

Life & Annuity Sales Simplified

ANNUITYNET

Foundry Training Guide For Distributors

AnnuityNet Platform December 2009 Release

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Foundry Training Guide for Distributors

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This guide is for the December 2009 release of the AnnuityNet Platform.

EbixExchange Foundry Training Guide for Distributors

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1 Introduction

Welcome to Foundry! Foundry is a suite of web-based tools created by EbixExchange and is used to administer various aspects of the AnnuityNet Platform. Foundry may be used by distributor partners to manage products in UAT, ProdSim and Production environments. Foundry is accessed through the Internet and is secured through perimeter authentication, as well as SSL. It is password protected. There are two versions of Foundry: Foundry UAT and Foundry ProdSim/Production. Both versions look and work exactly the same. Please call your EbixExchange project manager to obtain your user ID and password.

The instructions in this training guide pertain to both Foundry UAT and Foundry ProdSim/Production. In those instances where the instruction pertains only to one version of Foundry, the instruction will specifically state which version of Foundry.

2 Logging into UAT Foundry

To access UAT Foundry you will go through a two-step procedure. The first step is perimeter authentication, a security authentication procedure which you will need to pass before entering UAT Foundry. Perimeter authentication is enforced on connection attempts at our firewall. This technology allows EbixExchange to limit access to UAT Foundry at the network layer. Please contact your EbixExchange Project Manager for your radius security password.

Once you have successfully passed perimeter authentication, step two is logging into the UAT Foundry site.

2.1. Perimeter Authentication

Open your internet browser and browse to https://foundry.uat.finetre.com/Foundry/. If your IP address has not authenticated within the last hour, you will be prompted for your Perimeter Authentication login credentials. (These are different than your Foundry login credentials but are the same credentials you use to login to UAT). See Figure 2.1.1.

Enter your user information and click Ok. If you do not know your username and/or password, please contact your EbixExchange project manager.



Once you have been successfully authenticated, you'll see a screen with text similar to the example below. (If you go straight to the Foundry login page without first being prompted for user information, it means that a user on your network has already authenticated with EbixExchange and you are all set. That user may have authenticated either for testing in Production Simulation or by using Foundry.)

You have successfully authenticated. Your session will timeout after 1 hour of inactivity.

After you successfully browse to the page displayed above, you will be asked to log in to Foundry.

2.2. Log In to UAT Foundry

Once authenticated, you will be taken to the Welcome to Foundry log in page. Type your user ID and password into the text boxes provided and click on LOGIN. (User IDs and passwords are case sensitive.) If you do not know your username and/or password, please contact your EbixExchange project manager.

Foundry Training Guide for Distributors

Figure 2.2.1	
a Login - Microsoft Internet Explorer	
Elle Edit View Favorites Iools Help	Øsend 🥂
😋 Back + 🌍 - 🖹 🔮 🏠 🍃 🔎 Search 👷 Favorites 🜒 Media	
Agdress all https://foundry.prodsim.finetre.com/foundry/Default.aspx	💌 🔁 Go 🔁 🔹
	(K)
Finetre	Welcome to Foundry
User ID:	
Password:	
LOGIN	
Finetre, Inc. 2350 Corporate Park Drive, 8th Floor. Hermdon, VA 20171 703 234 0150 703 234 0151 (fex.)	
intoschnere com	(2)
a Done	🔒 🔮 Internet

After clicking on LOGIN, you will be taken to the homepage for your UAT Foundry site. See Figure 2.2.2.

Figure 2.2.2	
▲ Foundry - Microsoft Internet Explorer	
Elle Edit View Favorites Iools Help Send	2
😮 Back 🝷 💿 🗧 📓 🏠 🌺 🔎 Search 👷 Favorites 🜒 Media	
Agdress 👜 https://foundry.prodsim.finetre.com/foundry/home.aspx	💌 🛃 Go 🔁 *
Foundry	
MENU Welcome to Foundry	
Tools Please choose a tool from the left hand menu.	
Home Carrier Product	
Teol Teol	
Bistributor Product Tool	
Earna and a second s	
Change Password	
Client Activity	
Logard	
Done	🔒 🔮 Internet

3 Logging in to ProdSim/Production Foundry

Open your internet browser and browse to foundry.prodsim.EbixExchange.com. You will be taken to the Welcome to Foundry log in page. Type your user ID and password into the text boxes provided and click on LOGIN. (**User IDs and passwords are case sensitive**.) If you do not know your username and/or password, please contact your EbixExchange project manager.

