop-down arrow to get the menu.



2. Mouse over the **Data Quality** menu option to get the submenu.



3. Select the **Data Quality Overview** submenu option. The Data Quality Overview page appears with "Active" as the default value in the **Policy Status** field.



4. *Conditional.* Select your firm or group from the **Select Carrier / Group** drop-down field if your firm has more than one member account.

Data Quality Overview

Applied Filters: Policy Status: Active

Total No. of Policies	Reported Policy Values(1,000s)	Total No. of Policies with Missing Data	Reported Policy Values(1,000s)	Overall Completeness Rate (%)
488	\$ 44,677	488	\$ 44,677	44.22 %

Top 10 Missing Critical Data Element

Policy Value Name	Occurrences
Policy Value Name	2,051
Reported Policy Value (S)	2,051
Country Code	981
Address Line 1	981
Identifier Qualifier	947
Identifier	947
First Name	928
City	922
Party Non-Natural Entity Name	922
Last Name	922

Completeness Rate by Distributor(s)

Distributor	Completeness Rate (%)	Total No. of Policies	Total No. of CDEs - All Policies	Total No. of Missing CDEs
00000122-TEST DISTRIBUTOR (FINETRE)	72.99%	19	1,333	360
00000725-RAYMOND JAMES & ASSOCIATES	72.71%	15	1,125	307
00000443-PERSHNG LLC	70.74%	8	458	134
00000123-TEST DISTRIBUTOR	42.63%	461	31,726	18,201

Completeness Rate by Product Type

Product Type	Completeness Rate (%)	Total No. of Policies	Total No. of CDEs - All Policies	Total No. of Missing CDEs
Fixed Indexed Annuity	53.67%	137	13,248	6,138
Fixed Annuity Products	38.05%	351	20,269	12,557

5. Click the APPLY button if you want to see the overall completeness of your firm's total number of policies. The updated Data Quality Overview page appears.
6. *Optional.* Click the MODIFY SEARCH link to modify your criteria, if necessary.

Data Quality Overview

Applied Filters: Policy Status: Active

Total No. of Policies	Reported Policy Values(1,000s)	Total No. of Policies with Missing Data	Reported Policy Values(1,000s)	Overall Completeness Rate (%)
721,662	\$ 93,662,318	720,751	\$ 93,446,647	76.45 %

Top 10 Missing Critical Data Element

Policy Value Name: 1,081,209

Data Quality Overview

Distributors: Select Distributors | Policy Status: Active X | **Apply** | Reset

Total No. of Policies	Reported Policy Values(1,000s)	Total No. of Policies with Missing Data	Reported Policy Values(1,000s)	Overall Completeness Rate (%)
721,662	\$ 93,662,318	720,751	\$ 93,446,647	76.45 %

Reviewing Overall Policy Completeness

1. Review the following fields in the Data Quality Overview section to get an overall picture of the state of your firm's policy data:
 - a. **Total No. of Policies** field to get the total number of policies.
 - b. **Reported Policy Values (1,000s)** field to get the reported policy values included in the total. Click the information icon for an explanation of the value calculation.
 - c. **Total No. of Policies with Missing Data** field to get the total count of policies with at least one critical data element missing.
 - d. **Reported Policy Values (1,000s)** field to get the reported policy values included in the total. Click the information icon for an explanation of the value calculation.
 - e. **Overall Completeness Rate (%)** field to get the overall completeness rate. Only policies with all critical data elements populated count as complete.

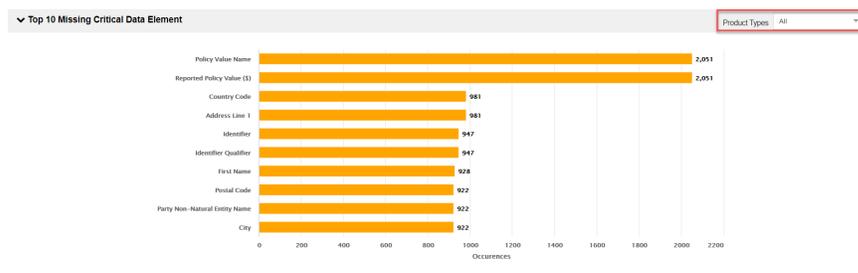
Total No. of Policies 488	Reported Policy Values(1,000s) \$ 44,877	Total No. of Policies with Missing Data 488	Reported Policy Values(1,000s) \$ 44,877	Overall Completeness Rate (%) 44.22 %
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Identifying the Top 10 Missing Critical Data Elements (CDEs)

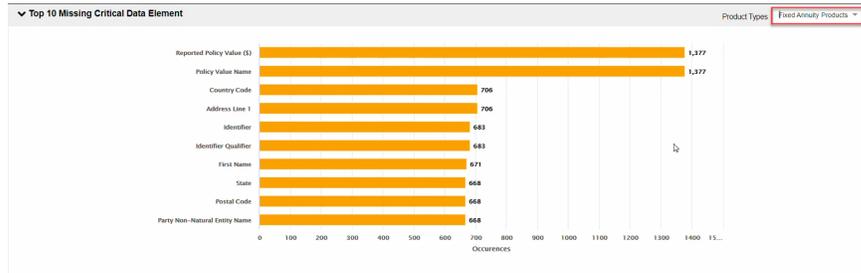
1. Scroll down to the Top 10 Missing Critical Data Element graph to identify the top 10 data elements missing across your policy data.

Note

By default, the policies included in the graph are for all of your firm's product types.



- Click the drop-down arrow in the Product Types field to select a product to see the top 10 missing critical data elements for a specific product.



Checking Completeness Rate by Distributor

Note

For a Distributor persona, the field is **Completeness Rate by Carrier(s)**.

- Check your completeness rates by distributors. You can view this by your top 5 or bottom 5.

Distributor	Completeness Rate (%)	Total No. of Policies	Total No. of CDEs - All Policies	Total No. of Missing CDEs
00000 INC	89.89%	1,076	65,328	6,603
00000 INC	89.77%	111	6,825	698
00000 INC	88.67%	8,489	533,206	60,408
00000 INC	87.97%	22	1,521	183
00000 INC	87.19%	7	531	58

Distributor	Completeness Rate (%)	Total No. of Policies	Total No. of CDEs - All Policies	Total No. of Missing CDEs
00000 INC	70.0%	22,411	1,241,728	372,462
00000 INC	71.43%	2,706	230,306	65,808
00000 INC	72.02%	154,175	8,482,231	2,373,631
0000499-DTCC INTEGRATION TEST 1	72.16%	19	1,293	360
00000 INC	72.61%	72	4,925	1,349

- Optional.* Filter the display further by selecting values from the **Product Types** and **Missing Data Element** fields.
- Optional.* Sort the list by the following columns.
 - Distributor**
 - Completeness Rate (%)**
 - Total No. of Policies**
 - Total No. of CDEs - All Policies**
 - Total No. of Missing CDEs**

5. *Optional.* Click the SEE FULL LIST link to get the full completeness rate list by distributors. You can sort the columns and filter this list further by using the **Product Types** and **Missing Data Element** fields.

