

REPLACED CONTRACTS STANDARDIZED DATA REQUEST
Annuity Line of Business

Contents: *ACLI suggests that the second sentence of this explanation may be confusing. Accordingly, ACLI suggests the following clarification (Language proposed to be added is underlined. Language proposed to be deleted is stricken);* This file should be downloaded from company system(s) and contain one record for each annuity contract that the company replaced in [applicable state] during the examination period. The data should ~~reflect~~ only include information relating to new annuity contracts issued by records that the company that replaced an existing contract or contracts. ~~and~~ The data should not include information relating to contracts that were issued by the company, ~~and~~ replaced by other companies.

Uses: Data will be used to determine if the company follows appropriate procedures with respect to annuity contracts in [applicable state] within the scope of the examination:

- Cross-reference to in force data file to review persistency;
- Cross-reference with the company's MCAS data to validate the accuracy of MCAS reporting;
- Cross-reference to in force data file to determine whether producers are coding replacements properly;
- Cross-reference to producer data file to test producer licensure and replacement rates by producer; and
- Test for compliance with replacement notice requirements.

Field Name	Start	Length	Type	Decimals	Description	ACLI Comments
CoCode	1	5	A		NAIC company code	
ConNo	6	20	A		Contract number	
EffDt	26	10	D		Contract effective date [MM/DD/YYYY]	
CWAAmt	36	10	N	2	Consideration amount received with the replacement	It is not clear what information is sought. Do regulators seek consideration received at issue or value from replaced contract(s)? If the latter, this could be a difficult field to populate if multiple contracts are replaced.
ConForm	46	20	A		Contract form number as filed with the insurance department	This information may not be available by contract identification or may only be captured in databases that may not interface well with policy administration systems.
COFirst	66	15	A		Contract owner first name	How should this field be completed if the owner is a trust or organization or if there are multiple owners?
COMid	81	15	A		Contract owner middle name	Same as above.
COLast	96	20	A		Contract owner last name	Same as above.
CODOB	116	10	D		Contract owner date of birth [MM/DD/YYYY]	Same as above.
COAddr	126	100	A		Contract owner street address	
COCity	226	20	A		Contract owner city	
COST	246	2	A		Contract owner state abbreviation	
COZip	248	5	A		Contract owner ZIP code	
IssDt	253	10	D		Contract issue date [MM/DD/YYYY]	

IssSt	263	2	A		State abbreviation where contract was issued	
RepNtcCo	265	100	A		Name of replaced company	Same as above.
RepNtcDt	365	10	D		Date replacement notice sent [MM/DD/YYYY]	This information may not be readily available in Policy administration systems and may require cross referencing to other systems or manual process which will make it challenging to produce
PrCode	375	10	A		Company internal producer, CSR or business entity producer identification code Please provide a list to explain any codes used	
NPN	385	7	A		National producer number	Policy administration systems likely do not capture this information, necessitating linking to agent licensing system(s) or manual process.
RepType	392	1	A		Type of replacement Internal = 1 or External = 2	How should this field be completed if the new contract replaced more than one existing contract, or if the new contract replaced both an internal contract and an external contract (i.e. a contract issued by the company being examined and a contract issued by another company?)
PlanCode	393	10	A		System plan code Please provide a list of system plan codes along with their meanings	Is it the product code that is sought here?
T1035	403	1	A		Is a T1035 required to be completed in the event of a termination of replacement? (Y/N)	What is goal of this field? Could it please be clarified?
TxStat	404	1	A		Q = Qualified N = Nonqualified	
EndRec	405	1	A		End of record marker. Please place an asterisk in this field to indicate the end of the record. This must be in the same character position for every record in this table.	

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