Figure 3.0.1	
a Login - Microsoft Internet Explorer	
Elle Edit View Favorites Iools Help	ØSend 🥂
😮 Back 🔹 🌍 🔹 📓 🏠 🌺 🔎 Search 👷 Favorites 🜒 Media	
Agdress 🕘 https://foundry.prodsim.finetre.com/foundry/Default.aspx	💌 🔁 Go 🛛 🔁 🖜
	(A)
Finetre	Welcome to Foundry
UserID:	
Password:	
LOGIN	
Finetre, Inc. 2350 Corporate Park Drive, 8th Floor Herndon, VA 20171 703.234.0150 703.234.0151 (fax)	
info@finetre.com	1
a) Done	🔒 🗶 Internet

After clicking on LOGIN, you will be taken to the homepage for your ProdSim/Production Foundry site. See Figure 3.0.2.

Figure 3.0.2	
Foundry - Microsoft Internet Explorer	
Elle Edit View Favorites Iools Help 🔊 end	<u></u>
🚱 Back 🝷 🕥 - 💌 😰 🏠 🌺 🔎 Search 👷 Favorites 🜒 Media	
Address 🕘 https://foundry.prodsim.finetre.com/foundry/home.aspx	💌 🄁 Go 🐔 *
Foundry	A
MENU Welcome to Foundry	
Tools Please choose a tool from the left hand menu.	
Rome Carrier Product Tool	
Distributor Product Tool	
Forms Management	
Change Password	
Client Activity Logout	
Lonout	v.
a Done	🔒 🔮 Internet

4 Distributor Product Tool

The Distributor Product Tool is used to manage products. The Distributor Product Tool works the same in both UAT Foundry and ProdSim/Production Foundry. When you click on Distributor Product Tool in the left-hand navigation menu you will be transferred to the Product Management page. See Figure 4.0.1.

Figure 4.0.1	
Foundry	
- Menu -	Product Management for Distributor ANNUITYNET_TEST
Distributor Product Tool Product Management	Environment: Test
Tools	Filter +
Home	Product Info Criteria
Distributor Product Tool	Cusip: Product ID:
Forms Management	Carrier:
Change Password	>> Apply Filter <<
Logout	
Logout	Please apply the filter to narrow down the returned records whenever possible.
	 (1) Type in Product to only, if you know Product to. (2) Type in Cusip only, if you don't know Product ID but know Cusip. (3) Select the Carrier from the dropdown, if you don't know either Product ID or Cusip but know the Carrier. (4) Mismatched criteria will result in no data.

4.1. Filtering the Product Management for Distributors

The filter provided at the top of the Product Management page allows you to find specific products based on certain criteria. This is useful if there are many products, and you would like to find a particular product or products for a particular carrier. Fill in the boxes with the criteria on which to filter the products and click Apply Filter. The results will show in the product list below.

Figure 4.1												
Foundry												
	Product Manageme	ent for Distribu	tor ANNUITY	NET_TE	ST							
Distributor Product Tool Product Management Tools	Environment, Test											
Home	Readwart Info Caitosia	Filter +										
Distributor Product Tool	Cusip:	P	roduct ID:									
Forms Management	Carrier: Blu	e Sky Carrier 🔽 🗚	ctive Status:	~								
Firm Management	>>	> Apply Filter	<<									
Logout												
Logout	Looput Checkbox is checked if product is on or flag on, and unchecked if off or flag off. Please check/uncheck the checkbox to turn on/off the product. Changes made before submitting will be lost atter switching environments or re-applying filter.											
	Result 1 - 10											
					123456							
	Carrier Name	CUSIP NAI	C Product Type	Product ID	Product Name	Import ID	Deployed	Active Status	PPIA Feedback Status			
	Blue Sky Carrier	776655432 123	45 Annuity	100497	Blue Sky 2 Variable	111797.0000	10/3/2008 3:37:01 PM	On	None	Update PPTA Feedback		
	Blue Sky Carrier	776655666 123	45 Annuity	100686	Blue Sky 2 Variable Commission	111795.0000	10/3/2008 3:40:09 PM	orr	None	Update PPIA Feedback		

The Product Management page (Figure 4.1 above) shows you a list of products and if the product is on or off for UAT or either the production simulation environment or production.