Distributor	Completeness Rate (%)	Total No. of Policies	Total No. of CDEs - All Policies	Total No. of Missing CDEs
00000	70.0%	22,411	1,241,728	372,492
00000	71.43%	2,706	230,306	65,808
00000	72.02%	154,175	8,482,231	2,373,631
00004198-DTCC INTEGRATION TEST 1	72.16%	19	1,293	360
00000	72.61%	72	4,925	1,348
00000123-TEST DISTRIBUTOR	74.28%	17,862	1,681,729	432,568
00000122-TEST DISTRIBUTOR (FINE RE)	75.53%	271,309	24,627,760	6,026,663
00000	75.73%	183	11,801	2,864
00000	76.50%	547	35,040	8,210
00000	76.76%	755	48,958	11,572
00000	77.04%	750	59,727	13,716
00000	79.53%	219	15,274	3,127
00000	79.57%	2	188	38
00000	80.08%	32,419	2,910,547	579,683
00000	80.53%	1,037	68,205	13,277

6. Click the DOWNLOAD button to download an Excel spreadsheet listing the completeness rate of your policies by distributor.
7. *Optional.* Click a DISTRIBUTOR link to go to Data Issue Search to further review the issue of missing critical data elements for the selected distributor.

Checking Completeness Rate by Product Type

1. Review the Completeness Rate by Product Type section at the bottom of the Data Quality Overview page.
All of your products are displayed from most complete to least.

Product Type	Completeness Rate (%)	Total No. of Policies	Total No. of CDEs - All Policies	Total No. of Missing CDEs
Registered Index Annuity	90.64%	81	6,132	574
Variable Immediate Annuity	87.03%	39	4,326	561
Pension Plan	85.41%	2,204	327,841	47,847
Retirement Plan	85.2%	4	716	106
Variable Annuity Products	84.74%	293,080	27,451,374	4,189,085
Market Value Adjustment	83.94%	1,320	78,943	12,631
Variable Universal Life Insurance	79.43%	16,949	1,811,713	372,944
Fixed Annuity Products	78.01%	17,438	1,102,905	242,481
Deferred Income Annuity	77.68%	237	11,987	2,676
Fixed Immediate Annuity	77.42%	13	1,023	231
Index Variable Annuity	76.42%	2,477	192,504	45,365
Fixed Indexed Annuity	72.91%	24,677	2,236,540	605,830
Fixed Universal Life Insurance	68.07%	30,730	2,462,966	771,761
Index Life	67.02%	119	9,734	3,210
Fixed Whole Life Insurance	66.31%	43	2,915	982
Term Life	60.57%	12,458	651,813	256,828

2. Click the column heads to change the sorting order.
3. *Optional.* Select a drop-down field option from the **Missing Data Element** field to focus on a specific missing data element.
4. *Optional.* Click a PRODUCT TYPE link to go to Data Issue Search to further review the issue of missing critical data elements for the selected product type.

Data Issue Search

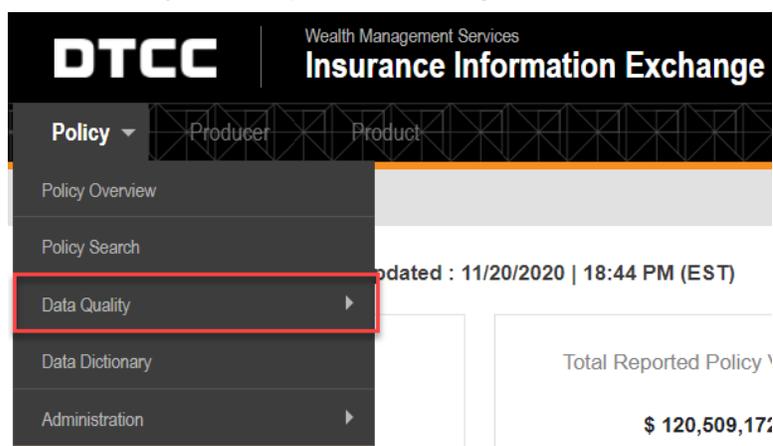
I&RS Insurance Information Exchange (IIEX) provides you with insights into the completeness of your business-critical policy data elements.

Scenario: A large number of policies issued by DTCC Integration Test 1, a distributor, for your Fixed Annuity Products have been recorded with a high percentage of missing critical data elements (CDEs).

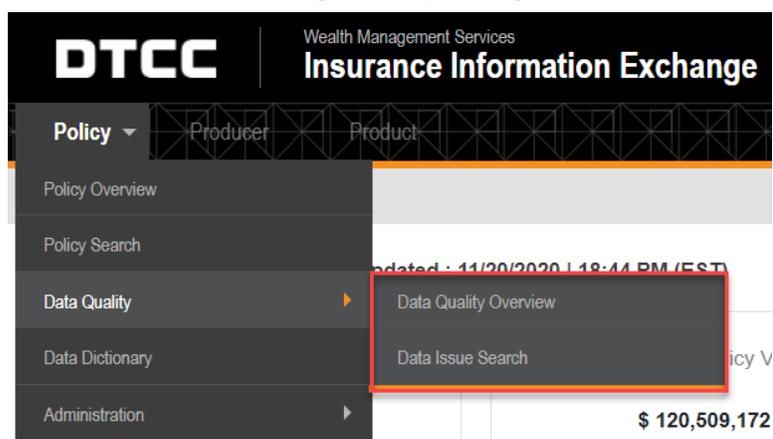
- [Accessing Data Issue Search](#)
- [Setting Search Criteria](#)
- [Data Issue Search Results](#)
- [CDEs Shown in Policy Details](#)

Accessing Data Issue Search

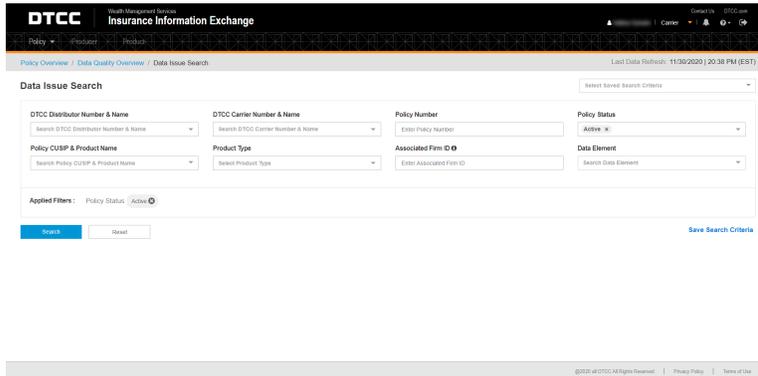
1. Click the Policy menu drop-down arrow to get the menu.



2. Mouse over the **Data Quality** menu option to get the submenu.

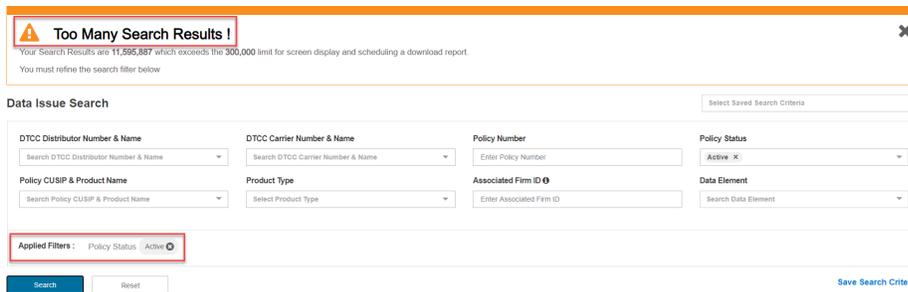


3. Select the **Data Issue Search** submenu option. The Data Issue Search page appears with "Active" as the default value in the **Policy Status** field.

