

# **INSURANCE INFORMATION EXCHANGE**

### **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.

7	Welcome,	u Tyrian		
	Select Persona			2
	þistributor Carrier	- Christ		
	Submit			
Values	• Aver	age керопеа value per	Tc	ota

- 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.

					Distributor 🗸 🗍 🌲
olicy • Producer Produce	XXXXXXXX	<u>XXXXXXX</u> X	I K K K K V		<u> XXXXX</u>
icy Overview					
licy Overview Last Updated :	10/21/20 06:41:09 PM (EST)		Select I	Distributor All	
Total No of Policies	Total Reported Policy Values 0	Average Reported Value per Policy 0	Total No of	Carriers	Completeness Rate 0
1,287,872	\$ 170,046,123,424	\$ 132,037.00	37		6.86 %
Top 5 Product Types by Policy Value	alue				Policy Value
roduct Types 41	at Reported Policy Value	J1 % of Total Values	at Policy Count	at % of Total Policies	41 Avg. Reported Value/P
iriable Annuity Products	\$ 135,383,331,680	79.62 %	879,182	68.27 %	\$ 153,96
ed Indexed Annuity	\$ 23,965,887,957	14.09 %	268,528	20.85 %	\$ 89,2
ed Annuity Products	\$ 7,258,558,354	4.27 %	97,481	7.57 %	\$ 74,4
lex Variable Annuity	\$ 1,530,862,227	0.90 %	7,606	0.59 %	\$ 201,2
gistered Index Annuity	\$ 877,685,406	0.52 %	22,921	1.78 %	\$ 38,2
tal - Top 5	\$ 169,016,323,624	99,39 %	1,275,718	99.06 %	\$ 132,4 View Fi
Top 5 Product CUSIPs by Policy '	Value				Policy Value
oduct CUSIP 41	41 Reported Policy Value	11 % of Total Values	++ Policy Count	at % of Total Policies	Avg. Reported Value/F
CONTRACTOR OF THE OWNER OWNER OF THE OWNER	\$ 19,830,666,839	11.00 %	121,060	9.40 %	\$ 163,7
CALL OF THE OWNER OWNE	\$ 11,963,936,150	7.04 %	83,260	6.46 %	\$ 143,6
CORT PARTY CORT AND	\$ 6,984,370,710	4.11 %	44,019	3.42 %	\$ 158,6
A REAL PLAN AND A REAL PLAN AND A	5 6,031,451,230	3.00 %	39,751	3.09%	\$ 151,7
tel Tes f	5 5,353,341,797	3.10 %	31,635	2.47 %	5 100,4
ai - 100 0	a do, 173,700,720	20.01 %	519,940	24.04 75	view 1
Top 5 Carriers by Policy Value					Dalicy Make
arriers 1	J1 Reported Policy Value	11 % of Total Values	11 Policy Count	11 % of Total Policies	Avg. Reported Value/P
00	\$ 75 959 393 818	44.87 %	473.453	36.76.%	\$ 160.4
10	\$ 65 315 494 375	38.41 %	445 798	34.62.%	\$ 146.5
20	\$ 6 687 683 852	303%	46.539	361%	\$ 143.7
	\$ 4.116.225.518	2.42 %	27.379	2.13 %	\$ 150.3
	\$ 3,605,303,721	2.12 %	163.009	12.66 %	\$ 22.1
al - Top 5	\$ 155.684.101.284	91.55 %	1,156,178	89.77 %	\$ 134.6
					View
Top 5 Producers by Policy Value					Policy Value
oducers an	31 Reported Policy Value	31 % of Total Values	↓↑ Policy Count	at % of Total Policies	31 Avg. Reported Value/F
	\$ 3,522,061,385	2.56 %	160,350	15.25 %	\$ 21,9
THE COLORE BOTH	\$ 297,579,282	0.22 %	4,115	0.39 %	\$ 72,3
passion and the second	\$ 261,767,572	0.19 %	6,958	0.66 %	\$ 37,6
0.10.07.27.0688	\$ 225,991,976	0.16 %	1,690	0.16 %	\$ 133,7
are advant insert	\$ 155,283,523	0.11 %	318	0.03 %	\$ 488,3
al - Top 6	\$ 4,462,683,738	3.24 %	173,431	16.49 %	\$ 25,7 View
t Tan 5 Baliau lagua Statas ku Baliju	ten Velue				
THE REAL PROPERTY OF A DESCRIPTION OF A	Cy Value	11 % of Total Values	J1 Policy Count	at % of Total Policies	Avg. Reported Value/F
ites in		8.91 %	102.363	7.98 %.	\$ 147 T
ates L†	\$ 15 083 308 545		102,000	1.30 10	6 164 D
Ates 17	\$ 15,083,308,545	7.75 %	70.815	PC 1978 BIL	S 101 /
Ates 11   Homia cas	\$ 15,083,308,545 \$ 13,113,110,486 \$ 11 258,434,804	7.75%	79,815	6.22%	¢ 169.2
ates 17   ifornia kas pitda otis	\$ 15,083,308,545 \$ 13,113,110,466 \$ 11,258,434,894 \$ 7,632,031,151	7.75 % 6.65 % 4.51 %	79,815 73,913 55,730	6.22% 5.76% 4.34%	\$ 152,3
ates 11   Ates 11   cors cors mols w York	\$ 15,083,308,545 \$ 13,113,110,466 \$ 11,258,434,894 \$ 7,632,031,151 \$ 7,127,268,648	7.75 % 6.65 % 4.51 % 4.21 %	79,815 73,913 55,730 49,490	6 22 % 5 76 % 4 34 % 3 85 %	\$ 152,3 \$ 158,9 \$ 136,9 \$ 136,9
Atles (r) [ Micronia xxxs xxis	\$ 15,083,306,545 \$ 13,113,110,466 \$ 11,258,434,894 \$ 7,632,031,151 \$ 7,127,366,648 \$ 64,214,253,704	7.75 % 6.65 % 4.51 % 4.21 % 32.02 %	79,815 73,913 55,730 49,490 361,311	6.22 % 5.76 % 4.34 % 3.86 % 28.16 %	\$ 150.2 \$ 152,3 \$ 138,9 \$ 134,0 \$ 144,0 \$ 180.0.

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

DTCC Weath Manageme Insurance	el Information Exchange			Contact Us DTCC com
Policy Overview			Colord Distributor	
Toney overview Last optiated. It	02120 00.41.08 PW (E31)		Select Distributor	
Total No of Policies	Total Reported Policy Values	Average Reported Value per Policy 0	Total No of Carriers	Completeness Rate
1,287,872	\$ 170,046,123,424	\$ 132,037.00	37	6.86 %
V Top 5 Product Types by Policy	Value			Policy Value 👻
Product Types Ut	11 Reported Policy Value	31 % of Total Values 31	Policy Count	olicies 41 Avg. Reported Value/Policy

4. 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

5. 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.

Olicy Overview Last Updated : 10/29/20 06:39:46 PM (EST)		Select Distribute	AI
Total No of Policies	Total Reported Policy Values 0 \$ 179,757,718,165	Average Reported Value per Policy •	Total No of Carriers 54
4			
Overview Last Updated : 10/29/20 06:39	:46 PM (EST)	Select Distributor	60000122 - TEST DISTRIBUTOR (FINETRE)

### **Reviewing Top 5 by Policy Value**

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

icy Value				Policy Value 👻
St Reported Policy Value	↓↑ % of Total Values	41 Policy Count	41 % of Total Policies	It Avg. Reported Value/Policy
\$ 135,383,331,680	79.62 %	879,182	68.27 %	\$ 153,987.83
\$ 23,965,887,957	14.09 %	268,528	20.85 %	\$ 89,249.12
\$ 7,258,556,354	4.27 %	97,481	7.57 %	\$ 74,461.24
\$ 1,530,862,227	0.90 %	7,606	0.59 %	\$ 201,270.34
\$ 877,685,406	0.52 %	22,921	1.78 %	\$ 38,291.76
\$ 169,016,323,624	99.39 %	1,275,718	99.06 %	\$ 132,487.22
	Icy Value	State         #1% of Total Wates           #18000000000000000000000000000000000000	State         # Reported Policy Value         41 % of Total Values         # Relay Count           1         10:303.33.00         790.01%         697.10           3         10:303.33.00         790.01%         697.10           5         22.005.007.107         14.00 %         205.00           5         7.205.005.304         4.27 %         07.461           5         3.57.306.227         0.00 %         7.205           5.87.505.005         0.25 %         22.201           5.87.696.005         0.25 %         22.201	Style         If Reported Policy Values         If Policy Count         If Not Policy         If

- 2. Sort any of the **Top 5** by any of the following columns:
  - Reported Policy Value

for which you are authorized.

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

- All Product Types by Policy Value \* Product Types an % of Total Values Policy Count 11 % of Total Policies Value/Policy \$ 3 688 223 623 8 58 % 133,375 \$ 27 653 04 11.92 % 1.27 % \$ 1,069,859,354 2.49 % 5,879 ed Index Annuity \$ 301,872,881 19,336 4.18 % \$ 15,611.9 \$ 28,899,271 0.07 % 130 0.03 % \$ 222,302.09 0.04 % \$ 285,917 \$ 95,305. \$ 43,004,175,735 100.00 % 100.00 % \$ 92,971.55
- 3. 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.

4. 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.

I Product Types by Policy Va	alue		Policy Value		I 🕹
Product Types an	31 Reported Policy Value	at % of Total Values	an Policy Count	at % of Total Policies   t	Avg. Reported Value/Policy
ierm Life	\$0	0.00 %	38	0.01 %	\$ 0.00
Registered Index Annuity	\$ 306,530,062	0.60 %	19,379	3.72 %	\$ 15,817.64
lotal	\$ 51,457,313,395	100.00 %	521,333	100.00 %	\$ 98,703.35
All Product Types by	y Policy Value		Policy Value	* Bearch by Pr	roduct Types
Product Types 11	At Reported Policy Value	11 % of Total Values	1: Policy Count	11 % of Total Policie	Ava Reported Value/Policy
Pension Plan	\$ 31,804,108	0.06 %	107	0.02 9	5 \$ 297,234.05
Pension Plan Deferred Income Annuity	\$ 31,804,108 \$ 28,899,271	0.05 %	107	0.02 9 0.02 9	6 \$ 297,234.05 6 \$ 222,302.09
Pension Plan Deferred Income Annuity Refirement Plan	\$ 31,804,108 \$ 28,899,271 \$ 1,069,859,354	0.06 % 0.06 % 2.08 %	107 130 5,879	0.02 9 0.02 9 1.13 9	6 \$ 297,234.06 6 \$ 222,302.09 6 \$ 181,979.62
Pension Plan Deferred Income Annuity Refirement Plan Variable Annuity Products	\$ 31,804,108 \$ 28,899,271 \$ 1,008,859,354 \$ 42,208,946,907	0.06 % 0.06 % 2.08 % 82.02 %	107 130 5,879 291,009	0.02 % 0.02 % 1.13 % 55 82 %	6 \$ 297,234.05 6 \$ 222,302.09 6 \$ 181,979.82 6 \$ 145,038.57
Pension Plan Deferred Income Annuity Referement Plan Variable Annuity Products Market Value Adjustment	\$ 31,804,108 \$ 28,809,271 \$ 1,000,859,354 \$ 42,208,946,907 \$ 816,200,821	0.06% 0.06% 2.08% 82.02% 1.59%	107 130 5,879 291,009 7,248	0.02 0.02 1.13 55.82 1.39 5	5 \$ 297,234,605 5 \$ 222,302,09 5 \$ 181,979,62 5 \$ 145,008,57 6 \$ 112,611,33
Pension Plan Deferred Income Annully Rotirement Plan Variable Annully Products Market Value Adjustment Index Variable Annuty	\$ 33,804,108 \$ 28,809,271 \$ 1,000,859,354 \$ 42,200,966,907 \$ 819,206,521 \$ 285,517	0.05 % 0.05 % 2.05 % 82.02 % 1.59 % 0.00 %	107 130 5,879 291,009 7,248 3	0 02 9 0 02 9 1.13 9 55 82 9 1 39 9 0 00 9	6 \$227,234.00 5 \$222,302.09 6 \$181,979.62 6 \$145,008.57 6 \$112,011.33 6 \$95,305.75
Pension Plan Deferred Income Annulty Referement Plan Variable Annulty Products Market Valua Adjustment Index Vanable Annulty Frees Whole Life Insurance	\$ 31,804,100 \$ 20,809,027 \$ 1,000,809,354 \$ 82,200,865,907 \$ 819,200,827 \$ 285,917 \$ 285,917 \$ 11,88,060	0.00% 0.00% 2.03% 82.02% 1.59% 0.00% 0.00%	107 130 5,879 291,009 7,248 3 164	0.02 % 0.02 % 1.13 % 55.82 % 1.38 % 0.00 % 0.00 %	6 \$ \$27/23466 6 \$ \$22/23020 6 \$ \$181,979.82 6 \$ \$145,008.57 6 \$ \$12,011.33 6 \$ \$6,002.22.86 8 \$ \$60,002.75 6 \$ \$ \$0,022.23
Pension Plan Deferred Income Annuity Referencet Flan Variable Annuity Products Market Value Adjustment Index Vaniable Annuity Fixed Whole Life Insurance Fixed Whole Life Insurance	\$ 31,804,100 \$ 788,805,334 \$ 42,200,865,334 \$ 42,200,865,000 \$ 8140,200,827 \$ 11,108,000 \$ 3,255,917 \$ 11,108,000 \$ 3,254,822,288	0.00% 0.00% 2.00% 82.00% 1.50% 0.00% 0.00% 6.33%	107 130 5,879 291,009 7,248 3 164 63,348	0.02 % 0.02 % 55.82 % 1.38 % 0.00 % 0.03 % 12.15 %	6         \$ 207,734 60           6         \$ 222,302 00           6         \$ 181,5708 57           6         \$ 141,2011 33           6         \$ 142,011 33           6         \$ 865,056 75           6         \$ 865,056 75           6         \$ 861,251,352,06           6         \$ \$ 815,1320,06
Person Pan Defend Income Annuty Restered Pan Variable Annuty Products Market Valar Adjustment Index Vaniable Annuty Fixed Whole Life Insurance Fixed Annuty Troducts Fixed Annut Products	\$ 31,084,000 \$ 28,000,274 \$ 10,000,000,024 \$ 42,200,940,007 \$ 916,200,827 \$ 28,206,917 \$ 11,00,020 \$ 3,276,402,080 \$ 3,276,402,080	0.06 % 0.06 % 2.05 % 82.02 % 1.59 % 0.00 % 0.02 % 6.33 % 7.25 %	100 130 201,009 7,248 3 164 63,348 (33,48	0.02 '0 0.02 '0 1.13' 55.82 '0 0.00 '0 0.03 '0 12.15 '0 25.63 '0	6 \$ 207,724 60 6 \$ 222,302,00 6 \$ \$181,570,62 6 \$ 146,5036,77 6 \$ 112,6133 6 \$ \$66,305,75 6 \$ \$ 60,223,58 6 \$ \$ 51,522,00 6 \$ \$ 51,522,00 6 \$ \$ 27,2715,17
Panason Plan Defend Incom Anualy Ratement Plan Walkik Anualy Poducis Matext Maia Adjustment Index Vanishi Anualy Fared White Lie Insurance Fared Anualy Poducids Fared Indoed Anualy Registered Index Anualy	\$ 31,854,100 \$ 28,800,274 \$ 10,000,503,54 \$ 42,200,940,000 \$ 51,910,200,521 \$ 290,917 \$ 11,100,000 \$ 1,244,962,880 \$ 1,274,962,880 \$ 1,274,963,800 \$ 3,244,962,880 \$ 1,274,063,800 \$ 3,200,000,200 \$ 1,200,000,000 \$ 1,000,000,000 \$ 1,000,000,000 \$ 1,000,000 \$ 1,000,000,000 \$ 1,000,000,000 \$ 1,000,000,000 \$ 1,000,000,000 \$ 1,000,000,000 \$ 1,000,000,000 \$ 1,000,000,000 \$ 1,000,000 \$ 1,000,000\$ \$ 1	0.05 % 0.05 % 2.08 % 62.02 % 0.00 % 0.02 % 6.33 % 7.25 % 0.00 %	107 130 5,879 29,000 7,248 3 164 63,348 153,642 19,370	0.02 9 0.02 9 5.66 29 0.00 9 0.00 9 0.00 9 122 55 25 63 9 3.72 9	6         \$2727.300           6         \$2722.300           6         \$222.300           6         \$1819.7082           6         \$1620.875           6         \$112.611.33           6         \$60.222.30           6         \$60.223.30           6         \$60.223.30           6         \$61.302.06           6         \$51.302.06           6         \$51.302.06           6         \$51.302.06