4.1.1. Test versus Production Product Management for Distributors

Foundry defaults to show you the products that are available in your test environment. UAT Foundry will show only those products that are available in UAT. To see all the products that are available in your test environment, click Apply Filter. As the system processes your request, there is a processing graphic that appears to let you know the system is processing your request. You can use the filter box to narrow down the list of products you see on the page. By using the fields within the filter box you can choose to see a specific carrier's products, only those products that are activated (i.e. products with an active status of On), only a specific CUSIP, etc. After you make your selection, click Apply Filter and the results will show on the page.

Figure 4.1



To see the products that are available in your Production environment, go to the filter box at the top of the page; click on the drop down box for Environment; and, select Production. The page will refresh and show the Production Product Management page. To see all the products that are available in your Production environment click Apply Filter. As the system processes your request there is a processing graphic that appears to let you know the system is processing your request. As described above, you can use the filter box to narrow down the list of products you see on the page.

Figure 4.1.2



4.1.2. Explaining the Production Product Management for Distributors Screen

ure 4.1.3											
Foundry											
	Product Management for Distributor ANNUITYNET_TEST										
Distributor Product Tool Product Management	Environment: Production 💌										
Product Management Filter * Toods Filter * Mone Product Nrto Criteria Extra Function Product Too Cusique Const Management >> Apply Filter << Logost Checkbox is checked if product is on or flag on, and unchecked if off or flag off. Please check/uncheck the checkbox to turn on/off the product. Changes made before submitting will be lost after switching environments or re applying filter.											
					123						
	Carrier Name	<u>CUSIP</u>	NAIC Product	Product ID	Product Name	Import ID	Deployed	Active Status	PPIA Feedback Status		
	Blue Sky Carrier	776655666	12345 Annuity	100686	Blue Sky 2 Variable Commission	104126.0000	6/25/2008 5:38:31 PM	FlagOff	None	View PPtA	
	Blue Sky Carrier	321CBAZYX	12345 Annuity	100465	Testing New Tawny	93038.0000	12/15/2007 9:06:13 AM	FlagOff	None	<u>View</u> PPIA	

The Product Management page (Figure 4.1.3 above) shows you a list of products and if the product is on or off for UAT, the Production Simulation environment or Production. Products can be turned-on/off using this screen. Sections 5, 6 and 7 will give instructions on how to turn a product on or off in UAT, Production Simulation or in Production.

Note: Carriers submit PPfAs almost on a daily basis. After a PPfA is uploaded, it undergoes further system processing and translation in order to be prepared for use by the AnnuityNet platform. PPfAs are processed continuously in a first-in-first-out sequence.

After upload and processing, PPfAs are deployed to UAT (if the PPfAs were loaded into UAT Foundry) and Production Simulation for those distributor platforms designated in the PPfA. However, if the PPfA is for a new product or one that has not previously been available for a given distributor, in order to view the product in UAT, Production Simulation or Production, the product will have to be turned ON for the distributor.

EbixExchange currently deploys metadata to UAT and Production Simulation weekdays every hour. Any changes to this schedule will be communicated via the EbixExchange Project Manager.

The Product Management page contains the following information for each product:

- Carrier Name: The carrier responsible for the product.
- **Cusip:** Unique identifier for financial instruments. Short for the American Bankers Association's Committee on Uniform Security Identification Procedures.
- NAIC: This is the carrier's unique NAIC identifier.
- Product Type: This tells whether the product is an Annuity or GSW product.
- **Product ID:** Unique identifier assigned to a product by EbixExchange.
- Product Name: Short name used to identify the product.
- Import ID: Unique identifier assigned to a product by EbixExchange.
- **Deployed:** Date/time stamp when the product is first deployed to the environment for the distributor.
- Active Status: The status for a product will be one of the following:
 - > Off The product is not available in the selected environment.
 - > Flag Off The product has been selected to not show in the environment.
 - > On The product is available in the selected environment.
 - \succ Flag On The product has been selected to appear in the environment.
- PPfA Feedback Status: Indicates whether there are comments regarding the specific PPfA.