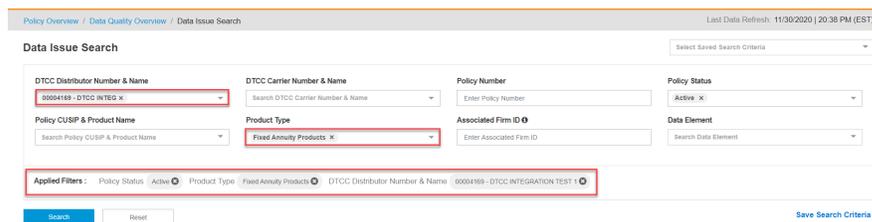


Setting Search Criteria

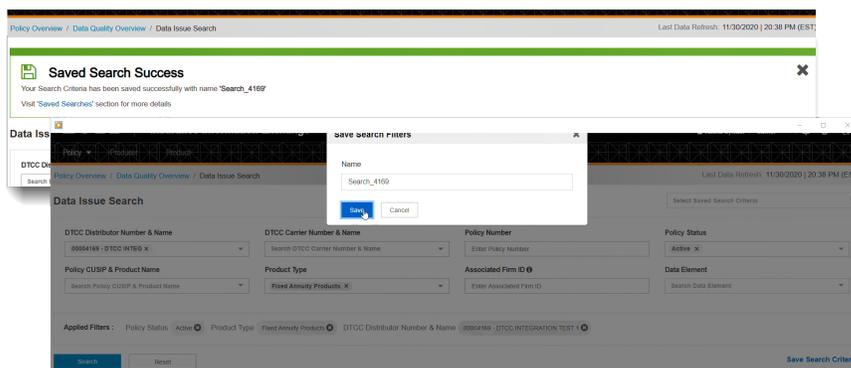
Note: Running the search with "Active" as your only criteria will usually exceed the search limit.



1. Enter your search criteria to narrow the results. Use the **Policy Number** field or **Associated Firm ID** field only if you have exact information.



- Optional. Click the SAVE SEARCH CRITERIA link to save your criteria if you will need it in the future.



- Click the SEARCH button. The data issue search results appear.

Data Issue Search Results

Policy Overview / Data Quality Overview / Data Issue Search Last Data Refresh: 11/30/2020 | 20:38 PM (EST)

Data Issue Search Select Saved Search Criteria

Applied Filters: Policy Status: Active DTCC Distributor Number & Name: 0004169 - DTCC INTEGRATION TEST 1 Product Type: Fixed Annuity Products Modify Search

63 results found

Policy Number	Completeness Rate (%)	DTCC Carrier Number & Name	Missing Data Element	Policy CUSIP & Product Name	Policy Status	Product Type
BD008148	72.22%	00004170 - DTCC INTEGRATI...	Identifier Qualifier	DUMMY7006 - TEST Variable ...	Active	Fixed Annuity Products
BD008148	72.22%	00004170 - DTCC INTEGRATI...	Country Code	DUMMY7006 - TEST Variable ...	Active	Fixed Annuity Products
BD008148	72.22%	00004170 - DTCC INTEGRATI...	Reported Policy Value (\$)	DUMMY7006 - TEST Variable ...	Active	Fixed Annuity Products
BD008148	72.22%	00004170 - DTCC INTEGRATI...	First Name	DUMMY7006 - TEST Variable ...	Active	Fixed Annuity Products
BD008148	72.22%	00004170 - DTCC INTEGRATI...	Identifier	DUMMY7006 - TEST Variable ...	Active	Fixed Annuity Products
BD008148	72.22%	00004170 - DTCC INTEGRATI...	Policy Value Name	DUMMY7006 - TEST Variable ...	Active	Fixed Annuity Products
BD008148	72.22%	00004170 - DTCC INTEGRATI...	Address Line 1	DUMMY7006 - TEST Variable ...	Active	Fixed Annuity Products
BD008150	63.01%	00004170 - DTCC INTEGRATI...	Reported Policy Value (\$)	DUMMY7006 - TEST Variable ...	Active	Fixed Annuity Products
BD008150	63.01%	00004170 - DTCC INTEGRATI...	Address Line 1	DUMMY7006 - TEST Variable ...	Active	Fixed Annuity Products
BD008150	63.01%	00004170 - DTCC INTEGRATI...	Policy Value Name	DUMMY7006 - TEST Variable ...	Active	Fixed Annuity Products
BD008150	63.01%	00004170 - DTCC INTEGRATI...	Identifier	DUMMY7006 - TEST Variable ...	Active	Fixed Annuity Products
BD008150	63.01%	00004170 - DTCC INTEGRATI...	Identifier Qualifier	DUMMY7006 - TEST Variable ...	Active	Fixed Annuity Products
BD008150	63.01%	00004170 - DTCC INTEGRATI...	Country Code	DUMMY7006 - TEST Variable ...	Active	Fixed Annuity Products
BD008150	63.01%	00004170 - DTCC INTEGRATI...	Date of Birth	DUMMY7006 - TEST Variable ...	Active	Fixed Annuity Products
BD810088	73.33%	00004170 - DTCC INTEGRATI...	Policy Value Name	DUMMY7006 - TEST Variable ...	Active	Fixed Annuity Products

Displaying 1 - 50 of 63 Show 50 per Page

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The results fall under the following non-sortable columns, arranged in policy number order:

- Policy Number
- Completeness Rate (%)
- DTCC Carrier Number & Name
- Missing Data Element
- Policy CUSIP & Product Name
- Policy Status
- Product Type

1. *Optional.* Click the **MANAGE COLUMNS** button if you want to hide the columns you don't need.
2. *Conditional.* In the Manage Columns dialog box, deselect the columns you want to hide and click the **APPLY** button. The modified columns appear.

Applied Filters: Policy Status: Active DTCC Distributor Number & Name: 00004169 - DTCC INTEGRATION TEST 1 Product Type: Fixed Annuity Products Modify Search

63 results found

Policy Number	Completeness Rate (%)	Missing Data Element
BD008148	72.22%	Identifier Qualifier
BD008148	72.22%	Policy Value Name
BD008148	72.22%	First Name
BD008148	72.22%	Country Code
BD008148	72.22%	Reported Policy Value (\$)
BD008148	72.22%	First Name
BD008148	72.22%	Identifier
BD008148	72.22%	Policy Value Name
BD008148	72.22%	Address Line 1
BD008150	63.01%	Reported Policy Value (\$)
BD008150	63.01%	Address Line 1
BD008150	63.01%	Policy Value Name

3. *Optional.* Click the **DOWNLOAD** button to download an Excel spreadsheet of your data issue search results. The downloaded spreadsheet reflects your column modifications, if any.