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



### **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.

V Top 5 Product CUSIPs by Policy Count	t				Policy Count +	
Product CUSIP 41	37 Reported Policy Value	১৫ % of Total Values	JT Policy Count	JT % of Total Policies	Avg. Reported Value/Policy	
534048536 - LINCOLN CHOICEPLUS	\$ 5,926,865,934	9.85 %	41,237	7.65 %	\$ 143,726.89	
89354G588 - 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	
10922J466 - BLIC UNVLANNUITY VA	\$ 659,896,963	1.10 %	10,706	1.99 %	\$ 61,638.05	
Total - Top 5	\$ 16,691,520,102	27.74 %	110,842	20.56 %	\$ 150,588.41 View Top 50	
Top 50 Product CUSIP by	Policy Count		Policy Count	▼ Sean	ch by Product CUSIP	*
Product CUSIP #1	Reported Policy Value	↓↑ % of Total Values	31 Policy Count	↓↑ % of Total	Policies 41 Avg. Reported Va	alue/Policy
534048536 - LINCOLN CHOICEPLUS	\$ 5,926,865,934	9.85 %	41,237		7.65 % \$	143,726.89
89354G588 - 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
53404B510 - American Legacy Fusion	\$ 2,225,232,600	3.70 %	14,458		2.68 % \$	153,931.42
109223466 - BLIC UNVLANNUITY VA	\$ 659,896,963	1.10 %	10,706		1.99 % \$	\$61,638.05
534222609 - AMERICAN LEGACYIII V	\$ 971,675,846	1.61 %	10,609		1.97 % \$	\$ 91,589.77
89353N402 - TRANSAMERICA LIBER	\$ 1,495,396,733	2.49 %	10,337		1.92 % \$	144,664.67
DUMMY2007 - Dummy Cusip	\$ 482,517,299	0.80 %	10,062		1.87 % \$	\$ 47,954.41
04685P249 - Athene Amplify	\$ 192,632,450	0.32 %	9,963		1.85 % \$	\$ 19,334.78
53422F337 - 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 % \$	115,806.05

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 Pol	icy Value		Policy Value	▼ Search by Product CUS	۶ <b>د</b>
Product CUSIP 4	J↑ Reported Policy Value	at % of Total Values	41 Policy Count	↓↑ % of Total Policies	11 Avg. Reported Value/Policy
53404B536 - LINCOLN CHOICEPLUS	\$ 5,926,865,934	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
89354G588 - Transamerica B Share	\$ 2,973,363,380	5.71 %	14,588	2.76 %	\$ 203,822.55
53404B510 - 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
53404A413 - CHOICEPLUS ASSURA	\$ 1,279,617,009	2.46 %	7,320	1.38 %	\$ 174,811.07
89352C225 - TRANSAMERICA AXIOM II	\$ 1,038,746,287	1.99 %	5,849	1.11 %	\$ 177,593.83
89353N402 - TRANSAMERICA LIBER	\$ 1,000,965,630	1.92 %	6,858	1.30 %	\$ 145,955.91
534222009 - AMERICAN LEGACYIII V	\$ 971,675,846	1.87 %	10,609	2.01 %	\$ 91,589.77
53422F378 - CHOICEPLUS ASSUR A	\$ 901,208,701	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 Polic	y Value				Policy Value
Product Types 41	41 Reported Policy Value	J↑ % of Total Values	J↑ Policy Count	↓↑ % of Total Policies	Policy Count
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	\$ 58,307,165,098	96.55 %	493,691	90.61 %	\$ 118,104.58
					View Full List
✓ Top 5 Product CUSIPs by Poli	icy Value				Policy Value 👻
Product CUSIP	It Reported Policy Value	↓↑ % of Total Values	In 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				Policy Count 👻
Product Types #1	31 Reported Policy Value	↓↑ % of Total Values	Ut Policy Count	41 % of Total Policies	at 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	\$ 4,202	0.00 %	16,781	3.08 %	\$ 0.25
Total - Top 5	\$ 57,227,945,539	94.76 %	504,585	92.61 %	\$ 113,415.87
					View Full List
V Top 5 Product CUSIPs by Polic	cy Value				Policy Value 👻
Product CLISIR 1+	E Reported Policy Value	11 % of Total Values	Lt Policy Count	11 % of Total Policies	Avg. Reported Value/Rolicy

 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 0	Count				Policy Count 👻
Product CUSIP 41	41 Reported Policy Value	41 % of Total Values	11 Policy Count	11 % of Total Policies	41 Avg. Reported Value/Policy
534048536 - LINCOLN CHOICEPLUS	\$ 5,926,865,934	9.85 %	41,237	7.65 %	\$ 143,726.89
89354G588 - 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
10922J466 - BLIC UNVLANNUITY VA	\$ 659,896,963	1.10.%	10,706	1.99 %	\$ 61,638.05
Total - Top 5	\$ 16,691,520,102	27.74 %	110,842	20.56 %	\$ 150,588.41
					Mary Top 50

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 Polic	y Count		Policy Count	<ul> <li>Search by Product CUS</li> </ul>	sip 🛃
Product CUSIP +=	31 Reported Policy Value	11 % of Total Values	at Policy Count	at % of Total Policies	31 Avg. Reported Value/Policy
53404B536 - LINCOLN CHOICEPLUS	\$ 5,926,865,934	9.85 %	41,237	7.65 %	\$ 143,726.89
89354G588 - 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
53404B510 - American Legacy Fusion	\$ 2,225,232,600	3.70 %	14,456	2.68 %	\$ 153,931.42
10922J466 - BLIC UNVLANNUITY VA	\$ 659,896,963	1.10 %	10,706	1.99 %	\$ 61,638.05
534222609 - AMERICAN LEGACYIII V	\$ 971,675,846	1.61 %	10,609	1.97 %	\$ 91,589.77
89353N402 - TRANSAMERICA LIBER	\$ 1,495,398,733	2.49 %	10,337	1.92 %	\$ 144,664.67
DUMMY2007 - Dummy Cusip	\$ 482,517,299	0.80 %	10,062	1.87 %	\$ 47,954.41
04685P249 - Athene Amplify	\$ 192,632,450	0.32 %	9,963	1.85 %	\$ 19,334.78
53422F337 - 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 %	\$ 115,806.05

#### 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 Polic	y Value		Policy Value	* Search by Product CUS	sip 📩
Product CUSIP ++	J1 Reported Policy Value	↓↑ % of Total Values	It Policy Count	↓↑ % of Total Policies	1 Avg. Reported Value/Policy
534048536 - LINCOLN CHOICEPLUS	\$ 5,926,865,934	9.85 %	41,237	7.65 %	\$ 143,726.89
89354G588 - 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
638943282 - CORPORATE FLEXIBLE	\$ 1,717,581,157	2.85 %	3,849	0.71 %	\$ 446,240.88
53422F337 - CHOICEPLUS ASSURE	\$ 1,552,262,913	2.58 %	9,512	1.76 %	\$ 163,189.96
89353N402 - TRANSAMERICA LIBER	\$ 1,495,398,733	2.49 %	10,337	1.92 %	\$ 144,664.67
53404A413 - CHOICEPLUS ASSURA	\$ 1,279,617,009	2.13 %	7,320	1.36 %	\$ 174,811.07
89353N105 - LANDMARK 2008	\$ 1,159,499,642	1.93 %	8,354	1.55 %	\$ 138,795.74
89354G562 - 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 %	\$ 149,339.98

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.

DTCC	Wealth Management Services Insurance Information Exchange
Policy - Producer	Product X X X X X X
Policy Overview	
Policy Search	odated : 11/16/2020   18:40 PM (EST)
Data Quality	
Data Dictionary	Total Reported Policy Va
Administration	\$ 60,261,009,428

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

New York State of Teleford States Incy Devriver / Policy Search DICC Distributor Number & Name Search DTCC Distributor Number & Name States DTCC Distributor Number @	DTCC Carrier Number & Nume Sastel DTCC Carrier Number & Nume	Ester Policy CUSP & Product Name	Last Policy Data Refrest: 11/16/2020   15:37 PM (EST) Select Saved Search Oritoria
Icy Overview / Policy Search DICC Distributor Number & Name Search DTCC Distributor Number & Name Search DTCC Distributor Number & Name Uterbutor Account, Number Ø	DTCC Carrier Number & Name Search DTCC Carrier Number & Name +	Enter Policy Number Policy CUSP & Product Name	Last Policy Data Refresh: 11/16/2020   15:37 PM (EST) Select Saved Search Oritoria
DTCC Distributor Number & Name Search DTCC Distributor Number & Name Distributor Account Number Ø	DTCC Carrier Number & Name Search DTCC Carrier Number & Name 🗢	Enter Policy Number Policy CUSIP & Product Name	Select Saved Search Criteria
DTCC Distributor Number & Name Search DTCC Distributor Number & Name Distributor Account Number 0	DTCC Carrier Number & Name Search DTCC Carrier Number & Name	Policy CUSIP & Product Name	IRS Qualification Code
Search DTCC Distributor Number & Name	Search DTCC Carrier Number & Name 👻		
Distributor Account Number 0		Search Policy CUSIP & Product Name	Select IRS Qualification Code 👻
	Associated Firm ID ()	Policy Status	Product Type
Enter Distributor Account Number	Enter Associated Firm ID	Active ×	Select Product Type 💌
Policy Issue State	Product Share Class	Policy Owner ()	Primary Producer O
Select Policy Issue State	Select Product Share Class	Enter Policy Owner Last Name	Enter Primary Producer Last Name
Applied Filters : Policy Status Active C Search Reset			Save Search Citteria

#### 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.

Your Search Results II 1,857,766 which exceeds the 300 Your must refine the search filter below	,000 limit for screen display and scheduling a download repr	nt.	×
Policy Search		Enter Policy Number	Select Saved Search Criteria
DTCC Distributor Number & Name Search DTCC Distributor Number & Name	DTCC Carrier Number & Name Search DTCC Carrier Number & Name	Policy CUSIP & Product Name Search Policy CUSIP & Product Name	IRS Qualification Code
Enter Distributor Account Number	Enter Associated Firm ID Product Share Class	Active X	v     Select Product Type     v  Primery Producer 0
Select Policy Issue State	Select Product Share Class *	Enter Policy Owner Last Name	Enter Primary Producer Last Name
Applied Filters : Policy Status Active			

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.