4.2. Links on the Product Management for Distributor Screen

There are two links for each product listed (see figure 4.2). The first link is the update PPfA feedback link, which takes you to a page where you can put in comments about the product (See Figure 4.2.1). The second link is the View PPfA which takes you to a page where you can see details about the product (See Figure 4.2.2.).

Figure 4.2											
Foundry											
	Product Manageme	ent for Dist	ributo		NET_TE	ST					
Distributor Product Tool Product Management	Environment: Test 💌										
Tools	Filter +										
Distributor Product Tool	Product Info Criteria										
Forms Management	Cusip:		Pro	Juct ID:							
Firm Management	Carrier:		 Acti 	ve Status:	~						
Change Password	>	> Apply Fil	ter <-	<							
Logout Logout	Checkbox is checked if product is on or flag on, and unchecked if off or flag off. Please check/uncheck the checkbox to turn on/off the product. Changes made before submitting will be lost after switching environments or re-applying filter.										
	Result 1 - 10										
						12345	6				
	Carrier Name	CUSIP	NAIC	Product Type	Product ID	Product Name	Import ID	Deployed	Active Status	PPIA Feedback Status	
	Blue Sky Carrier	776655432	12345	Annuity	100497	Blue Sky 2 Variable	111797.0000	10/3/2008 3:37:01 PM	On	None	Update PPIA Feedback
	Blue Sky Carrier	776655666	12345	Annuity	100686	Blue Sky 2 Variable Commission	111795.0000	10/3/2008 3:40:09 PM	off	None	Update PPIA Feedback

4.2.1. Update PPfA Feedback

This link takes the user to another screen where you can enter feedback notes for the PPfA. Additionally, there are links to modify the product availability by business unit, jurisdictions, and by user class. Your project manager will manage the product availability for you.

Figure 4.2.1										
Foundry										
	Product Availability for Distributor: ANNUITYNET_TEST									
Distributor Product Tool Product Management	Backto View Product									
Tools	Product Detail									
Home	CUSIP: 776655432									
Distributor Product Tool	NAIC: 12345									
Forms Management	Name: Blue Sky 2 Variable									
Firm Management	Carrier Name: Blue Sky Carrier									
Change Password	Active Status: On									
Logout	PPfA Detail									
Loqout	Import ID: 111797.0000									
	Deployed Date: 10/3/2008 3:37:01 PM									
	Feedback Status: None V									
	Feedback Note:									
	Product Management									
	Modify Product Availability at Business Unit Level									
	Business Units: No business unit has been explicitly turned off for this product.									
	Modify Product Availability at Jurisdiction Level for All Business Units									
	Jurisdictions: AK AL AR AZ CA CO CT DC DE FL GA HI IA ID IL IN KS KY LA MA MD ME MI MN MO MS MT NC ND NE NH NJ NM NV OH OK OR PA RI SC SD TN TX UT VA VT WA WI WV WY									
	Modify Product Availability at User Class Level									
	User Class: No user class has been explicitly turned off for this product.									
	Modify Product Availability for All Business Units									

View PPfA

This link takes the user to a screen that lists the details about the product.

Figure 4.2.2	
Foundry	
	PPfA View for Distributor ANNUITYNET_TEST
Distributor Product Tool Product Management	Back to View Product
Tools	PPfA Details
Home	AnnuityNet Product ID: 100497
Distributor Product Tool	Schema Version:
Forms Management	CUSIP: 776655432
Firm Management	NAIC: 12345
Change Password	Description: sandy test aegon auplicate top productodes
Logout	Criginal intername, blue_oxy_uby_producedes.intit
Loqout	Batch Status BatchComplete
	Test Enviro. Status: Deployed
	Production Enviro. Status: Not Deployed
	Import ID: 111797 v0
	Product Information Sheet - PPfA 2.16.01 Generated On: 10/8/2008 10:27:05 AM
	Carrier Name: Blue Sky Insurance Company Carrier Code: 12345
	• Product
	I Product Details
	Product Name: Long: Blue Sky 2 Variable; Short: Blue Sky 2 Variable; Description: Blue Sky 2 Variable
Click on the arrows	CUSH: //0505H32 Product/code: 997554321
to display the details	Allocation Count: 36
and Commissions.	State Count: 50
	States: AL; AK; AZ; AR; CA; CO; CT; DE; DC; FL; GA; HI; ID; IL; IN; IA; KS; KY; LA; ME; MD; MA; MI; MN; MS; MO; MT; NE; NV; NH; NJ; NH; NC; ND; OH; OK; OR; PA; RI; SC; SD; TN; TX; UT; VT; VX; VA; WA; WA; WV; WI; WY
	V Plans
	C 🕑 Features
	Commission Details