The screenshot shows an Excel spreadsheet with two sheets: 'Cover Sheet' and 'Data_Issue_Search_Result'. The 'Data_Issue_Search_Result' sheet contains the following data:

Policy Number	Completeness Rate (%)	Missing Data Element
BD008148	72.22%	Policy Value Name
BD008148	72.22%	First Name
BD008148	72.22%	Country Code
BD008148	72.22%	Identifier Qualifier
BD008148	72.22%	Address Line 1
BD008148	72.22%	Identifier
BD008148	72.22%	Policy Value Name
BD008148	72.22%	Address Line 1
BD008150	63.01%	Reported Policy Value (\$)
BD008150	63.01%	Address Line 1
BD008150	63.01%	Date of Birth
BD008150	63.01%	Identifier
BD008150	63.01%	Reported Policy Value (\$)
BD008150	63.01%	Address Line 1
BD008150	63.01%	Identifier Qualifier
BD008150	63.01%	Country Code
BD008150	63.01%	Address Line 1
BD008150	63.01%	Policy Value Name
BD008150	63.01%	Reported Policy Value (\$)
BD008150	63.01%	Country Code
BD008150	63.01%	Identifier Qualifier
BD008150	63.01%	Identifier
BD008150	63.01%	Country Code
BD008150	63.01%	Reported Policy Value (\$)
BD008150	63.01%	Address Line 1
BD008150	63.01%	Identifier
BD008150	63.01%	Policy Value Name
BD008150	63.01%	Address Line 1

The 'Cover Sheet' contains the following search criteria:

- 1 Report No.:ADHOC
- 2 Search Results as of:2020-12-01 21:12:57.447
- 3 Data Issue Search Criteria:
- 4 DTCC Carrier Number & Name: [00004170]
- 5 DTCC Distributor Number & Name:[00004169]
- 6 Policy Status:[VA]
- 7 Product Type:[FIX]
- 8

CDEs Shown in Policy Details

Applied Filters: Policy Status: Active DTCC Distributor Number & Name: 00004169 - DTCC INTEGRATION TEST 1 Product Type: Fixed Annuity Products Modify Search

63 results found

Policy Number	Completeness Rate (%)	Missing Data Element
BD008148	72.22%	Identifier Qualifier
BD008148	72.22%	Country Code
BD008148	72.22%	Reported Policy Value (\$)
BD008148	72.22%	First Name
BD008148	72.22%	Identifier
BD008148	72.22%	Policy Value Name
BD008148	72.22%	Address Line 1
BD008150	63.01%	Reported Policy Value (\$)
BD008150	63.01%	Address Line 1
BD008150	63.01%	Policy Value Name

1. Click a **Policy Number** link to review the policy's details. The **Policy Details** page appears.

Policy Details

Policy Number: **BD008148** Policy CUSIP Name: **TEST Variable Annuity Product** Policy Status: **Active**

DTCC Carrier Number & Name: 00004170 - DTCC INTEGRATION TEST 2 Product CUSIP: DUMM1706 IRS Qualification Code: NON-QUALIFIED Product Type: Fixed Annuity Products

ERISA Indicator: No Policy Issue State: CA - California

Value	Funds	Producers	Dates	Events	Pay	Features	Annuitization
Policy Value Name					Policy Value	Policy Percentage Amount Name	Policy Percentage Amount
Total Contract Amount					\$ 75,991.89		
Surrender Value					\$ 69,241.89		No Information Reported
Total Premium					\$ 75,000.00		
Net Death Benefit					Missing Data		
Gross Death Benefit					Missing Data		
Total Withdrawal					Missing Data		
Contingent Payout Benefit					Missing Data		

2. Review the policy details, clicking on the different tabs to identify all of the missing critical data elements that need to be resolved.
3. Optional. Click the DOWNLOAD button to download a PDF copy of the policy details.

Administration

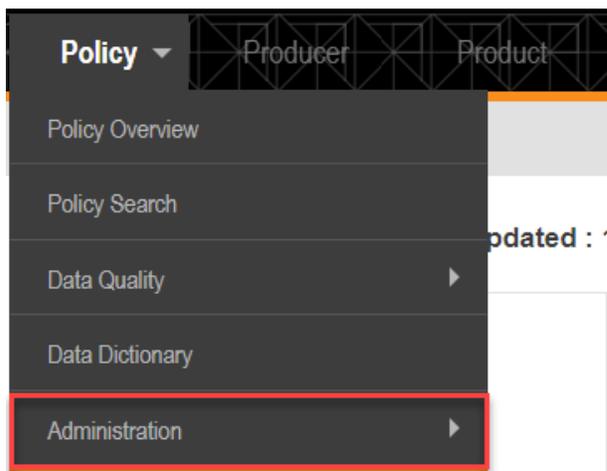
- [Accessing Saved Searches](#)
- [Executing a Saved Search](#)
- [Deleting a Saved Search](#)

Saved Searches

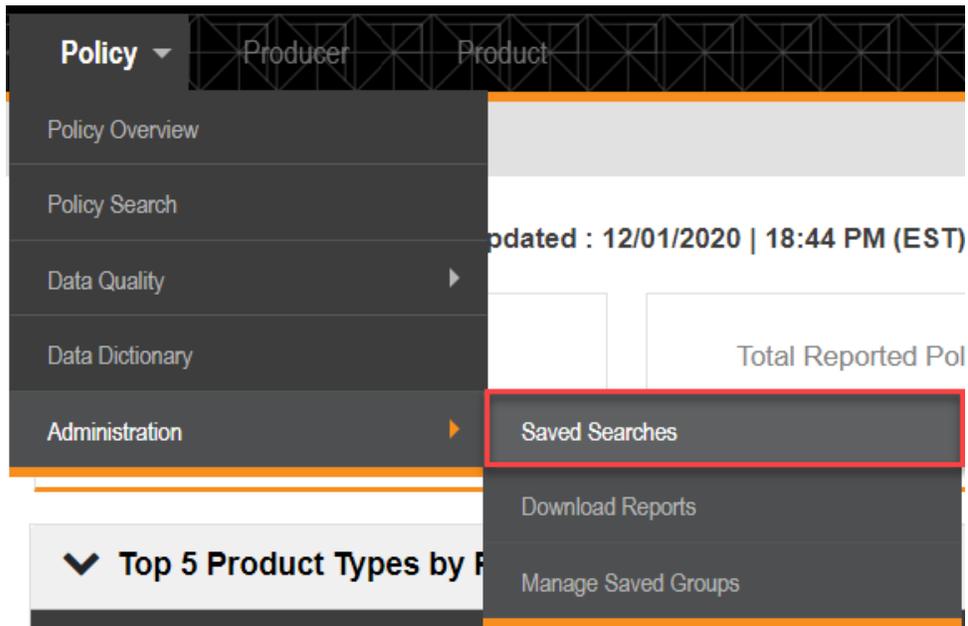
I&RS Insurance Information Exchange (IIEX) provides you with the ability to save your search criteria for future use.