DTCC Distributor Number & Name	DTCC Carrier Number & Name	Policy CUSIP & Product Name	IRS Qualification Code
Search DTCC Distributor Number & Name 👻	00036119 - IPS TEST CA x	Search Policy CUSIP & Product Name 👻	Select IRS Qualification Code 🛛 👻
Distributor Account Number ()	Associated Firm ID Ø	Policy Status	Product Type
Enter Distributor Account Number	Enter Associated Firm ID	Active X	Select Product Type 💌
Policy Issue State	Product Share Class	Policy Owner Ø	Primary Producer ()
Policy Issue State Washington D.C. × *	Product Share Class Select Product Share Class	Policy Owner @ Enter Policy Owner Last Name	Primary Producer 0
Policy Issue State Washington D.C. × v	Product Share Class Select Product Share Class	Policy Owner () Eater Policy Owner Last Name	Primary Producer () Enter Primary Producer Last Name

- Enter Associated Firm ID Active × Enter D Select Pro Policy Issue State Product Share Class Policy Owner O Primary Producer @ Washington D.C. × Applied Filters : Policy Status Active O DTCC Distributor Number & Name 00000122 - TEST DISTRIBUTOR (FINETRE) O DTCC Carrier Number & Name 00005119 - IPS TEST CARRIER O Policy Issue State Wash C. 0 □ ≛ Policy Number DTCC Carrier Number & N... | IRS Qualification Code Policy CUSIP & Product Na... Policy Issue State Policy Owner ID & Name Policy Status Primary Pr NON-QUALIFIE 10922J235 - T-PLUS FIXED XXXXX9765 - GLDREJFP 10922J235 - T-PLUS FIXED ... DC - Washington D.C. XXXXX6805 - QGICEZS DR ... Active 0359785 00005119 - IPS TEST CARR... NON-QUALIFIED 6119 - IPS TEST CARR NON-QUALIFIED 10922J235 - T-PLUS FIXED 
   0005119-IPS TEST CARR
   NON QUALIFED
   19822225: T-RLISTRED
   DC: Webrington DC
   20000549-JN-REIG 6A, Adve

   0005119-IPS TEST CARR
   NON QUALIFED
   1982225: T-RLISTRED
   DC: Webrington DC
   20000549-JN-REIG 6A, Adve

   0005119-IPS TEST CARR
   NON QUALIFED
   19822P14-IPO.REERANN
   DC: Webrington DC
   20000549-JN-REIG 6A, Adve

   0005119-IPS TEST CARR
   NON QUALIFED
   19822P14-IPO.REERANN
   DC: Webrington DC
   20000549-INERTICAR
   Adve

   0005119-IPS TEST CARR
   NON QUALIFED
   19822P14-IPO.REERANN
   DC: Webrington DC
   20000549-INERTICAR
   Adve

   0005119-IPS TEST CARR
   NON QUALIFED
   19822P14-IPO.REERANN
   DC: Webrington DC
   20000549-INERVISOL
   Adve

   0005119-IPS TEST CARR
   NON QUALIFED
   19822P14-IPO.REERANN
   DC: Webrington DC
   20000549-INERVISOL
   Adve

   0005119-IPS TEST CARR
   RA
   19822P14-IPO.REERANN
   DC: Webrington DC
   20000549-INERVISOL
   Adve
   483848 0443230 845429 0471168 0481671 0494474 5691128 10922P348 - BLIC PROTEC DC - Washington D. XXXXX1880 - QRSHUEE C 00005119 - IPS TEST CARR... NON-QUALIFIED 10922P124 - PIONEER ANN... DC - Washington D.C. 0607763 2632690 00005119 - IPS TEST CARR... NON-QUALIFIED 10922P124 - PIONEER ANN... DC - Washington D.C. 10922P124 - PIONEER ANN... DC - Washington D.C. 0610663 LRCX CAXU 5119 - IPS TEST CARR 0615421 10922P124 - PIONEER ANN... DC - Washington D.C. 00005119 - IPS TEST CARR... IRA XXXXXX1989 - TAKN YGSSU... Active 00005119 - IPS TEST CARR. 10922P124 - PIONEER ANN. DC - Washington D.C 000004361 - AUH XSYYE.
- 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.

<ul> <li>Top 5 Carriers by Po</li> </ul>	olicy Value					Policy Value	Ŧ
Carriers +1	1	an Reported Policy Value	41 % of Total Values	41 Policy Count	↓↑ % of Total Policies	↓↑ Avg. Reported )	Value/Policy
0000		\$ 22,972,650,151	38.12 %	160,285	29.72 %	\$	\$ 143,323.77
000		\$ 18,274,536,808	30.33 %	125,722	23.31 %	5	\$ 145,356.71
0000		\$ 5,962,600,365	9.89 %	71,727	13.30 %		\$ 83,129.09
0000		\$ 4,988,456,114	8.28 %	35,348	6.55 %	5	\$ 141,124.14
00005119 - IPS TEST CARRIEL	R	\$ 2,083,634,185	3.46 %	34,597	6.41 %		\$ 60,225.86
Total - Top 5		\$ 54,281,877,623	90.08 %	427,679	79.29 %	1	\$ 126,922.01
							View Top 50

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.

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DTCC Wealth Management Services Insurance Information	Exchange		Contact Us DTCC.com
Rolley + Produlet + Product + X	KKKKKKKK	KXXXXXXXXX	KKKKKKKKK
Policy Overview / Policy Search			Last Policy Data Refresh: 11/17/2020   15:37 PM (EST)
Policy Search		Enter Policy Number	Select Saved Search Criteria
DTCC Distributor Number & Name	DTCC Carrier Number & Name	Policy CUSIP & Product Name	IRS Qualification Code
00000122 - TEST DISTRI X +	00005119 - IPS TEST CA × +	Search Policy CUSIP & Product Name	Select IRS Qualification Code 👻
Distributor Account Number ()	Associated Firm ID 0	Policy Status	Product Type
Enter Distributor Account Number	Enter Associated Firm ID	Active ×	Select Product Type 👻
Policy Issue State	Product Share Class	Policy Owner 0	Primary Producer 0
Select Policy Issue State	Select Product Share Class 👻	Enter Policy Owner Last Name	Enter Primary Producer Last Name
Applied Filters : Policy Status Active O DTCC Distribution	tor Number & Name 00000122 - TEST DISTRIBUTOR (FINETRE	O DTCC Carrier Number & Name 00005119-993 TEST CA	IRER O

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.

				Andreas Research and Research Advance			Constant of the second	200 0	
		Warrywood X Treat							
icy Overview / Policy See	srch	Appled Filters : Policy Stat	Active O DTCC Distribute	r Namber & Name 00000122 - TES	T OSTREUTOR (FINETRE)	Carrier Namber & Name 0	0005119 - IPS TEST CARRIER O POI	icy have State Washing	ngton D.C. O
olicy Search		Deavast	,						
DTCC Distributor Number I	L Name	Search Ra	at						Save Search Ci
00000122 - TEST DISTRI X	×	304 results found							
		Policy Number	DTCC Carrier Number 8	N IRS Qualification Code	Policy CUSIP & Product Na	Policy Issue State	Policy Owner ID & Name	Policy Status	Pale
Distributor Account Numbe	×0	0009801011	00006119 - IPS TEST C/	6R 4030	DUMMY1116 - TEST	DE - Delaviore	X0000/8188 - C YKSJNNB	Activa	681
Enter Distributor Account No	anber	0340113	00006119 - IPS TEST C/	RR 4000	109223466 - BLIC UNVLAN	DE - Delawore	XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	Activo	683
		0343562	00006119 - IPS TEST C/	RR. IRA	10922P348 - BLIC PROTEC	DE - Delawore	X0000/9726 - QEOXY XBUW	Active	700
Policy Issue 8tate									
Policy Issue State		0009441	00006119 - IPS TEST C/	RR NON-QUALIFIED	10922/235 - T-PLUS FRED	DC - Washington D.C.	X000003785 - GLDREJFPE	Active	301
Policy Issue State Washington D.C. × Applied Filters : Policy 5	Times Anne DTCC Distribut	cosarts	00005110 - IPS TEST CA 00005110 - IPS TEST CA	KR. NON-QUALIFIED KR. NON-QUALIFIED	10022.025 - T.PLUS FOED 10022.025 - T.PLUS FOED 00000115 - IPS TEST CAMPLER O PC	DC - Weshington D.C. DC - Weshington D.C.	XXXXXXXIS - QUCEZS DR	Activa Activa	30
Policy Issue State Washington D.C. K Applied Filters : Policy S Search	Status Active DTCC Distribut	COCONTES	0006119 - PS TEST C/ 0006119 - PS TEST C/ 1251 DISTRIBUTOR (PINETRE) 0	KR. NON-CUALIFIED	10022205 - T-PLUS FOED 10022205 - T-PLUS FOED 00000119 - IPS TEST CARRIER () PC	DC - Washington D.C. DC - Washington D.C. Ricy Issue State Translengton	DC CO	Active Active	30
Policy losse State Washington D.G. K Applied Filters : Policy S Search Sciences found	Tabus Adam DTCC Destroy	0003441 0003705 for Number & Name 00000122 - 1	0006119 - PS TEST CA 0006119 - PS TEST CA TEST DISTRIBUTOR (PINETRE)	IGR. NON GUALFIED	10022.035 - T-PUUS FOED 10022.035 - T-PUUS FOED 00000119 - IPS TEST CARRIER @ Po	DC - Westington D.C. DC - Westington D.C. Roy Issue State Westington	DOCODUIS - GLOREJFFE XXXXXXXXX - GOCEZX IR oc © e Search Criteria	Admi Admi	30
Policy Issue State Washington D.O.: H Applied Filters: Policy S Secure S2 results found S32 Number	Status Aanve DTCC Distribut Resol	0000441 0000705 for Number & Name 00000122 - 1	ODD6119- IPS TEST CA ODD6119- IPS TEST CA TEST DISTRIBUTION PINETRE: O Palley CUSP & Produ	KRL NON-OUAUFED GR NON-OUAUFED DTCC Conter Number & Name CENa Policy Issue State	10022035 - FPUS FOED 10022035 - FPUS FOED 10020115 - IPS TEST CARRIEN P	DC - Washington D.C. DC - Washington D.C. Rcy Issue State Weshington Saw Paday Status	000000165 - GLORESTRE 00000165 - GOUCESS IR 00000 0 Search Criteria 0 & Pitrary Pi	Active Active	30
Policy Issue State Washington D.O. H Applied Filters : Policy S Securit S2 results found Wiley Number S2041	Status Adve DTCC Distribut Reset	C000441     C0007125     C00007122 - 1     KN	0006119 - IPS TEST CA 0006119 - IPS TEST CA TEST DISTRIBUTOR (PINETRE) <b>O</b> PARKY CUSP & Produ 19822225 - T.P.U.S FI	KIN. NON-DUALFIED     KIN. ON-DUALFIED     DTCC Corrier Number & Name      CTN	10022035 - FPUS FOED	DC - Villarington D.C. DC - Villarington D.C. Ilicy Issue State   Westington   Saw Policy Status Active	10000005 - GLIPERIFE     1000005 - GLIPERIFE     1000005 - GLIPERIFE     1000005 - GLIPERIFE     1000005 - GLIPERIFE     100005 - GLIPERIFE     10005 - GLIPERIFE .	Active Active	30
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Policy issue State Washington D.C. K Applied Filters: Policy 5 Season S2 results found S2 vessels found S2 vessels found S2 vessels found S3 vessels found S4 vessels found S5 v	Elabor Antre      DTCC Conter Nancee     C000519 - PS TEST      C000519 - PS TEST     C000519 - PS TEST     C000519 - PS TEST	0000441 0002775 or Number & Name 0000122 - 1 A.M., RS Qualification Cool ARR., NONQUALIFED VARR, NONQUALIFED	0006119- PS TEST CF 0006119- PS TEST CF 0006119- PS TEST CF TEST DISTINGUISE (PS TEST CF 0005119- PS TEST CF 10822223 - TFUIS FT 10822223 - TFUIS FT 10822223 - TFUIS FT 10822223 - TFUIS FT	KINA GUALAFIED     KINA GUALAFIED     KINA GUALAFIED     DTOC Conver Number & Name     CNA     Pekky Issue State     NED     DC-Weshington 0.C     XID     DC-Weshington 10.	1002205 - FULUS FREE 1002205 - TRUS FREE 1002205 - TRUS FREE 1002105 - IPS TEST CARREN Q PC Policy Owner D A Name X0000176 - QUEE TR X000005 - QUEE ZS FR X000005 - MEM D A.	DC - Wilshington D.C. DC - Washington D.C. ilicy Issue State Telestington Sav Policy Status Active Active Active	0000005-000F281 PE	Activi Activi	30
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Policy issue State Teamingten D.C. *  Applied Filters: Policy 2  Search Consult for Consult  Societ	Kenve      COUNCE Cartler Marchee     COUNCE 1-95 TEST	003441         003775           for Number & Name         0000122 -1           A N.         REA Gaudification Code           AVRR         NONGUNUTED           AVRR         NONGUNUTED           AVRR         NONGUNUTED           AVRR         NONGUNUTED           AVRR         NONGUNUTED	00006119- PP TEST C/ 00006119- PP TEST C/ 00006119- PP TEST C/ TEST DISTRIBUTION (PMCTRE) 000000000000000000000000000000000000	KNA GUALFIED     MON-QUALFIED     MON-QUALFIED     DTCC Carrier Number & Name     KName     CC-Vestiongton 0.C     CO-Vestiongton 0.C     CO-Vestiongton 0.C     CO-Vestiongton 0.C     CO-Vestiongton 0.C     CO-Vestiongton 0.C     C	10022025 - FUUS FREE 10022025 - GUESE 10022025 - GUESE 1002205 - GUESE 10022025 - GUESE 1002205 - GUESE 1002	DC: Washington DC DC: Washington DC Ricy Issue State Review Status Active Active Active Active Active Active Active	00000165 - CLOFEJPE 00000165 - CLOFEJPE IE 0000016 - CLOFEJPE IE 00001778 000000 000000 0000000 0000000 000000	Activa Activa	305
Policy issue State Maximgere D.C., K  Applied Fitters: Policy 3  Security Control Control  Sizenatific forand  Sizenatific for	Basis Adar      DTCC Desided      Repet      DTCC Control Manded      C0000119 - P5 TEST C     C000119 - P5 TEST C     C000119 - P5 TEST C     C000119 - P5 TEST C     C0000119 - P5 TEST C	B M.         RS OutFragment           B M.         RS OutFragment           B M.         RS OutFragment           B M.         RS OutFragment           B M.         RNR OutFragment           Data         Non-OutFragment           Data         Non-OutFragment	0005115-95 1151 0 0005115-95 1151 0 1151 0 1151 0 1152 0	KNA GUALFED     NON GUALFED     NON GUALFED     TOCC Carrier Number & Name     TOCC Carrier Number & Name     CO Vestingtion 0	10022205         - FUUS FREE           10022055         - FUUS FREE           100200565         - OLDER FREE           100200565         - OLDER FREE           100200565         - OLDER FREE           100200566         - PHEND FAR           100200567         - OLDER FREE           100200567         - OLDER FREE <tr< td=""><td>DC: Hearington DC DC: Hearington DC DC: Hearington DC Biry Issue State Policy Secure Active Active Active Active Active Active Active Active</td><td>00000165 - 001727 IP: 00000165 - 001727 IP: 00000165 - 001727 IP: 0000177 010177 010177 040001 040000000 0400000000</td><td>Active ACtive</td><td>305</td></tr<>	DC: Hearington DC DC: Hearington DC DC: Hearington DC Biry Issue State Policy Secure Active Active Active Active Active Active Active Active	00000165 - 001727 IP: 00000165 - 001727 IP: 00000165 - 001727 IP: 0000177 010177 010177 040001 040000000 0400000000	Active ACtive	305

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.