5 Activating Products in UAT

EbixExchange provides each distributor partner with a platform on which to test code and product changes. This platform consists of a base AnnuityNet distributor platform that emulates the end user experience for the various job functions at the typical distributor.

In order to test a new product in the distributor's test platform following the successful upload and deployment of the product, you will need to turn the product ON in UAT. This step will only be done the first time a PPfA is processed for a new product. If a PPfA for the product had previously been uploaded, was deployed successfully to the UAT environment, and had been turned ON, you do not need to reactivate the product each time a PPfA revision is submitted for the product.

To turn a product ON or OFF in UAT, you must click on the Distributor Product Tool in the menu. This link will take you to the Product Management page.

To turn a product ON or OFF in UAT, you should complete the following steps:

1. The products available for the UAT environment are listed on the Product Management page. (You will see the word "Test" in the Filter box for Environment. This confirms that the products shown on the page are available for the UAT environment.)

Product Management for Distributor

Environment: Te	st 🗸						
	Filte	r+					
Product Info Criteria							
Cusip:			Product ID:				
Carrier:		*	Active Status:	~			
>> Apply Filter <<							

Checkbox is checked if product is on or flag on, and unchecked if off or flag off. Please check/uncheck the checkbox to turn on/off the product. Changes made before submitting will be lost after switching environments or re-applying filter.

Result 1 - 10										
					1 <u>23456</u>					
Carrier Name	<u>CUSIP</u>	<u>NAIC</u>	Product Type	Product ID	Product Name	Import ID	Deployed	Active Status	PPfA Feedback Status	
Blue Sky Carrier	776655666	12345	Annuity	100686	Blue Sky 2 Variable Commission	109186.0000	9/7/2008 9:44:47 AM	Off	None	Update PPfA Feedback

- 2. There is a checkbox next to each product listed. If a product is ON, there will be a check mark in the checkbox. If a product is OFF, the checkbox is empty.
- 3. To turn a product ON, click on the check box. A message box will appear that asks "Are you sure you want to turn this product ON?" Click Yes. Repeat this procedure for all products you want to turn ON. When you are done, scroll to the bottom of the page and click on the SUBMIT button.

 \mathbb{R}

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	· · · · · · · · · · · · · · · · · · ·	0 0.10 10	

Res	tesult 1 - 10										
	Carrier Name	CUSIP	NAIC	Product Type	Product ID	Product Name	Import ID	Deployed	Active Status	PPfA Feedback Status	
Þ	Blue Sky Carrier	776655666	12345	Annuity	100686	Blue Sky 2 Variable Commission	109186.0000	9/7/2008 9:44:47 AM	Off	None	Update PPfA Feedback
	Blue Sky Carrier	773487510	12345	An Windo	ws Inte	ernet Explorer	• 🔀	9/5/2008 3:00:49 PM	Off	None	Update PPfA Feedback
	Blue Sky Carrier	773487831	12345	An 😲	Are you s	sure you want to turn this pro	duct ON? 0	9/4/2008 12:20:21 PM	Off	None	Update PPfA Feedback
	Blue Sky Carrier	773487830	12345	An		OK Cancel	0	9/4/2008 12:18:38 PM	Off	None	Update PPfA Feedback
	Blue Sky Carrier	776655432	12345	Annuity	100497	Blue Sky 2 Variable	105464.0000	7/11/2008 3:13:08 PM	On	None	Update PPfA Feedback
	Blue Sky Carrier	773489410	12345	Annuity	100543	Sandy BlueSky	103081.0000	5/28/2008 5:56:14 PM	On	None	Update PPfA Feedback
	Blue Sky Carrier	776655410	12345	Annuity	100515	Sandy BlueSky	96014.0000	2/18/2008 6:03:08 PM	Off	None	Update PPfA Feedback
	Blue Sky Carrier	77664444	12345	Annuity	100520	Blue Sky Variable C Share	94817.0000	2/8/2008 2:46:12 PM	Off	None	Update PPfA Feedback
	Blue Sky Carrier	776655444	12345	Annuity	100491	Blue Sky 3 Variable B Share	94750.0000	2/7/2008 2:53:12 PM	Off	None	Update PPfA Feedback
	Blue Sky Carrier	55667788	12345	GSWAnnuity	100466	Test GSW	93082.0000	12/18/2007 3:11:58 PM	Off	None	Update PPfA Feedback