Accessing Saved Searches

1. Click the Policy menu drop-down arrow to get the menu.



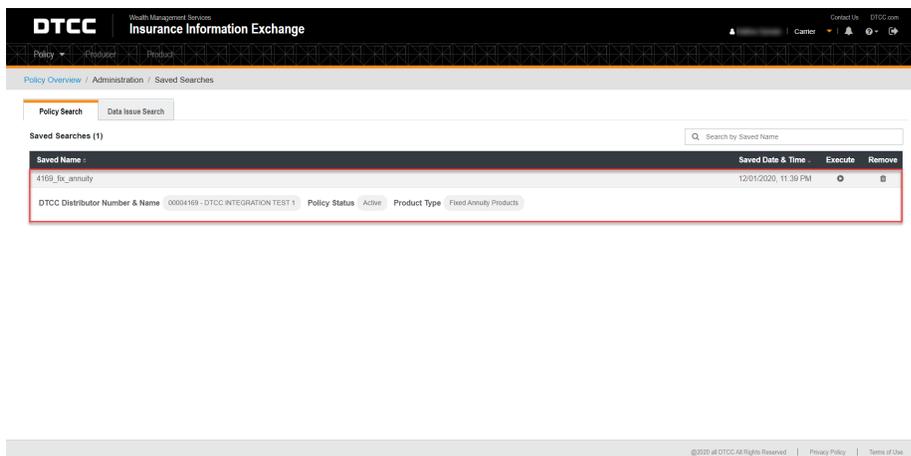
2. Mouse over the **Administration** menu option to get the submenu.



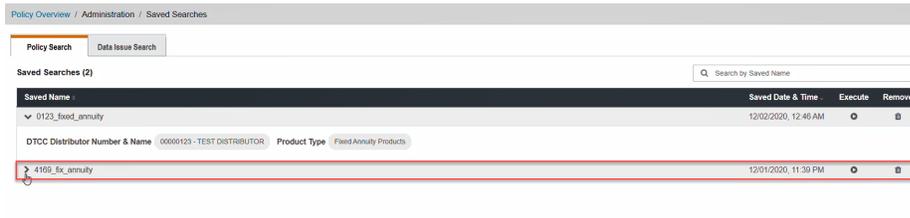
3. Select the **Saved Searches** submenu option. The Saved Searches page appears.

Executing a Saved Search

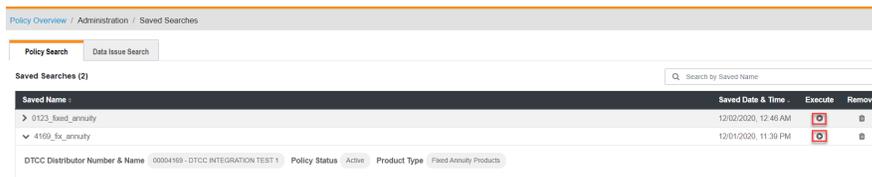
The Saved Searches page is divided into two tabbed sections. Policy Search is the default tab. You will find your saved searches from Policy Search here. Any searches you save from Data Issue Search you will find on the Data Issue Search tab.



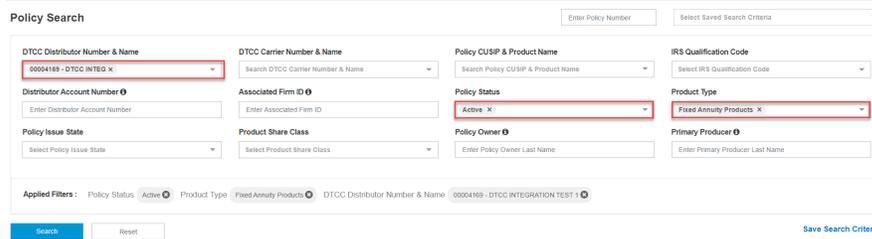
Note: Saved Searches displays your saved search criteria below the name of the saved search. Multiple saved searches appear in collapsed accordion style with only the name and saved date and time displayed. You do not need to expand the collapsed saved search to use it if you are sure that it has the required search criteria.



1. Click the EXECUTE button on the saved search's line to initiate a search with applied filters.



The Policy Search page appears with saved search criteria populated.



2. Click the SEARCH button to run your search.

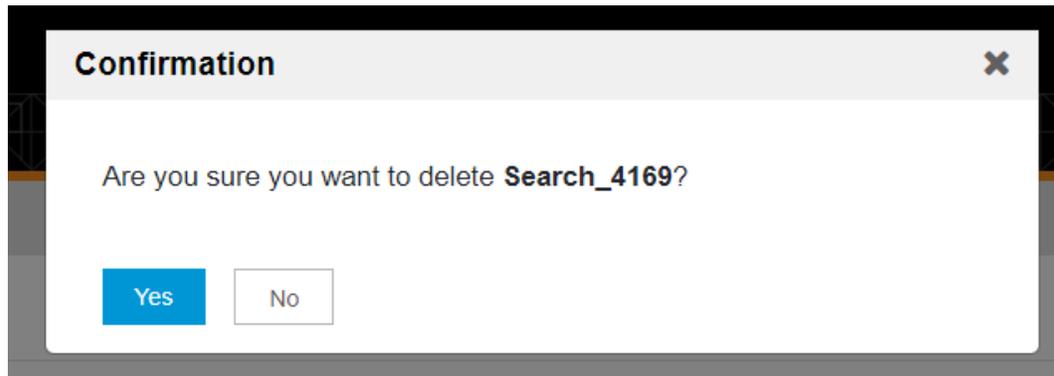
Deleting a Saved Search

Saved searches can only be deleted from the Administration section.

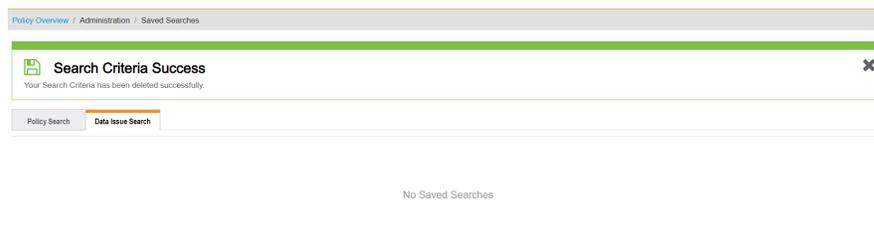
1. Go to the Policy Search or Data Issue Search tab of the Saved Searches page.



2. Click the REMOVE button on the saved search line. The Confirmation dialog box appears.



3. Click the YES button to confirm your deletion or the NO button to cancel the deletion. If you confirm, your saved search disappears and a Search Criteria Success banner appears.



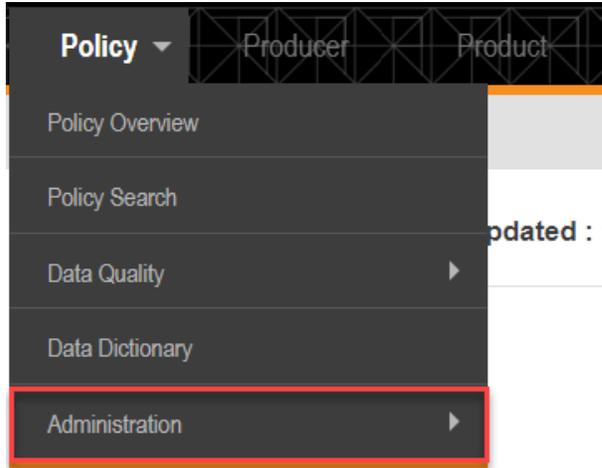
Manage Saved Groups

I&RS Insurance Information Exchange (IIEX) provides you with the ability to create and save groups for future use.