53 results found							□ ≛
Policy Number	DTCC Carrier Number & N	IRS Qualification Code	Policy CUSIP & Product Na	Policy Issue State	Policy Owner ID & Name	Policy Status	Primary Pr
9091018	00005119 - IPS TEST CARR	403b	10922J466 - BLIC UNVLAN	DC - Washington D.C.	X0000(2860 - FETTXM JXW	Active	776003 -
9168646	00005119 - IPS TEST CARR	403b	DUMMY2007 - Dummy Cusip	DC - Washington D.C.	XXXXXX1740 - CLJFL LIEPYU	Active	1703081
	00005119 - IPS TEST		10922J466_BLIG	DC	XXXXXX1740		1703064
. 2003018		NON-QUALITIES	_ www.ABL	DC - Wasninger		Active	
11032513	00005119 - IPS TEST CARR	IRA	10922M782 - SFG FIXED A	DC - Washington D.C.	XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	Active	3030954
11060448	00005119 - IPS TEST CARR	IRA	10922M782 - SFG FIXED A	DC - Washington D.C.	XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	Deferred Death	3018855
11061023	00005119 - IPS TEST CARR	NON-QUALIFIED	10922M782 - SFG FIXED A	DC - Washington D.C.	XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	Active	3424697 🚽

### **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

Search	Reset						Save Search Criter
2 results found							□ 4
olicy Number	DTCC Carrier Number & N	IRS Qualification Code	Policy CUSIP & Product Na	Policy Issue State	Policy Owner ID & Name	Policy Status	Primary
69441	00005119 - IPS TEST CARR	NON-QUALIFIED	10922J235 - T-PLUS FIXED	DC - Washington D.C.	XXXXXX9765 - GLDREJFPE	Active	3010179
69785	00005119 - IPS TEST CARR	NON-QUALIFIED	10922J235 - T-PLUS FIXED	DC - Washington D.C.	XXXXXX6805 - QGICEZS DR	Active	3483848
135112	00005119 - IPS TEST CARR	NON-QUALIFIED	10922J235 - T-PLUS FIXED	DC - Washington D.C.	XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	Active	3483848
143230	00005119 - IPS TEST CARR	NON-QUALIFIED	10922J235 - T-PLUS FIXED	DC - Washington D.C.	XXXXXX6756 - CEVAKE IGK	Active	3483848
155384XB	00005119 - IPS TEST CARR	NON-QUALIFIED	10922P124 - PIONEER ANN	DC - Washington D.C.	XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	Active	1762104
71168	00005119 - IPS TEST CARR	403b	10922J177 - REGISTERED	DC - Washington D.C.	XXXXXX2947 - KLKKLFS ZF	Active	184542
181671	00005119 - IPS TEST CARR	NON-QUALIFIED	10922P165 - SCUDDER AD	DC - Washington D.C.	XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	Active	203190
194474	00005119 - IPS TEST CARR	IRA	10922P124 - PIONEER ANN	DC - Washington D.C.	XXXXXX6846 - KQBA B/Q N	Active	5691128
20885	00005119 - IPS TEST CARR	IRA	10922P348 - BLIC PROTEC	DC - Washington D.C.	XXXXX1660 - QRSHUEE G	Active	3026768
107763	00005119 - IPS TEST CARR	NON-QUALIFIED	10922P124 - PIONEER ANN	DC - Washington D.C.	XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	Active	263269
10547	00005119 - IPS TEST CARR	IRA	10922P124 - PIONEER ANN	DC - Washington D.C.	XXXXX4064 - NZGV GIVD Z	Active	2632690
10663	00005119 - IPS TEST CARR	NON-QUALIFIED	10922P124 - PIONEER ANN	DC - Washington D.C.	XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	Active	920758
11876	00005119 - IPS TEST CARR	IRA	10922P124 - PIONEER ANN	DC - Washington D.C.	XXXXXX4107 - LRCX CAXU	Active	263269
15421	00005119 - IPS TEST CARR	IRA	10922P124 - PIONEER ANN	DC - Washington D.C.	XXXXX1989 - TAKN YGSSU	Active	633105
15640	00005119 - IPS TEST CARR	IRA	10922P124 - PIONEER ANN	DC - Washington D.C.	XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	Active	633105
	<						+

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

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

53 results found					□ ≛
Policy Number	DTCC Carrier Number & Name	IRS Qualification Code	Policy CUSIP & Product Name	Policy Issue State	Policy Owner ID & Name
0369441	00005119 - IPS TEST CARRIER	NON-QUALIFIED	10922J235 - T-PLUS FIXED ANNUITY	DC - Washington D.C.	XXXXX9765 - GLDREJFPE BARFYPGF
0369785	00005119 - IPS TEST CARRIER	NON-QUALIFIED	10922J235 - T-PLUS FIXED ANNUITY	DC - Washington D.C.	XXXXX6805 - QGICEZS DRORIX
0435112	00005119 - IPS TEST CARRIER	NON-QUALIFIED	10922J235 - T-PLUS FIXED ANNUITY	DC - Washington D.C.	XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
0443230	00005119 - IPS TEST CARRIER	NON-QUALIFIED	10922J235 - T-PLUS FIXED ANNUITY	DC - Washington D.C.	XXXXXX8758 - CEVAKE IGKVCH
0455384XB	00005119 - IPS TEST CARRIER	NON-QUALIFIED	10922P124 - PIONEER ANNUISTAR PLUS	DC - Washington D.C.	XXXXXX8833 - BNQOJW Y EBCSZ QQC VK
0471168	00005119 - IPS TEST CARRIER	403b	10922J177 - REGISTERED GOLD TRACK GROUP	DC - Washington D.C.	XXXXXX2947 - KLKKLFS ZFMLX

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

52 results found						🖽 📥
Policy Number	ID & Name	Policy Status	Primary Producer ID & Name	Product Share Class	Product Type	Reported Policy Value
0369441	GLDREJFPE BARFYPGF	Active	3010179 - CHEVRONENUC	No Share Class	Fixed Annuity Products	\$ 14,820.19
0369785	QGICEZS DRORIX	Active	3483848 - CLAPICK BEKIS	No Share Class	Fixed Annuity Products	\$ 75,453.54
0435112	JYMEMB GAPGEBGFAP	Active	3483848 - CLAPICK BEKIS	No Share Class	Fixed Annuity Products	\$ 30,034.36
0443230	CEVAKE IGKVCH	Active	3483848 - CLAPICK BEKIS	No Share Class	Fixed Annuity Products	\$ 86,810.88
0455384X8	BNQOJW Y EBCSZ QQC VK	Active	17621047 - BEAGH DIGIACO	Bonus	Variable Annuity Products	\$ 218,822.18
0471168	KLKKLFS ZFMLX	Active	18454298 - STOVARKSKY	C Share	Variable Annuity Products	\$ 23,064.37
0481671	EBOVENSOW MYXKR	Active	2031902 - DUYE BEAVE-BE	Bonus	Variable Annuity Products	\$ 20,521.25
0494474	KQBA B/Q NCGEBI J CGJIXAWG	Active	5691128 - ALOI COUTHER	Bonus	Variable Annuity Products	\$ 84,787.21
0520885	QRSHUEE GEMXPIKPX	Active	3026768 - BANDAI EGNE	B Share	Variable Annuity Products	\$ 10,160.55
0607763	LBYJC ICUHZ	Active	2632690 - ARSUSO AUCUTT	Bonus	Variable Annuity Products	\$ 742,810.97
0610547	NZGV GIVD ZSA BLFHE GIPPFPHRLC	Active	2632690 - ARSUSO AUCUTT	Bonus	Variable Annuity Products	\$ 55,616.94
0610663	ACSUVFJ KVUIQGS	Active	9207569 - BEAHC ACURET	Bonus	Variable Annuity Products	\$ 88,050.35
0611876	LRCX CAXU RTG OBEGNO MEXCEBO	Active	2632690 - ARSUSO AUCUTT	Bonus	Variable Annuity Products	\$ 32,105.37
0615421	TAKN YGSSUZ NIAKN TR EET/YNT	Active	633105 - BLAKY BOEKE	Bonus	Variable Annuity Products	\$ 168,023.50
0615640	AUH XSYYFW HUIJH AN WAXHA	Active	633105 - BLAKY BOEKE	Bonus	Variable Annuity Products	\$ 977,276.71
	4					

- 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.

							Manage Columns 🗙
						N	DTCC Carrier Number & Name R SQualification Code Policy CUSIP & Product Name Policy Subs State Policy Subs State Policy Po
52 results found							Product Share Class
Policy Number	DTCC Carrier Number & N	IRS Qualification Code	Policy CUSIP & Product Na	Policy Issue State	Policy Owner ID & Name	Policy Status	Apply
0369441	00005119 - IPS TEST CARR	NON-QUALIFIED	10922J235 - T-PLUS FIXED	DC - Washington D.C.	XXXXXXX9765 - GLDREJFPE	Active	□ ▲
0369785	00005119 - IPS TEST CARR	NON-QUALIFIED	10922J235 - T-PLUS FIXED	DC - Washington D.C.	X000005805 - QGICEZS DR	Active	Save Search Crite
0405440		101001000		no 111-11-10-0	10000000 0000000		Save Search Chie
52 results found							
Policy Number	IRS Qualification Code	Policy CUSIP & Product Na	Policy Owner ID & Name	Primary Producer ID & Name	Product Share Class	Product Type	
0369441	NON-QUALIFIED	10922J235 - T-PLUS FIXED	XXXXXXX9765 - GLDREJFPE	3010179 - CHEVRONENUC	No Share Class	Fixed Annuity Product	3
0369785	NON-QUALIFIED	10922J235 - T-PLUS FIXED	X000006805 - QGICEZS DR	3483848 - CLAPICK BEKIS	No Share Class	Fixed Annuity Product	s

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

1	A	8 C	D	E	F	G	н	1		ĸ	L.	м	N	0	Р	Q	R	5	т	U	v	w			
1 R	eport No.:Al	HOC																							
2 50	earch Result	as of:2020-11-18	16:30:2	0.787																					
3 Pi	olicy Search	Criteria:																							
4	DTCC Carris	r Number & Name	100005	1191																					
5	DTCC Distri	utor Number & N	ame:100	001221																					
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0455	38439	NON-OLIM IRED		109229124	PIONEEE	ANNUSTAS	PILIS	2000	108833	Federal Taxoa	ers identific	ation Number	Noo	Natural							BNO	ONW Y FROM	00CVK	543	2376
0471	168	403b		10922/177	REGISTE	RED GOLD T	ACK GROUP	20000	K2947	Social Security	Vumber		Nets	ral					LICKLIPS	ZEMLX				575	0917
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22 2	1000444	3010179		Natural				0	ADJOY	NUC		8100						NO ST	are class	Filled	Annually Pro	vauets		516,5	20.19
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### **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.

er Number	r & Name	Policy CUSIP & Product Name		
- IPS TES	Save Search Filters		×	
Firm ID (	Name			
ociated Fin	Search_001_11/19/2020			
are Class				
duct Shar	Save Cancel			

2. Name your saved search.

	Save Search Filters	×						
	Name	)(						
	IPSTEST_WashDQ							
lif	Save Cancel							

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

Policy Overview / Policy Search		Last Policy Data Refresh: 11/19/2020   09:36 AM (EST)
Saved Search Success Your Search Criteria has been saved successfully with name 'IPSTEST_WashDC' Visit 'Saved Searches' section for more details		×
Policy Search	Enter Policy Number	Select Saved Search Criteria

### **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.

Policy Search		Enter Policy Number	Select Saved Search Criteria
DTCC Distributor Number & Name	DTCC Carrier Number & Name	Policy CUSIP & Product Name	IRS Qualification Code
Search DTCC Distributor Number & Name 👻	Search DTCC Carrier Number & Name 👻	Search Policy CUSIP & Product Name	Select IRS Qualification Code 👻
Distributor Account Number ()	Associated Firm ID 0	Policy Status	Product Type
Enter Distributor Account Number	Enter Associated Firm ID	Active X	Select Product Type 👻
Policy Issue State	Product Share Class	Policy Owner	Primary Producer 0
Select Policy Issue State	Select Product Share Class 👻	Enter Policy Owner Last Name	Enter Primary Producer Last Name
Applied Filters : Policy Status Active Q			
Separah Reset			Save Search Criteria

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

Policy Search		Enter Policy Number	ÍPSTEST_WashDC v
DTCC Distributor Number & Name	DTCC Carrier Number & Name	Policy CUSIP & Product Name	IRS Qualification Code
00000122 - TEST DISTRI ×	00005119 - IPS TEST CA x	Search Policy CUSIP & Product Name	Select IRS Qualification Code 👻
Distributor Account Number ()	Associated Firm ID 0	Policy Status	Product Type
Enter Distributor Account Number	Enter Associated Firm ID	Select Policy Status	Select Product Type 👻
Policy Issue State	Product Share Class	Policy Owner 0	Primary Producer
Washington D.C. × v	Select Product Share Class	Enter Policy Owner Last Name	Enter Primary Producer Last Name
Applied Filters : DTCC Distributor Number & Name 00	000122 - TEST DISTRIBUTOR (FINETRE) O DTCC Carrier Numb	er & Name 00005119 - IPS TEST CARRIER O Policy Issue Stat	e Washington D.C. O
Search Reset			Save Search Criteria

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.

DTC	Wealth Mana	nagement Services ance Information Exchange
Policy -	Producer Prod	
Policy Overview		
Policy Search	pd	dated : 11/16/2020   18:40 PM (EST)
Data Quality	•	
Data Dictionary		Total Reported Policy
Administration	•	\$ 60,261,009,42

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.

Search	Reset						Save Search Criteri
53 results found			8				□ ≛
Policy Number	DTCC Carrier Number & N	IRS Qualification Code	Policy CUSIP & Product Na	Policy Issue State	Policy Owner ID & Name	Policy Status	Primary
091018	00005119 - IPS TEST CARR	403b	10922J466 - BLIC UNVL AN	DC - Washington D.C.	XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	Active	776003
169646	00005119 - IPS TEST CARR	403b	DUMMY2007 - Dummy Cusip	DC - Washington D.C.	XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	Active	1703081
169646A	00005119 - IPS TEST CARR	403b	10922J466 - BLIC UNVLAN	DC - Washington D.C.	XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	Active	1703061
2000941	00005119 - IPS TEST CARR	NON-QUALIFIED	10922M782 - SFG FIXED A	DC - Washington D.C.		Active	
2009650	00005119 - IPS TEST CARR	NON-QUALIFIED	10922M782 - SFG FIXED A	DC - Washington D.C.	XXXXXX1596 - YKXTF IYQR	Active	3024656
2013630	00005119 - IPS TEST CARR	IRA	10922M782 - SFG FIXED A	DC - Washington D.C.	X0000(5239 - GISUCNVG K	Active	692468
2025170	00005119 - IPS TEST CARR	NON-QUALIFIED	10922M782 - SFG FIXED A	DC - Washington D.C.	XXXXXX1011 - GSWUEG ZU	Active	3424697
2025173	00005119 - IPS TEST CARR	NON-QUALIFIED	10922M782 - SFG FIXED A	DC - Washington D.C.	XXXXXX4537 - YOBQXXE M	Active	3483956
2038100	00005119 - IPS TEST CARR	IRA	10922M709 - SFG VARIABL	DC - Washington D.C.	XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	Active	
2050079	00005119 - IPS TEST CARR	NON-QUALIFIED	10922M709 - SFG VARIABL	DC - Washington D.C.	XXXXXX4949 - JEJBNHO LP	Active	9458351
2052422	00005119 - IPS TEST CARR	IRA	10922M782 - SFG FIXED A	DC - Washington D.C.	XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	Active	3024097
2053018	00005119 - IPS TEST CARR	NON-QUALIFIED	10922M709 - SFG VARIABL	DC - Washington D.C.		Active	
1032513	00005119 - IPS TEST CARR	IRA	10922M782 - SFG FIXED A	DC - Washington D.C.	XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	Active	3030954
1060448	00005119 - IPS TEST CARR	IRA	10922M782 - SFG FIXED A	DC - Washington D.C.	XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	Deferred Death	3018855
1061023	00005119 - IPS TEST CARR	NON-QUALIFIED	10922M782 - SFG FIXED A	DC - Washington D.C.	XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	Active	3424697

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

53 results found							□ ≛
Policy Number	DTCC Carrier Number & N	IRS Qualification Code	Policy CUSIP & Product Na	Policy Issue State	Policy Owner ID & Name	Policy Status	Primary P
9091018	00005119 - IPS TEST CARR	403b	10922J466 - BLIC UNVLAN	DC - Washington D.C.	XXXXXX2860 - FETTXM JXW	Active	776003
9168646	00005119 - IPS TEST CARR	403b	DUMMY2007 - Dummy Cusip	DC - Washington D.C.	XXXXXX1740 - CLJFL LIEPYU	Active	1703081
9168646A	00005119 - IPS TEST CARR	403b	10922J466 - BLIC UNVL AN	DC - Washington D.C.	XXXXXX1740 - CLJFL LIEPYU	Active	1703081
A2000941	00005119 - IPS TEST CARR	NON-QUALIFIED	10922M782 - SFG FIXED A	DC - Washington D.C.		Active	
A2009650	00005119 - IPS TEST CARR	NON-QUALIFIED	10922M782 - SFG FIXED A	DC - Washington D.C.	XXXXX1596 - YKXTF IYQR	Active	3024656
A2013630	00005119 - IPS TEST CARR	IRA	10922M782 - SFG FIXED A	DC - Washington D.C.	X0000X5239 - GISUCNVG K	Active	692468 -
A2025170	00005119 - IPS TEST CARR	NON-QUALIFIED	10922M782 - SFG FIXED A	DC - Washington D.C.	XXXXXX1011 - GSWUEG ZU	Active	3424697
A2025173	00005119 - IPS TEST CARR	NON-QUALIFIED	10922M782 - SFG FIXED A	DC - Washington D.C.	XXXXX4537 - YOBQXXE M	Active	3483956
A2038100	00005119 - IPS TEST CARR	IRA	10922M709 - SFG VARIABL	DC - Washington D.C.	XXXXXX6607 - AKIGOSO IB	Active	
A2050079	00005119 - IPS TEST CARR	NON-QUALIFIED	10922M709 - SFG VARIABL	DC - Washington D.C.	XXXXXX4949 - JEJBNHO LP	Active	9458351
A2052422	00005119 - IPS TEST CARR	IRA	10922M782 - SFG FIXED A	DC - Washington D.C.	XXXXXX7404 - BSUW KEZZEA	Active	3024097
A2053018	00005119 - IPS TEST CARR	NON-QUALIFIED	10922M709 - SFG VARIABL	DC - Washington D.C.		Active	
11032513	00005119 - IPS TEST CARR	IRA	10922M782 - SFG FIXED A	DC - Washington D.C.	XXXXXX6339 - YQWQEY AJ	Active	3030954
11060448	00005119 - IPS TEST CARR	IRA	10922M782 - SFG FIXED A	DC - Washington D.C.	XXXXXX6431 - CFYUGFHHS	Deferred Death	3018855
11061023	00005119 - IPS TEST CARR	NON-QUALIFIED	10922M782 - SFG FIXED A	DC - Washington D.C.	XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	Active	3424697 -
	4						

### 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.

lote			
Il Policy Search	text fields require	an exact match.	
'olicy Search		11050448	Select Saved Search Criteria
DTCC Distributor Number & Name	DTCC Carrier Number & Name	Policy CUSIP & Product Name	IRS Qualification Code
Search DTCC Distributor Number & Name 🗢	Search DTCC Carrier Number & Name 👻	Search Policy CUSIP & Product Name	Select IRS Qualification Code 👻
Distributor Account Number ()	Associated Firm ID 0	Policy Status	Product Type
Enter Distributor Account Number	Enter Associated Firm ID	Active X	Select Product Type 👻
Policy Issue State	Product Share Class	Policy Owner ()	Primary Producer 0
Select Policy Issue State	Select Product Share Class	Enter Policy Owner Last Name	Enter Primary Producer Last Name
Applied Filters : Policy Status Active (2) Policy Numb	er 11060448 Q		
Search Reset			Save Search Criteria

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

### **Reviewing Policy Details**

1. Review the policy which is broken down into nine sections.

nicy Overview / Policy Search / Policy Details				Last Policy Data Refresh: 10/20/2020   03:33 PM (EST)
olicy Details				*
V Policy Number : 11060448	Policy CUSIP Name : SFG FIX	ED ANNUITY		Policy Status : Deferred Death
DTCC Carrier Number & Name 00005119 - IPS TEST CARRIER	Product CUSIP 10922M782		IRS Qualification Code IRA	Product Type Fixed Annuity Products
ERISA Indicator Policy Issue State Unknown DC - Washington D.C.			Product Share Class No Share Class	End Receiving Company ID 0163
End Receiving Company ID Qualifier Fund Transfer Restriction Member Identification Number (NSCC Participant #) Yes			Fund Transfer Restriction Reason Product Not Eligible	
Value Funds Producers	Dates Events	Party	Features Annuitization	
Value Funds Producers Policy Value Name	Dates Events	Party Policy Value	Features Annuitization Policy Percentage Amount Name	Policy Percentage Amount
Value         Funds         Producers           Policy Value Name         Total Contract Amount	Dates Events	Party Policy Value \$ 19,474.73	Features         Annullization           Policy Percentage Amount Name         Annual Withdrawal % - No Surrender Chargo	Policy Percentage Amount 100 000000 %
Value         Funds         Producers           Policy Value Name	Dates Events	Perty Policy Value \$ 19,474.73 \$ 19,474.73	Features         Annuitization           Policy Percentage Amount Name         Annual Validance %           Annual Withdraws %         No Surrender Charge           Total Base Fee %	Policy Percentage Amount 100 000000 % 0 0000000 %
Value         Flunds         Producers           Policy Value Name         -          -         -	Dates Events	Policy Value \$ 19,474.73 \$ 19,474.73 \$ 0.00	Features         Annulitation           Policy Percentage Annouri Name         Annul Withdawad S- No Surrender Charge           Annul Withdawad S- No Surrender Charge         Policy Annuisative Fee Percentage	Policy Persentage Amount 100.000000 % 0.000000 % 0.000000 %
Value         Funds         Producers           Paticy Values Name	Dates Events	Party Policy Value \$ 19,474.73 \$ 19,474.73 \$ 0,00 \$ 9,228.67	Features         Annullisation           Policy Parcentage Anneat Name         Annual With Name 3: No Surrowing Name           Annual With Name 3: No Surrowing Name         No Surrowing Name           Total See Fee %         Policy Annual Name           Policy Annual Name         Policy Annual Name           Montaliy via Dispersive Policy Name         Notaliy via Dispersive Policy Name	Policy Percentage Amount 100.000000 % 0.000000 % 0.000000 %
Value         Funds         Producers           Relig Waters Enne         -	Dates Events	Party Policy Value \$ 19,474,73 \$ 19,474,73 \$ 0,00 \$ 9,228,67 \$ 6,228,67	Features         Annultization           Roling Parconalized Amount Name         Annual Willid away %- No Summedia Charge           Annual Willid away %- No Summedia Charge         Total tasks Fea           Roling Amount Name         Fea	Folicy Presentage Amount 100 000000 % 0.000000 % 0.000000 % 0.000000 %
Wate         Funds         Producers           Pointy Wate         Total Control Annound         Stransfer Wate           Stransfer Wate         Point TETRA Cod         Cognal Investment Wate           Point TETRA Cod         Cognal Investment Wate         Non-Non-Non-Non-Non-Non-Non-Non-Non-Non-	Dates Events	Policy Value \$ 19,474,73 \$ 19,474,73 \$ 0,00 \$ 9,228,67 \$ 6,228,67 \$ 6,228,67 \$ 0,00	Features         Annultation           Policy Horecarding Annuary Manager         Annultation           Annual Withdows 14: - No Strender Charge         Annual Withdows 14: - No Strender Charge           Total Bone Ten %         -           Policy Administration File Percentage         Monthly and Expense Percentage	Policy Percentage Amount 100.000000 % 0.000000 % 0.000000 %
Wite         Funds         Producers           Peloty Make Name	Dates Events	Perly Policy Value \$19,474,73 \$10,474,73 \$0.00 \$9,228,67 \$6,228,67 \$0,00 \$9,228,67 \$0,00 \$9,228,67 \$0,00 \$9,228,67 \$0,00 \$9,228,67 \$0,00 \$0,00 \$0,228,67 \$0,00 \$0,	Features         Annutization           Peloic Preventing Annuel Name         Annuel Weldmarch N- No Surrocher Charge           Annuel Weldmarch N- No Surrocher Charge         Total Bitte Fee Si- Porto, Administrative Fee Percentage           Mortality and Expense Percentage         Mortality and Expense Percentage	Policy Princetage Amount 100 0000000 % 0 0000000 % 0 0000000 %
Nute         Funds         Producers           Rodge Water Name	Dates Events	Party Policy Value \$ 10,474.73 \$ 0.00 \$ 1228.67 \$ 0.00 \$ 9.228.67 \$ 0.00 \$ 9.228.67 \$ 0.00 \$ 9.228.67 \$ 4,145.80	Features         Annultation           Policy Percentoge Annual Haine	Folicy Percentage Amount           100.0000000 %         0.000000 %         0.000000 %         0.000000 %         0.000000 %         0.000000 %         0.000000 %         0.000000 %         0.000000 %         0.000000 %         0.000000 %         0.000000 %         0.000000 %         0.000000 %         0.000000 %         0.000000 %         0.000000 %         0.000000 %         0.000000 %         0.0000000 %         0.0000000 %         0.0000000 %         0.0000000 %         0.0000
Nute         Funds         Producers           Pating Values	Dates Events	Party Policy Value \$ 19,474.73 \$ 0.00 \$ 2228.67 \$ 0.00 \$ 9,228.67 \$ 0.00 \$ 9,228.67 \$ 4,145.80 \$ 9,228.67	Features         Annultation           Policy Percentage Annuel Maren         Annull Windows N - No Surrocker Charge           Annual Windows N - No Surrocker Charge         Total Blane Fee Sec           Total Blane Fee Sec         Proceedings           Martially and Expense Percentage         Martially and Expense Percentage	Policy Percentage Amount 100.0000000 % 0.000000 % 0.000000 %

2. Click the tabs to navigate through the sections during your review.

Value	Funds	Producers	Dates	Events	Party	Features	Annuitization	
59450 4000		0				1 100.00		
✓ FIXED ACCO	UNI				0922M78209807	100.00	100000 %	
Insurance Fund ID 10922M78209807			Fund Value \$ 19,474.73			Fund Units 0.000000		Fund Guarante 3.0000000 %
Fund/Underlying Security Name FIXED ACCOUNT			Fund/Underlying Sec Fixed Security	urity Type		Fund Restriction No Fund Level Restric	tion	Standing Allocatio Yes
Standing Allocation 100.0000000 %	n Percentage							
V Sub Accou	nt - 1							
Deposit/Guaranteed Start Date 08/15/1960		Deposit/Guaranteed Units 0.000000		Deposit/Guaranteed Duration 0		Deposit/Guaranteed Va \$ 19,474.73		
Deposit/Guara Guaranteed M	nteed Rate Type Enimum		Deposil/Guarantee 3.0000000 %	d Rate				

#### 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	e			P	olicy Value		
Total Withdrawal					\$ 4,145.80		
Cost Basis \$ 9,228.67							
Required Minimum		\$ 19,992.31					
Year-End Value					\$ 19,992.31		
Actuarial Present V	alue			\$ 0.00			
Policy Fee					\$ 0.00		
Surrender Charge /	Amount				\$ 0.00		
Loan Amount					\$ 0.00		
Gross Death Benef	īt			N	lissing Data		
Guaranteed Death	Benefit			N	lissing Data		