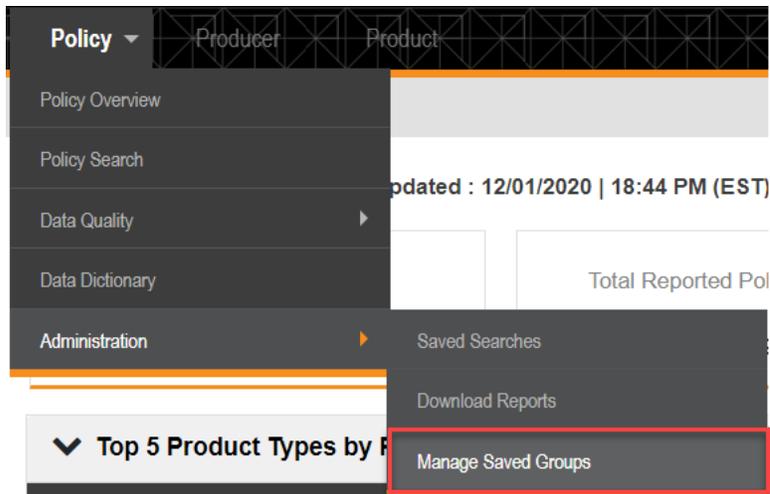
- [Accessing Manage Saved Groups](#)
- [Creating a New Group](#)
- [Modifying a Saved Group](#)
- [Removing a Saved Group](#)

Accessing Manage Saved Groups

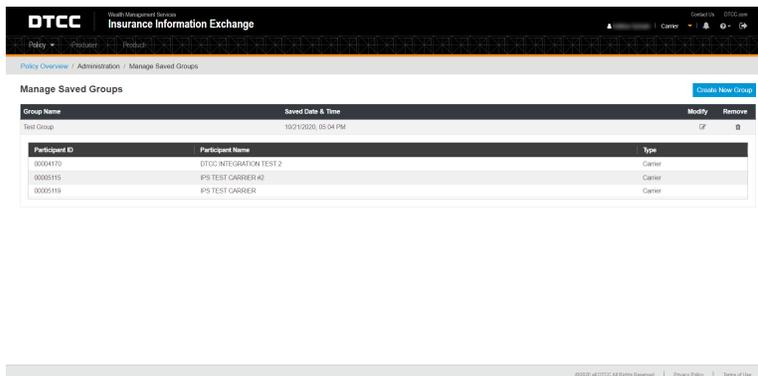
1. Click the Policy menu drop-down arrow to get the menu.



2. Mouse over the **Administration** menu option to get the submenu.



3. Select the **Manage Saved Groups** submenu option. The Manage Saved Groups page appears.



Creating a New Group

1. Click the **CREATE NEW GROUP** button to create a new group. The Create New Group dialog box appears.

2. Type a name for your group in the **Enter Group Name** field.
3. Use the **Search Participant ID & Name** search field in the **Select Participant ID & Name** field to select members for your new group.

4. Click the **SAVE** button to save your new group.

Policy Overview / Administration / Manage Saved Groups

Manage Custom Group Success

Your Manage Custom Group **Test Carrier** has been saved successfully.

Manage Saved Groups [Create New Group](#)

Group Name	Saved Date & Time	Modify	Remove
Test Carrier	12/02/2020, 05:30 AM		
Test Group	10/21/2020, 05:04 PM		

Modifying a Saved Group

Policy Overview / Administration / Manage Saved Groups

Manage Saved Groups [Create New Group](#)

Group Name	Saved Date & Time	Modify	Remove
Test Carrier	12/02/2020, 05:30 AM		
Test Group	10/21/2020, 05:04 PM		

Participant ID	Participant Name	Type
00004170	DTCC INTEGRATION TEST 2	Carrier
00005115	IPS TEST CARRIER #2	Carrier
00005119	IPS TEST CARRIER	Carrier

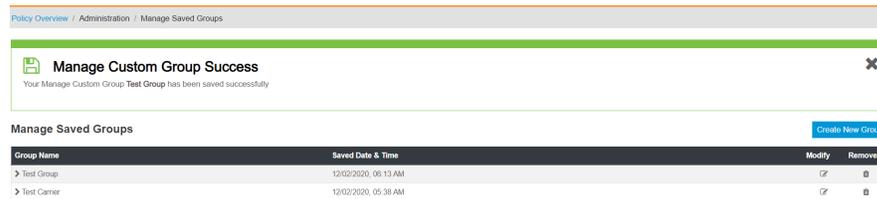
1. Expand a saved group to review its members.
2. Click the MODIFY button on the line with the saved group to modify the group.

Note: If there is a problem with members of a saved group, they are highlighted and an error message appears in the Modify Group dialog box.

3. Mouse over the members you want to remove from your group. A minus sign appears.

4. Click the minus sign to remove the member.
5. Add new members from the **Select Participant ID & Name** field.
6. Click the SAVE button. A Confirmation dialog box appears.

- Click the YES button to confirm modification. The Manage Custom Group Success banner appears.



Policy Overview / Administration / Manage Saved Groups

Manage Custom Group Success
Your Manage Custom Group Test Group has been saved successfully.

Manage Saved Groups [Create New Group](#)

Group Name	Saved Date & Time	Modify	Remove
> Test Group	12/02/2020, 06:13 AM	<input checked="" type="checkbox"/>	<input type="checkbox"/>
> Test Carrier	12/02/2020, 05:38 AM	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Removing a Saved Group

- Click the REMOVE button on the line of the saved group you want to remove.

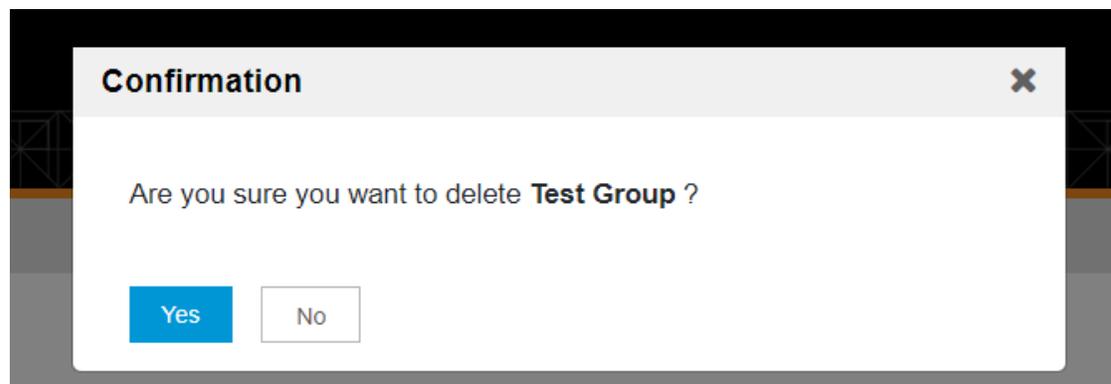


Policy Overview / Administration / Manage Saved Groups

Manage Saved Groups [Create New Group](#)

Group Name	Saved Date & Time	Modify	Remove
> Test Group	12/02/2020, 06:13 AM	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
> Test Carrier	12/02/2020, 05:38 AM	<input checked="" type="checkbox"/>	<input type="checkbox"/>

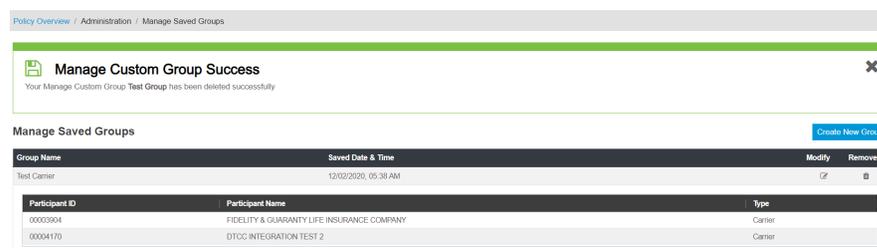
The Confirmation dialog box appears.