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

			DTCC	Wealth Management Services Insurance Information Exchange
			POLICY DETAILS - E	XPORT
DTCC	Wealth Man	agement Service	EXPORTED ON: 11/20/	2020 02:33 AM (EST)
	Insuranc	e Informat	POLICY DETAILS as of	- 10/20/2020 03-33 DM (EST)
Policy Details	Last Policy Dat	a Refresh: 10/	FOLICT DETAILS as of	. 10/20/2020 05.55 FMI (EST)
Policy Number: I1060448 Product CUSIP Name: SFG Product Status: Deferred Des	FIXED ANNUITY ath			
DTCC Carrier Number & Name	Product CUSIP	IRS Qualifi		
00005119-195 TEST CARRIER	10922M/82	IRA	POLICY # I1060448	
ERISA Indictor Unknown	Policy Issue State Washington D.C.	Product Sha No Share C	CARRIER # 00005119 -	IPS TEST CARRIER
End Receiving Company ID Qualifier Member Identification Number (NSCC Participant #)	Fund Transfer Restriction Yes	Fund Trans: Restriction Product No		
Values				
Policy Value Name		Policy Value		
Surrender Value		\$19,474.73		
Pre-TEFRA Cost		\$0.00		
Post-TEFRA Cost		\$9,228.67		
Original Investment Value		\$6,228.67		
Net Death Benefit		\$0.00		
1 otal Fremium Total Withdrawal		\$9,228.67	Disclaimer	
Cost Basis		\$9,228.67	The content, information and any mater	ials ("data") provided by DTCC and/or its affiliated companies ("DTCC") in this i
Required Minimum Distribution Basi	is Value	\$19,992.31	on an "as is" basis. The data provided	l herein has been provided to DTCC on behalf of the entitynamed above and
Year-End Value		\$19,992.31	informational purposes only. DTCC es	spressly disclaims all warranties, expressed orimplied, as to the accuracy of an
Actuarial Present Value		\$0.00	provided, including, without limitation,	liability for quality, performanceand fitness for a particular purpose arising out of
Policy Fee		\$0.00	of the data. DTCC shall not have any	liability, duty orobligation for or relating to the data contained herein, any
Surrender Charge Amount		\$0.00	maccuracies, omissions or delays in the o	lata,or for any actions taken in reliance thereon.
Cross Darb Banafit		SU.00		
Guaranteed Death Benefit		Missing Data		
				POLICY # 1106
				CARRIER # 0000
				IPS TEST CARE
				Pa
			POLICY # 11060448	
			CARRIER # 00005119	
			THE THE CARDING	
			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.

DTCC	Wealth Management Services Insurance Information Exchange
Policy - Producer	Product X X X X X
Policy Overview	
Policy Search	ndated : 11/20/2020   18:44 PM (EST)
Data Quality	>
Data Dictionary	Total Reported Policy
Administration	\$ 120,509,17



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.

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	DTCC	Weath Management Services Insurance Information Exchange		≜ ⊂a	Contact Us	DTCC.com	
X	Policy + Producer		KKKKKKKKKKKK	KKKKKK	IKK	XX	
	Policy Overview / Data Qua	ality Overview		Last Data Refresh:	11/23/2020   18	40 PM (ES1	
	Data Quality Overv	iew	Select Carrier / Group	All		*	
	Distributor(s)		Policy Status				
	Select Distributors	¥	Active x	Арріу	Reset		
	Applied Filters : Policy	y Status Active 3					

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

	surance Inf	ormation Exch	ange						٨	Can	Contact Us	DTCC.co
Policy + Producer	Product											
olicy Overview / Data Quality	Overview								Las	at Data Refresh: *	11/23/2020   18	:40 PM (E
Data Quality Overview	w						Select (	Carrier / Group 00	00			
Applied Filters : Policy Sta	atus Active										Modify	Search
Total No. of Policie	25	Reported Policy	Values(1,000s) 🕄	Total	No. of Policies with Miss	ing Data	Reported Polic	y Values(1,000s) \tag		Overall Com	pleteness Rate	(%) 🚯
488		\$ 4	4,677		488		\$	44,677			44.22 %	
✓ Top 10 Missing Critical	I Data Element									Product Types	All	
	Be	Policy Value Name							2,051			
		Country Code			94	1						
		Address Line 1			94	1						
		Identifier Qualifier			947							
		Identifier			947							
		First Name			928							
		City			922							
	Party No	n-Natural Entity Name			922							
		Last Name			922							
		Last Name	0 200	400 600	922 0 800 100 0	1 1200 ccurences	1400 160	0 1800	2000 2:	200		
✓ Completeness Rate by	/ Distributor(s)	Last Name	0 200	400 600	922 0 800 100 0 View By Top 5	ccurences	1400 160 Product Types	0 1800 Ali	2000 2: • Missi	200 ng Data Element	All	
✓ Completeness Rate by	/ Distributor(s)	Last Name	o 200	400 600	922 0 800 100 0 0 0 0 0 100 0 0 0 100 0 0 0 100 0 0 0 100 0 0 0 0	D 1200 CCUITERCES	1400 160 Product Types	0 1800 All I No. of CDEs – All P	2000 2: Missi olicies	200 ng Data Element	All Total No. of M	issing C
Completeness Rate by Distributor as 00000122-TEST DISTRIBUTOR ( 00000125-DISTRIBUTOR ( 00000125-DISTRIBUTOR ( 0000125-DISTRIBUTOR ( 0000125-DISTRIBUT	/ Distributor(s)	Last Name	0 200 Completeness Rate 72.9	400 604	922 0 800 100 0 0 View By Top 5 07 Total N	a 1200 ccurences	1400 160 Product Types	0 1800 All I No. of CDEs – All P	<ul> <li>2000 2:</li> <li>Missi</li> <li>olicies  </li> <li>1,333</li> <li>1,525</li> </ul>	ng Data Element	All Total No. of M	issing C
Completeness Rate by Distributor 1  October 2  October 2  Distributor 1  October 2	/ Distributor(s) (FINETRE) ASSOCIATES	Last Name	o 200 Completeness Rate 72.9 72.7 70.7	400 604 [%) [%] [%] [%] [%] [%]	922 a 800 100 c View By Top 5 Cr Total N	200 CCURERCES	1400 160 Product Types \$7 Tota	0 1800 All I No. of CDEs – All P	<ul> <li>Missi</li> <li>olicies</li> <li>1,333</li> <li>1,125</li> <li>458</li> </ul>	ng Data Element	All Total No. of M	issing C
Completeness Rate by Distributor 10 00000722.TEST DISTRIBUTOR ( 00000758.RAVIAON DAVIA 00000439.PERSHANG LC 00000123.TEST DISTRIBUTOR	/ Distributor(s)	Last Name	0 200 Completeness Rate 72.7 70.7 42.6	400 600 (%) 9% 1% 4% 3%	922 D ROO 100 C View By Top 5	200 CCUIRENCES	1400 160 Product Types 21 Tota	0 1800 All I No. of CDEs – All P	<ul> <li>2000 2:</li> <li>Missi</li> <li>0licies</li> <li>1,333</li> <li>1,125</li> <li>458</li> <li>31,726</li> </ul>	ng Data Element	All Total No. of M	issing C 18
Completeness Rate by Distributor of 00000122 TEST DISTRIBUTOR 00000725 RAYMOND JANES & / 00000123 TEST DISTRIBUTOR	/ Distributor(s) (FINETRE) ASSOCIATES	Last Name	a 200 Completeness Rate 72 9 72 7 70 7 42 6	<b>1900 600</b> <b>1900</b> 1966 4956 3356	922 100 100 C	1200     1200     ccurences      . of Policies     .     19     15     8     461	1400 160 Product Types 31 Tota	0 1800 All I No. of CDEs – All P	2000 2: Missi officies 1,333 1,125 458 31,726	ng Data Element	All Total No. of M	issing Cl 18, See FL
Completeness Rate by Distributor Control of the second se	y Distributor(s) (FINETRE) ASSOCIATES y Product Type	Last Name	o 200 Completeness Rate 72.9 72.7 70.7 42.6	400 600 [55] [56] [56] [56] [56] [56] [56] [56]	922 922 9 800 100 4 View By Top 5 43 Total N	2000 ccurrences	Product Types	0 1800 All I No. of CDE5 – All P	<ul> <li>Missi</li> <li>Missi</li> <li>1,333</li> <li>1,125</li> <li>458</li> <li>31,726</li> <li>Missi</li> </ul>	ng Data Element	All Total No. of M	issing Cl 18, See Fu
Completeness Rate by Distributor of Distributor Completeness Rate by Product Type of	/ Distributor(s) (FINETRE) / Product Type	Last Name	o 200 Completeness Rate 72.0 72.7 72.7 72.7 72.7 72.7 72.7 72.7	1400 600 174) 195 195 195 195 195 195 195 195 195 195	922 9 800 100 View By Top 5 41 Total N	a of Policies 461	1400 160 Product Types 31 Tota	o 1800 All I No. of CDEs – All P	X Missi     Missi	200 Ing Data Element	All Total No. of M All Total No. of M	issing Cl 18, See Fu issing Cl
Completeness Rate by Distributor ::     completeness Rate by completeness Rate Distributor(     completeness Rate by Product Type ::     Free Indexed Annuly	/ Distributor(s) (FANETRE) ASSOCIATES	Last Name	Completeness Rate 72.9 72.7 42.6 Completeness Rate 53.6	400 600 153)   155 155 155 155 155 155 155 15	922 9 809 1000 C Verw By Top 5 ∞ Total N	2 1200 cccurences 2 of Policies 461 2 of Policies 3 of Policies 137	1400 160 Product Types 31 Tota	a 1860 Al No. of CDEs – All P	Missi     Missi     Missi     Missi     1,333     1,125     458     331,726     Missi     Missi     Missi     13,248	roo ing Data Element ing Data Element	All Total No. of M All Total No. of M	issing CE : : : : : : : : : : : : : : : : : : :

- 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.

	Policy Overview / Data Qua	lity Overview		Last Data Refresh: 11/30/2020   20:38 PM (E					
	Data Quality Overv	iew				Select Carrier / Group	All		Ŧ
	Applied Filters : Policy Status Adme							Modity	Search
	Total No. of Po	licies Reported Policy V	/alues(1,000s)	Total No. of Policies wit	h Missing Data	Reported Policy Values(1,000	is) <b>0</b>	Overall Completeness Rate	(%) 🚯
	721,552	\$ 93,56	32,318	720,751		\$ 93,445,647		76.45 %	
	✓ Top 10 Missing Crit	ical Data Element						Product Types All	Ŧ
		Policy Value Name					1,081,2	109	
Policy Overview /	Data Quality Overview					Last	Data Refresh:	11/30/2020   20:38 PM (EST)	
Data Quality	Overview				Sele	ct Carrier / Group All		·	
Distributor(s) Select Distribut	lors	Ŧ	Policy Status Active X			- App	,	Reset	
Applied Filters :	Policy Status Active O								
Total	I No. of Policies	Reported Policy Values(1,000s)	Total No. of	Policies with Missing Data	Reported Po	iicy Values(1,000s) 🖯	Overall Cor	npleteness Rate (%) 0	
	721,552	\$ 93,562,318		720,751	\$	93,445,647		76.45 %	
✓ Top 10 Mis	sing Critical Data Elemer	nt					Product Types	All Y	

### **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	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 %

# 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.



2. 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.

✓ Top 10 Missing Critical Data Element		Product Types Fixed Annuity Products *
Reported Policy Value (\$)		1,377
Policy Value Name		1,377
Country Code	706	
Address Line 1	706	
Mantifier	692	
Identifier Qualifier	683	
First Name	671	
State	668	
Postal Code	668	
Party Non-Natural Entity Name	668	
	0 100 200 300 400 500 600 700 800 900 1000 1100 1200 1300 Occurences	1400 15

### **Checking Completeness Rate by Distributor**

#### Note

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

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

	✓ Completeness Rate by Distributor(s)		View By Top 5	÷	Product Types All	<ul> <li>Missing D</li> </ul>	Data Element All	×
	Distributor +1	11 Completeness Rate (%)	J+ Total No.	of Policies	It Total No. of CDEs -	All Policies	🕴 Total No. of Mis	sing CDEs
	00000 , NC	89.89%		1,076		65,328		6,603
	00000	89.77%		111		6,825		698
	00000	88.67%		8,489		533,206		60,408
	0000 INC.	87.97%		22		1,521		183
	00006	87.19%		7		531		68
								See Full List
✔ Comp	eleteness Rate by Distributor(s)		View By Bottom 5	Product Type	es Al 👻 I	Missing Data Element	All 👻	
Distributor	47		11 Total No. of Policies	11	Total No. of CDEs – All Policies	÷	Total No. of Missing CDEs	
00000	INC.	70.0%	22,411		1,241,728		372,492	
0000	and the second	71.43%	2,706		230,306		65,808	
00000	and second to a second	72.02%	154,175		8,482,231		2,373,631	
00004169-0	DTCC INTEGRATION TEST 1	72.16%	19		1,293		360	
00000	, NC	72.61%	72		4,925		1,349	
							See Full St.	

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

DTCC Weath Management Services Insurance Information	on Exchange		۵.	Contact Us DTCC.com
Policy 🖈 Producer 🔀 Producer 🗶 🗶				
Policy Overview / Data Quality Overview / All Completene	ess Rate By Distributor(s)			
Completeness Rate by Distributor(s)	Product Types	Al	* Missing Data Element All	*
40 results found				£
Distributor	Completeness Rate (%)	Total No. of Policies	Total No. of CDEs – All Policies	Total No. of Missing CDEs
00000 NC.	70.0%	22,411	1,241,728	372,492 🚔
	71.43%	2,705	230,305	65,808
00000	72.02%	154,175	8,482,231	2,373,631
00004169-DTCC INTEGRATION TEST 1	72.16%	19	1,293	360
0000(	72.61%	72	4,925	1,349
00000123-TEST DISTRIBUTOR	74.28%	17,982	1,681,729	432,568
00000122-TEST DISTRIBUTOR (FINETRE)	75.53%	271,309	24,627,760	6,026,683
0000	75.73%	183	11,801	2,864
0000	76.56%	547	35,040	8,215
0000	76.76%	755	48,938	11,372
	77.04%	750	59,727	13,715
00000	79.53%	215	15,274	3,127
000	79.57%	2	186	38
0000	80.08%	32,419	2,910,547	579,883
00000	80.53%	1,037	68,205	13,277 🖉
Displaying 1 - 40 of 40		Show 50 v per Page		
			6(2020 wil DTCC AR	Rights Reserved   Privacy Policy   Terms of Use

- 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.

<ul> <li>Completeness Rate by Product Type</li> </ul>			Missing Data Element					
Product Type #1	↓↑ Completeness Rate (%)	3↑ Total No. of Policies	1 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	78,643	12,631				
Variable Universal Life Insurance	79.43%	16,649	1,811,713	372,644				
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	45,395				
Fixed Indexed Annuity	72.91%	24,677	2,236,549	605,830				
Fixed Universal Life Insurance	68.67%	36,730	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%	12,459	651,613	256,928				

- 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.

DTCC	Wealth Management Services Insurance Information Exchange
Policy - Producer	Product X X X X X
Policy Overview	
Policy Search	ndated : 11/20/2020   18:44 PM (EST)
Data Quality	Mateu : 11/20/2020   10.4411 III (201)
Data Dictionary	Total Reported Policy
Administration	\$ 120,509,1

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.

All ALE Productions of All Alexand All Constrained on a C	Na	saisaisaisaisaisaisaisai			i sai sai sai sai sai sai sai sai sai sa
	Policy Producer Product				
tat Issue Search  TCC Database Number A Name  DTCC Contre Number A Name  DTCC DTCC DTCC  D	nicy Overview / Data Quality Overview / Data Is	sue Search			Last Data Korresh: 11/30/2020   20/38 P
State Database Name     Ditte Canter Name & Alleme     Policy Name     Policy Name     Policy State       Same 3 The Database Name     Issues The Database Name     Issues The Database Name     Issues The Database Name     Issues The Database Name       Same 3 The Database Name     Issues The Database Name     Issues The Database Name     Issues The Database Name     Data Emeric	ata Issue Search				Select Saved Search Criteria
Stank TO Collections Name     Immed TO Construction Name     Emp File Stank     Emp File Stank       Stank TO Collection Name     Padde Top     Analog Collection Name     Data Emp File       Stank Top Collection Name     Emp File Stank     Emp File Stank     Emp File Stank	DTCC Distributor Number & Name	DTCC Carrier Number & Name		Policy Number	Policy Status
Date         Product Type         Associated Frem 0         Data Emment           Sender Printy COUPP & Product Type         Enter Ansociated Frem 0         Enter Associated Frem 0         Enter Associated Frem 0           Applied Titters :         Product Type         Enter Associated Frem 0         Enter Associated Frem 0         Enter Associated Frem 0	Search DTCC Distributor Number & Name	w Search DTCC Carrier Number & Name	×	Enter Policy Number	Active x
Status Public Carlo P & Product Tays     *     Extra Public Carlo P & Product Tays     *     Extra Public Carlo P & Product Tays     *     Extra Public Carlo P & Product Tays	Policy CUSIP & Product Name	Product Type		Associated Firm ID ()	Data Element
Appled Film: Pitry Status Anno O	Search Policy CUSIP & Product Name	* Select Product Type	v	Enter Associated Firm ID	Search Data Element
	Search Beset				Save Search

### **Setting Search Criteria**

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

Too Many Search Results ! Vour Search Results are 11,565,687 which exceeds the 300,000 limit for screen display and scheduling a download report. You must refine the search filter below									
Data Issue Search			Select Saved Search Criteria						
DTCC Distributor Number & Name Search DTCC Distributor Number & Name	DTCC Carrier Number & Name Search DTCC Carrier Number & Name	Policy Number Enter Policy Number	Policy Status						
Policy CUSIP & Product Name	Product Type	Associated Firm ID 0	Data Element						
Search Policy CUSIP & Product Name	Select Product Type 👻	Enter Associated Firm ID	Search Data Element						
Applied Filters : Policy Status Active									
Search Reset			Save Search Criteria						

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.

ata Issue Search					Select Saved Search Criteria	
DTCC Distributor Number & Name		DTCC Carrier Number & Name		Policy Number	Policy Status	
00004169 - DTCC INTEG ×	÷	Search DTCC Carrier Number & Name	-	Enter Policy Number	Active x	-
Policy CUSIP & Product Name		Product Type		Associated Firm ID 0	Data Element	
Search Policy CUSIP & Product Name	~	Fixed Annuity Products ×	Ŧ	Enter Associated Firm ID	Search Data Element	Ŧ
Applied Filters : Policy Status Active C Pr	oduct Type	Eivert Annuby Properts 6 DTCC Distributor Number &	Namo			

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

Saved Search Success Search Criteria has been saved successfully with name	Search_41	59'			×
"Seved Searches' section for more details					
ss and a second s		save search Filter	5	× _	- 1
Delicy X Headline X Declared X				×	
Dit Policy Overview / Data Quality Overview / Data	Issue Seard	Name			Last Data Refresh: 11/30/2020   20.3
Data Issue Search		Save Cance	ы		Select Saved Search Criteria
DTCC Distributor Number & Name		DTCC Carrier Number & Name		Policy Number	Policy Status
00004169 - DTCC INTEG ×	¥	Search DTCC Carrier Number & Name	¥	Enter Policy Number	Active ×
Policy CUSIP & Product Name		Product Type		Associated Firm ID ()	Data Element
Search Policy CUSIP & Product Name	×	Fixed Annuity Products X	*	Enter Associated Firm ID	Search Data Element

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

### **Data Issue Search Results**

ata Issue Search					Select Saved	I Search Criteria	
Applied Filters : Policy Status Active	DTCC Distributor Number &	Name 00004169 - DTCC INTEGRA	TION TEST 1 Product Type F	ixed Annuity Products		Modify Search	
13 results found						G	n 2
olicy Number	Completeness Rate (%)	DTCC Carrier Number & Name	Missing Data Element	Policy CUSIP & Product Name	Policy Status	Product Type	- I
D808148	72.22%	00004170 - DTCC INTEGRATI	Identifier Qualifier	DUMMY7006 - TEST Variable	Active	Fixed Annuity Products	
D808148	72.22%	00004170 - DTCC INTEGRATI	Country Code	DUMMY7006 - TEST Variable	Active	Fixed Annuity Products	
D808148	72.22%	00004170 - DTCC INTEGRATI	Reported Policy Value (\$)	DUMMY7006 - TEST Variable	Active	Fixed Annuity Products	
D808148	72.22%	00004170 - DTCC INTEGRATI	First Name	DUMMY7006 - TEST Variable	Active	Fixed Annuity Products	
D808148	72.22%	00004170 - DTCC INTEGRATI	Identifier	DUMMY7006 - TEST Variable	Active	Fixed Annuity Products	
D808148	72.22%	00004170 - DTCC INTEGRATI	Policy Value Name	DUMMY7006 - TEST Variable	Active	Fixed Annuity Products	
D808148	72.22%	00004170 - DTCC INTEGRATI	Address Line 1	DUMMY7006 - TEST Variable	Active	Fixed Annuity Products	
D808150	63.01%	00004170 - DTCC INTEGRATI	Reported Policy Value (\$)	DUMMY7006 - TEST Variable	Active	Fixed Annuity Products	
D808150	63.01%	00004170 - DTCC INTEGRATI	Address Line 1	DUMMY7006 - TEST Variable	Active	Fixed Annuity Products	
D808150	63.01%	00004170 - DTCC INTEGRATI	Policy Value Name	DUMMY7006 - TEST Variable	Active	Fixed Annuity Products	
D808150	63.01%	00004170 - DTCC INTEGRATI	Identifier	DUMMY7006 - TEST Variable	Active	Fixed Annuity Products	
D808150	63.01%	00004170 - DTCC INTEGRATI	Identifier Qualifier	DUMMY7006 - TEST Variable	Active	Fixed Annuity Products	
D808150	63.01%	00004170 - DTCC INTEGRATI	Country Code	DUMMY7006 - TEST Variable	Active	Fixed Annuity Products	
D808150	63.01%	00004170 - DTCC INTEGRATI	Date of Birth	DUMMY7006 - TEST Variable	Active	Fixed Annuity Products	
D810088	73.33%	00004170 - DTCC INTEGRATI	Policy Value Name	DUMMY7006 - TEST Variable	Active	Fixed Annuity Products	
Displaying 1 - 50 of 63			Show 50 v per Page			≪  < 1 2 ▶	ж

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.

pplied Filters : Policy Status Active	DTCC Distributor Number &	Name 00004169 - DTCC INTEGRAT	ON TEST 1 Product Type Fixed Annuity Products	Modify Search	
results found					
licy Number	Completeness Rate (%)	Missing Data Element			
808148	72.22%	Identifier Qualifier			
808148	72.22%	Country Code			
808148	72.22%	Reported Policy Value (\$)			
808148	72.22%	First Name			
808148	72.22%	Identifier			
808148	72.22%	Policy Value Name			
808148	72.22%	Address Line 1			
808150	63.01%	Reported Policy Value (\$)			
808150	63.01%	Address Line 1			
808150	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.

1	A	В	C	D	Ε	F	G	н	1.1	1	K	L	M	N	0	P	Q	R	s	
1	Policy Number	Completeness Rate (%)	Missing Data Element																	
2	BD808148	72.22%	Policy Value Name																	
3	BD808148	72.22%	First Name																	
4	BD808148	72.22%	Country Code																	
5	BD808148	72.22%	Identifier Qualifier																	
6	BD808148	72.22%	Address Line 1			A	В	C	D		E	F	G	h	v	W				
7	BD808148	72.22%	Identifier		1 0	anort No	ADHOC		_	_				2	_					
8	BD808148	72.22%	Reported Policy Value (\$)			eport no.	ADHOC													
9	BD808150	63.01%	Policy Value Name		2 5	earch Kes	ults as of:.	2020-12-0	01 21:12:	57.447										
10	BD808150	63.01%	Date of Birth		3 [	ata Issue	Search Cr	iteria:												
11	BD808150	63.01%	Identifier		4	DTCC Ca	rrier Numb	per & Nar	ne:[ 0000	4170]										
12	BD808150	63.01%	Reported Policy Value (\$)		5	DTCC Dis	tributor N	umber &	Name 10	0004169	1									
13	BD808150	63.01%	Address Line 1		-	Dellaste	thouton h	unioer or	real control of	000110.										
14	BD808150	63.01%	Identifier Qualifier		0	Policy Sta	itus:[VA]													
15	BD808150	63.01%	Country Code		7	Product 1	[ype:[FIX]													
16	BD810088	73.33%	Address Line 1		8									7						
17	BD810088	73.33%	Policy Value Name		-			the same time to be same to				-	-	_						
18	BD810088	73.33%	Reported Policy Value (\$)							_	-				-	-				
19	BD810088	73.33%	Country Code																	
20	BD810088	73.33%	Identifier Qualifier																	
21	BD810088	73.33%	Identifier		20									<u> </u>						
22	BD810090	72.00%	Country Code		21															
23	BD810090	72.00%	Identifier Qualifier		28									/						
24	BD810090	72.00%	Reported Policy Value (\$)				over She	et Da	ta lecua s	earch R	ecult	<b>A</b>	- (			1				
25	BD810090	72.00%	Address Line 1			· _	.over_one		tu_issuc_a	rearen_n	count	Ū		_		_				
26	BD810090	72.00%	Identifier																	
27	BD810090	72.00%	Policy Value Name																	
28	BD810092	72.00%	Address Line 1																	
	Cover_S	heet Data_Issue_Search_Res	ult (+)							: •										

### **CDEs Shown in Policy Details**

Applied Filters :	Policy Status Active DTCC Distributor Number &	Name 00004169 - DTCC INTEGRATIC	IN TEST 1 Product Type Fixed Annuity Products Modify Se	Jarch
63 results found				
Policy Number	Completeness Rate (%)	Missing Data Element		
BD303148	72.22%	Identifier Qualifier		
BD808148	72.22%	Country Code		
BD808148	72.22%	Reported Policy Value (\$)		
3D808148	72.22%	First Name		
D808148	72.22%	Identifier		
3D808148	72.22%	Policy Value Name		
3D808148	72.22%	Address Line 1		
BD808150	63.01%	Reported Policy Value (\$)		
BD808150	63.01%	Address Line 1		
BD808150	63.01%	Policy Value Name		

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

olicy Details							*
<ul> <li>Policy Number : BD808148</li> </ul>	Policy CUSIP N	ame : TEST Varia	ble Annuity Proc	luct		Policy Status : Active	
DTCC Carrier Number & Name 00004170 - DTCC INTEGRATION TEST 2 ERISA Indicator No	Product CUSIP DUMMY7006 Policy Issue State CA - California			IRS Qualification Coc NON-QUALIFIED	te	Product Type Fixed Annulty Products	
Value Funds	Producers Dates	Events	Paulty	Features	Annuitization		
Policy Value Name			Policy Value	Policy Percentage	Amount Name		Policy Percentage Amount
Total Contract Amount			\$ 75,991.89			No Information Reported	
Surrender Value			\$ 69,241.89				
Total Premium			\$ 75,000.00				
Net Death Benefit			Missing Data				
Gross Death Benefit			Missing Data				
Total Withdrawal			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.