Confirmation

Are you sure you want to delete **Test Group** ?

- Click the YES button to confirm deletion of the saved group. The Manage Custom Group Success banner appears.



Policy Overview / Administration / Manage Saved Groups

Manage Custom Group Success
Your Manage Custom Group Test Group has been deleted successfully.

Manage Saved Groups [Create New Group](#)

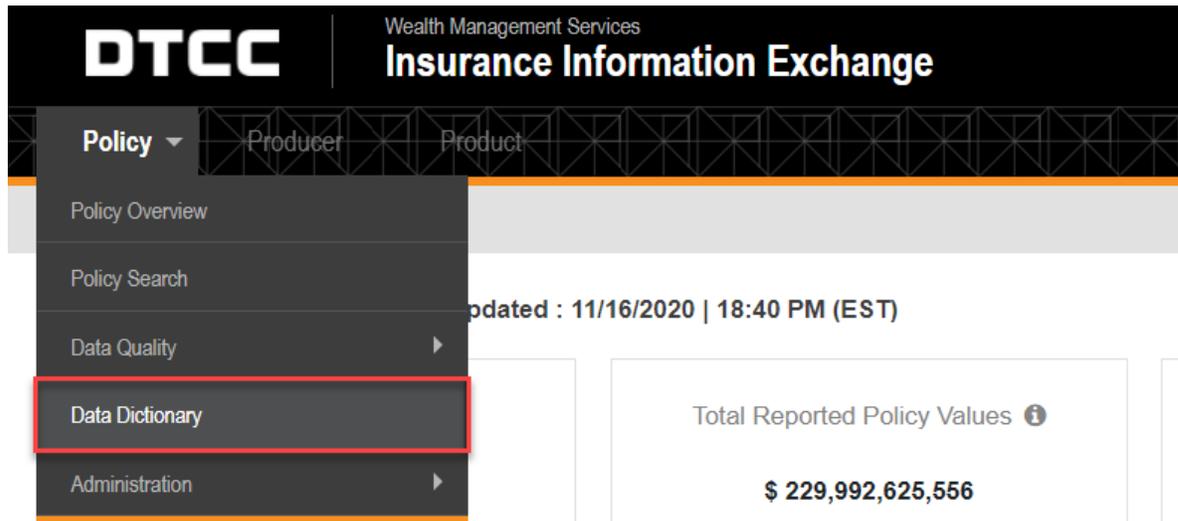
Group Name	Saved Date & Time	Modify	Remove
Test Carrier	12/02/2020, 05:38 AM	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Participant ID	Participant Name	Type
00003904	FIDELITY & GUARANTY LIFE INSURANCE COMPANY	Carrier
00004170	DTCC INTEGRATION TEST 2	Carrier

Accessing the Data Dictionary

The Insurance Information Exchange (IIEX) includes the Data Dictionary, providing you with IIEX data field definitions and their corresponding DTCC Item Number in Positions and Valuations (POV).

1. Click the Policy drop-down arrow to get the menu.



2. Select the **Data Dictionary** option from the drop-down menu. The Data Dictionary page appears.

The screenshot shows the DTCC Data Dictionary page. The table below lists various data fields, their definitions, and their corresponding DTCC Item Numbers.

UI Data Name	DTCC Data Point Definition	DTCC Item Number
Accelerated Benefit Value	Used to report LTC Rider Coverage. The remaining benefit coverage available for qualified long-term care services that when paid reduce the contract value. Represented by code (ABV)	POV 3102
Accumulating Withdrawal % of Earned Interest Allowed (w/o Surrender Charge)	This is an accumulating value. In terms of usage, the corresponding Contract Percentage Amount (3103) would be 100% if the client could withdraw 100% of interest earned over the accumulated value. If this code is selected, the corresponding Contract % Value field must be greater than 0%. Represented by code (CWP)	POV 3104
Active	Active Contract. Represented by code (VA)	POV 3022
Active - Contract Restricted	Contract is currently active but with a zero balance. The contract still has living benefit payments, however, certain financial transactions are allowed but other restrictions may apply. Represented by code (VR)	POV 3022
Active Annuity Payout (formerly - Active Annuitized)	Annuity Only - Contract has reached the annuitization period and may have been given a new contract number. Payments are in progress and will continue to be repeated until death. This status would be used for any contracts that are in a period phase, regardless of how they originated. They may be used for deferred contracts that have been Annuitized, or for contracts that began as immediate annuities. Represented by code (AA)	POV 3022
Actual Loss Rate	The actual loss realized based on the index strategy during the last period. Represented by code (AL)	POV 3155
Actual Rate	The rate earned in the last index ending period, if this index option has rolled over from a prior period. Represented by code (AR)	POV 3155
Actuarial Present Value	The present value of any additional guaranteed benefits that will be provided under the contract. If federal law or regulation excludes the APV from the Required Minimum Distribution calculation, the APV value should not be reported or a value of 0 should be sent. Applicable to contracts with a qualification type that are required by federal law to take a RMD. Represented by code (AV)	POV 3102
Address Line 1	Address for party previously noted	POV 3850
Address Line 2	Address for party previously noted	POV 3851

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3. Use the navigation links to jump to the alphabetic section.