DTCC Wealth Management Services Insurance Information Exchange	L Carrier	Contact Us	DTCC.com
R Pody + D Peloviel X D Peloviel X X X X X X X X X X X X X X X X X X X	<u>KKKK</u>	KK	RXX
Policy Overview / Administration / Saved Searches			
Policy Search Data Issue Search			
Saved Searches (1) Q. 6	iearch by Saved Name		
Saved Name :	Saved Date & Time .	Execute	Remove
4169_for_annuity	12/01/2020, 11:39 PM	0	0
DTCC Distributor Number & Name 00001169 - DTCC INTEGRATION TEST 1 Policy Status Active Product Type Fixed Annuity Products			

**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.

Policy Overview / Administration / Seved Searches			
Policy Search Data issue Search			
Saved Searches (2)	Q Search by Saved Name		
Saved Name a	Saved Date & Time .	Execute	Remove
✓ 0123_fixed_annuity	12/02/2020, 12:46 AM	0	Û
DTCC Distributor Number & Name 00000123 - TEST DISTRIBUTOR Product Type Fand Annulty Products			
169_6x_annuty	12/01/2020, 11:39 PM	0	Û

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

Policy Overview / Administration / Saved Searches			
Policy Search Data Issue Search			
Saved Searches (2)	Q. Search by Saved Name		
Saved Name :	Saved Date & Time .	Execute	Remove
Seved Name :  O123_fxed_annuly	Saved Date & Time . 12/02/2020, 12:46 AM	Execute	Remove
Swed Hare :     2 0122, Seed Janoby	Saved Date & Time - 12/02/2020, 12:46 AM 12/01/2020, 11:39 PM	Execute O	Remove

The Policy Search page appears with saved search criteria populated.

Policy Search		Enter Policy Number	Select Saved Search Criteria
DTCC Distributor Number & Name	DTCC Carrier Number & Name	Policy CUSIP & Product Name	IRS Qualification Code
00004169 - DTCC INTEG x	Search DTCC Carrier Number & Name 👻	Search Policy CUSIP & Product Name	Select IRS Qualification Code 👻
Distributor Account Number ()	Associated Firm ID	Policy Status	Product Type
Enter Distributor Account Number	Enter Associated Firm ID	Active ×	Fixed Annuity Products ×
Policy Issue State	Product Share Class	Policy Owner 🔁	Primary Producer 0
Select Policy Issue State	Select Product Share Class 👻	Enter Policy Owner Last Name	Enter Primary Producer Last Name
Applied Filters : Policy Status Active O Product Ty	PPe Fixed Annuty Products O DTCC Distributor Number & Na	me 00004169 - DTCC INTEGRATION TEST 1	
Search Reset			Save Search Criterio

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.

Policy Overview / Administration / Saved Searches			
Policy Search Data Issue Search			
Saved Searches (1)	Q Search by Saved Name		
Saved Name :	Saved Date & Time .	Execute	Remove
Search_4169	12/01/2020, 11:44 AM	0	1
DTCC Distributor Number & Name 00004169 - DTCC INTEGRATION TEST 1 Policy Status Active Product Type Fixed Annuly Products			

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.

Policy Overview / Administration / Saved Searches	
Search Criteria Success Your Search Criteria has been deleted successfully.	×
Policy Search Data Issue Search	
	No Saved Searches

### 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.

Policy - Producer	Pŕ	roduct
Policy Overview		
Policy Search		odated : 12/01/2020   18:44 PM (EST)
Data Quality	•	
Data Dictionary		Total Reported Pol
Administration	<u> </u>	Saved Searches
		Download Reports
✓ Top 5 Product Types b	y I	Manage Saved Groups

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

Policy Overview / Adminis Manage Saved Gro	The standard Method     Insurance Information Exchange     Insurance Information     Insurance     Insurance	l Carrie	Contact Us	DTCC.ser	Sup.
Group Name	Saved Date & Time		Modify	Remov	•
Test Group	10/21/2020, 05/04 PM		ß	0	
Participant ID	Participant Name	Туре			
00004170	DTCC INTEGRATION TEST 2	Carrier			1
00005115	IPS TEST CARREE #2	Carrier			
00005119	IPS TEST CARRER	Carrier			

### **Creating a New Group**

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

Create New Group					
Enter Group Name Enter Group Name					
Select Participant ID & Name	Selected Participant ID & Name				
Q Search Participant ID & Name	Q Search Participant ID & Name				
00001187 - PACIFIC LIFE INSURANCE COMPANY/LIFE DIVISION LYNCH	A				
00002693 - PACIFIC LIFE & ANNUITY COMPANY/LIFE DIVISION LYNCH					
00003111 - COMMONWEALTH ANNUITY & LIFE INSURANCE COMPANY/FIR					
00003165 - JEFFERSON NATIONAL LIFE INSURANCE COMPANY/JEFFERSO					
00003253 - AMERICAN GENERAL LIFE INS CO/AIG ANNUITIES-FA&IA I					
00003271 - ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA/LI					
00003274 - ALLIANZ LIFE INSURANCE COMPANY OF NEW YORK/LIFE BU					
	*				
	Save Clear All				

- 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.

Create New Gro	up			×
Enter Group Name	Test Carrier			
Select Participant ID 8	S. Name		Selected Participant ID & Name	
QII			Q Search Participant ID & Name	
00001187 - PACIFIC L	IFE INSURANCE COMPANY/LIFE DIVISION LYNCH	-	00004170 - DTCC INTEGRATION TEST 2	
00002693 - PACIFIC L	IFE & ANNUITY COMPANY/LIFE DIVISION LYNCH			
00003111 - COMMON	WEALTH ANNUITY & LIFE INSURANCE COMPANY/FIR			
00003310 - AMERICA	N GENERAL LIFE/AIG ANNUITIES+FIXED			
00003904 - FIDELITY	& GUARANTY LIFE INSURANCE COMPANY			
00004507 - AMERICA	N GENERAL LIFE/AIG ANNUITIES-SVC ONLY FIXED			
00004532 - PACIFIC L	JFE INSURANCE CO.	_		
		•		

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		Creat	te New Group	
Group Name	Saved Date & Time	Modify	Remove	
> Test Carrier	12/02/2020, 05:38 AM	8	Û	
> Test Group	10/21/2020, 05:04 PM	œ	8	

### Modifying a Saved Group

Policy Overview / Administration / Manage Saved Group	15		
Manage Saved Groups			Create New Group
Group Name	Saved Date & Time	Mo	dify Remove
> Test Carrier	12/02/2020, 05:38 AM		B. B.
est Group	10/21/2020, 05:04 PM		2 0
Participant ID	Participant Name	Туре	
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.

nter Group Name	Test Group			
elect Participant ID &	Name		Selected Participant ID & Name	
Q Search Participar	nt ID & Name		Q Search Participant ID & Name	
0001187 - PACIFIC LI	FE INSURANCE COMPANY/LIFE DIVISION LYNCH	<b>^</b>	00004170 - DTCC INTEGRATION TEST 2	
0002693 - PACIFIC LI	FE & ANNUITY COMPANY/LIFE DIVISION LYNCH		00005115 - IPS TEST CARRIER #2	
0003111 - COMMONV	VEALTH ANNUITY & LIFE INSURANCE COMPANY/FIR		00005119 - IPS TEST CARRIER	
0003165 - JEFFERSC	ON NATIONAL LIFE INSURANCE COMPANY/JEFFERSO			
0003253 - AMERICAN	I GENERAL LIFE INS CO/AIG ANNUITIES-FA&IA I			
0003271 - ALLIANZ L	IFE INSURANCE COMPANY OF NORTH AMERICALI			
0003274 - ALLIANZ L	IFE INSURANCE COMPANY OF NEW YORK/LIFE BU	-		

**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.

Modify Group	Confirmation		×	×
Enter Group Name Test Group	Are you sure you want t	o modify th	e group?	
Select Participant ID & Name	Yes No			
Q Search Participant ID & Name			Q Search Participant ID & Name	
00001187 - PACIFIC LIFE INSURANCE COMPANY/	IFE DIVISION LYNCH	-	00004170 - DTCC INTEGRATION TEST	2
00002693 - PACIFIC LIFE & ANNUITY COMPANY/L	FE DIVISION LYNCH		00001187 - PACIFIC LIFE INSURANCE	COMPANY/LIFE DIVISION LYNCH
00003111 - COMMONWEALTH ANNUITY & LIFE IN	SURANCE COMPANY/FIR			
00003165 - JEFFERSON NATIONAL LIFE INSURAN	ICE COMPANY/JEFFERSO			
00003253 - AMERICAN GENERAL LIFE INS CO/AIC	ANNUITIES-FA&IA I			
00003271 - ALLIANZ LIFE INSURANCE COMPANY	OF NORTH AMERICA/LI			
00003274 - ALLIANZ LIFE INSURANCE COMPANY	OF NEW YORK/LIFE BU			
		÷		
				Save Clear All

7. 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		Cree	te New Group
Group Name	Saved Date & Time	Modify	Remove
> Test Group	12/02/2020, 06:13 AM	8	8
> Test Carrier	12/02/2020, 05:38 AM	8	0

### **Removing a Saved Group**

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

Policy Overview / Administration / Manage Saved Groups			
Manage Saved Groups		Creat	te New Group
Group Name	Saved Date & Time	Modify	Remove
> Test Group	12/02/2020, 06:13 AM	ß	181
> Test Carrier	12/02/2020, 05:38 AM	2	0

The Confirmation dialog box appears.

	Confirmation	×	
R	Are you sure you want to delete <b>Test Group</b> ?		
	Yes No		

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

Policy Overview / Administration / Ma	nage Saved Groups		
Manage Custon Your Manage Custom Group Test Gr	n Group Success wap has been deleted successfully		×
Manage Saved Groups			Create New Group
Group Name	Saved Date & Time	Moq	dify Remove
Test Carrier	12/02/2020, 05:38 AM		e e
Participant ID	Participant Name	Туре	
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.

	DT(		anagement Serv <b>ance Inf</b>	ices ormation Exchange
$\geq$	Policy -	Producer	oduct	
	Policy Overview			
Т	Policy Search		ndatad : 11/	16/2020   19·40 PM (EST)
	Data Quality	•		10/2020   18.40 FW (EST)
	Data Dictionary			Total Reported Policy Values (1)
	Administration	۶.		\$ 229,992,625,556

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

Wealth Manager	nen Senios	Contact Us									
		Distributor 👻 🛛 🧸	0-								
Policy + Producer Produc											
Policy Overview / Data Dictionary											
Data Dictionary	V B C D E E D H I 1 K F M N O E D B	SIUYW	хx	z 🛓							
UI Data Name	DTCC Data Point Definition	DTCC Item Numi	er								
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 Inter Allowed (w/o Surrender Charge)	st 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 (CVVP)	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)	Annuty Only - Contract his reached the annutization payout period and may have been given a new contract number. Payments are in progress and will continue to be repeated until dealth. This shallow avoid be used for any contracts that are in a payout phase, regardless of how they originated. They may be used for deferred contracts that have been Annutized, or for contracts that foregons immediate annuise. Represented by code (VA)	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 crediting period, if this index option has rolled over from a prior period. Represented by code (AR)	POV 3155									
Actuarial Present Value	The present Value The present value of any additional guaranteed benefits that will be precided under the contract. If lederal law or regulation excludes the AP from the Regulated Manuum Distribution calculation, the AP value should not be repetited or a value of 5 should be sent. Applicable to contract, with a qualification type that are required by federal law b take a RMD. Represented by code (MP)										
Address Line 1	Address for party previously noted.	POV 3850									
Address Line 2	Address for party previously noted.	POV 3851									

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

Policy Overview / Data Dictionary		
Data Dictionary	V B C D E C H I J K F M N D E D B	<u>s i u v w x v z</u>
UI Data Name	DTCC Data Point Definition	DTCC Item Number
Sales Load Fee Percentage	Upfront 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 3852
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 find date that the contract line for of all summedir charges. If the summedir charge is based on individual premiums paid into the contract, this date will charge whenever a permitten a paid in the contract. If we date should be treamitted automose the date charges, and at a minimum serif quartierly if them? I haven't date on each lite. Date buters and and on every position lise they send due to system capabilities. Date buters can choose to grave until the dates in which if is required or refresh the date on each lite. Date buters and an every position lise how yound due to system capabilities. Date buters can choose to grave until the dates in which if is required or refresh the date on each lite. Date buters and an every position lise to sent the odds. - The equiration studied continue to be sent even once peet expension date. Represented to you do 20(3)	POV 3402
Surrender Charge Schedule	The field represents the reporting of the sumender charge schedule for the contract being reported. Example formatting should be ###################################	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.

<u>A</u>	B	<u>C</u>	<u>D</u>	E	E	<u>G</u>	H	Ī	Ţ	K	L	M	N	<u>0</u>	P	Q	<u>R</u>	<u>s</u>	I	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.

DTCC	
	DTCC API MARKETPLACE
	Fret Name:
	Lot Name
	Emil Address:
	Prone Number:
	Company Name:
	Courty:
	Method w/FH rest: Control of Control (Control (Contro) (Control (Contro) (Contro) (
	connectus
	By submitting this term, there read and age as to the DECCP basey Policy.
-	0:1999-2000- The Digositary Final & Oracing Corporation, Alright a reserved. Manage your create factor (FOI)s.

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

### Accessing the IIEX API Files

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



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

	DTCC APIS Leverage DTCC's expe technology solutions by DTCC's global infrastru	rrience and industry-leading i integrating your applications with incure.	Search
	The following APIs are	available for your use:	Courth Clay Al
Filte	rs Select All or None	Showing 1 of 10 Assets	<b>6</b> 9 JT
Filte	NTS Select All or None	Showing 1 of 10 Assets	<b>4</b> 9 ST
Filte Busi Co Co	ITS Select All or None less Domain Al ering Services • leteral Management •	Showing 1 of 10 Assets Insurance Information The IEX's is contral recossion of Peofense providing	69 LT
Filte Busi C Cr C Cr C De C Inst	Ins Search All or None hoss Domain All aring Services • Lateral Management la Services • tutoinent Trade Processing •	Showing 1 of 10 Assets  Insurance Information  The BLX is a central recording of Positions poly dimension providing  Denvin Wash Management Services  Tara Insurance, Sesters. No	<b>49</b> 47

3. Click the Insurance Information Exchange tile. The IIEX 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.

DTCC	API Marketplace	Support Contact Us DTCC com
		Guest Login
	Business Domain - Wealth Management Services   Verson : 0.0.1   Published: 05/21/20	
	summry The IED kan be and the second se	to-
	Tops Insurance, Positions, Support (Wealth Management Services)	
	Overview API Usage Examples FAQ	
	You must login to view this document. If you don't have a login ID please contact your company's Access Coordinator to request one.	
	Login Dott have an account? Sign Up	
	n	
DTCC		

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