Policy Overview / Data Dictionary

Data Dictionary A B C D E F G H I J K L M N O P Q R S T U V W X Y Z

UI Data Name	DTCC Data Point Definition	DTCC Item Number
Sales Load Fee Percentage	Uplifted sales load fee deducted from premium prior to investment into policy. Typically for "A" share products. Represented by code (SLS)	POV 3104
Single Premium	Total premium for a single premium policy. Represented by code (PR)	POV 3102
Standing Allocation	Indicates whether fund is part of a standing allocation.	POV 3122
Standing Allocation Percentage	Indicates what % of the fund is in the standing allocation. This field should only be filled with a value greater than zero if the Standing Allocation indicator is Y. Otherwise, this field should be spaces. DO NOT ZERO FILL THIS FIELD.	POV 3123
State	Abbreviation from U.S. Postal Code List	POV 3802
Surrender	Identifies the date when the annuity contract or insurance policy was surrendered and funds were disbursed or cashed out. Represented by code (279)	POV 3402
Surrender Charge Amount	Total surrender charge amount if the contract was fully surrendered/liquidated. Represented by code (SC)	POV 3102
Surrender Charge Expiration Date	The first date that the contract is free of all surrender charges. If the surrender charge is based on individual premiums paid into the contract, this date will change whenever a premium is paid into the contract. - Standard Usage - Ideally, the date should be transmitted whenever the date changes, and at a minimum sent quarterly if it hasn't changed. However, some Carriers may choose to send on every position file they send due to system capabilities. Distributors can choose to ignore until the dates in which it is required or refresh the data on each file. Distributors should NOT ask Carriers to omit the data. - The expiration should continue to be sent even once past expiration date. Represented by code (28)	POV 3402
Surrender Charge Schedule	The field represents the reporting of the surrender charge schedule for the contract being reported. Example formatting should be @###@###, etc. (5/54/32). Please note: if item#3611 is populated with 215 and item#3616 is populated then item#3616 represents a Rider Reduction/Adjustment Fee Schedule and not a Surrender Charge Schedule.	POV 3616

4. Scroll down, if necessary.

5. Click the DOWNLOAD button if you want to download an Excel spreadsheet copy of the entire data dictionary.

A B C D E F G H I J K L M N O P Q R S T U V W X Y Z 

DTCC Item Number

DTCC API MARKETPLACE

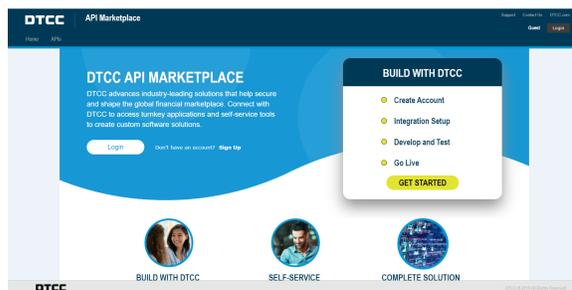
Overview

Full Insurance Information Exchange (IIEX) API specifications are available on the DTCC API Marketplace, a developer community where users can access turnkey applications and self-service tools to create custom software solutions.

IIEX API functionality is available to Carrier and Distributor firms and Service Bureaus. If your firm has decided to use the IIEX API-enabled platform, you need to create an account with the DTCC API Marketplace.

Requesting an Account

1. Go to <https://developer.dtcc.com/> to get started with the IIEX API solution.

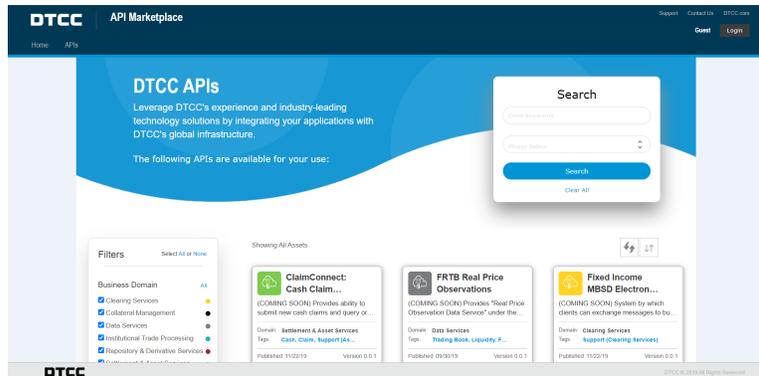


2. Click the **Sign Up** link or the GET STARTED button to apply for an account. The DTCC API Marketplace form appears.

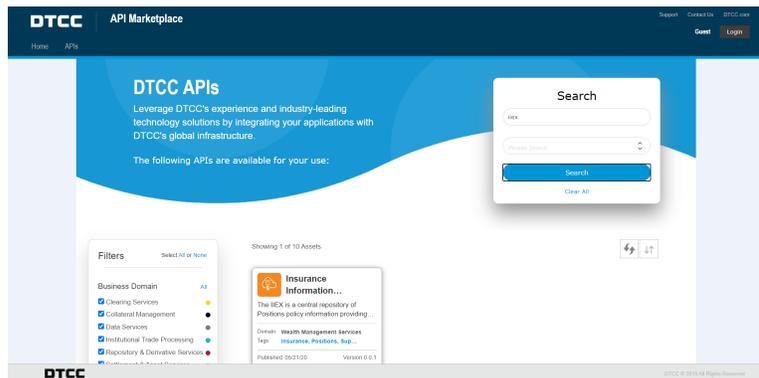
3. Fill out the form and click the CONTACT US button to request an account.

Accessing the IEX API Files

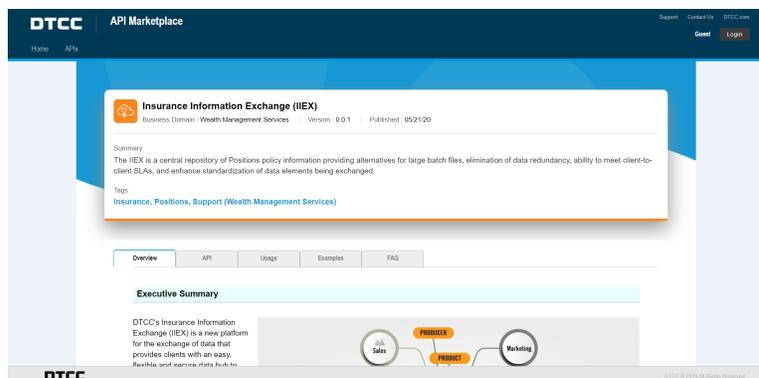
1. Click the APIs link. The DTCC APIs page appears.



2. Type "IEX" in the **Search** field and click the **SEARCH** button.

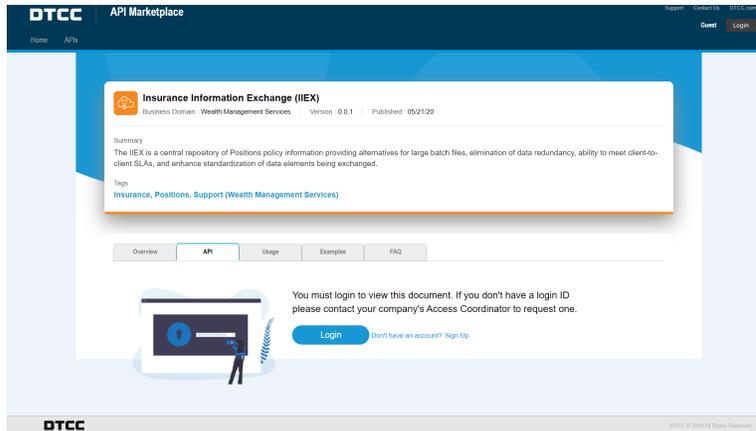


3. Click the Insurance Information Exchange tile. The IEX API page appears.



Note

You can access the content of the Overview tab without logging in. The API, Usage, Examples, and FAQ tabs require you to log in.



4. Click the LOGIN button if you have an account or the **Sign Up** link to request an account.

WHAT'S NEW

Welcome to the Insurance Information Exchange (IIEX) online help. This What's New? page will keep you informed about the latest updates to the help and provide a history of changes.

Date	Description of Updates
January 15, 2021	Initial version