4. To turn a product OFF, click on the check box. A message box will appear that asks "Are you sure you want to turn this product OFF?" Click Yes. Repeat this procedure for all products you want to turn OFF. When you are done, scroll to the bottom of the page and click on the SUBMIT button.

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Re	tesuit 1 - 10											
							1 <u>2 3 4 5 6</u>					
	<u>Carrier Nan</u>	ne <u>CUSIP</u>	NA	AIC Pro	oduct pe	Product ID	Product Name	Import ID	Deployed	Active Status	PPfA Feedback Status	
	Blue Sky Ca	rrier 77665	5666 12	2345 Ani	nuity	100686	Blue Sky 2 Variable Commission	109186.0000	9/7/2008 9:44:47 AM	Off	None	Update PPfA Feedback
0	Blue Sky Ca	rrier 77348	7510 12	a Win	ndows In	ternet	: Explorer		08 3:00:49 PM	Off	None	Update PPfA Feedback
[Blue Sky Ca	rrier 77348	7831 12	23 📿	Are yo	ou sure yo	u want to remove the change	e you just ma	ade? 108 12:20:21	Off	None	Update PPfA Feedback
[Blue Sky Ca	rrier 77348	7830 12	23		(DK Cancel		108 12:18:38	Off	None	Update PPfA Feedback
[Blue Sky Ca	rrier 77665	5432 12	2345 Ani	nuity	100497	Blue Sky 2 Variable	105464.0000	7/11/2008 3:13:08 PM	On	None	Update PPfA Feedback
[Blue Sky Ca	rrier 77348	9410 12	2345 Ani	nuity	100543	Sandy BlueSky	103081.0000	5/28/2008 5:56:14 PM	On	None	Update PPfA Feedback
[Blue Sky Ca	rrier 77665	5410 12	2345 Ani	nuity	100515	Sandy BlueSky	96014.0000	2/18/2008 6:03:08 PM	Off	None	Update PPfA Feedback
[Blue Sky Ca	rrier 77664	444 12	2345 Ani	nuity	100520	Blue Sky Variable C Share	94817.0000	2/8/2008 2:46:12 PM	Off	None	Update PPfA Feedback
[Blue Sky Ca	rrier 77665	5444 12	2345 Ani	nuity	100491	Blue Sky 3 Variable B Share	94750.0000	2/7/2008 2:53:12 PM	Off	None	Update PPfA Feedback
[Blue Sky Ca	rrier 55667	788 12	2345 GS	SWAnnuity	100466	Test GSW	93082.0000	12/18/2007 3:11:58 PM	Off	None	Update PPfA Feedback
[Submit											

5. Please note that all changes will be lost if you switch environments – such as going from Test to Production – or change Filter criteria before you click on the SUBMIT button.

As further revisions of the PPfA for a product are uploaded, the product will be updated in the UAT environment only when the carrier chooses to deploy another version of the PPfA. You will not have to do anything with the product because it is already activated in the UAT environment.

Each distributor partner is responsible for turning products on and off in their UAT environment.

6 Activating Products in Production Simulation

EbixExchange provides each distributor partner with a platform on which to test product changes. This platform consists of a base AnnuityNet distributor platform that emulates the end user experience for the various job functions at the typical distributor.

In order to test a **new** product in the distributor's test distributor platform, following the successful upload and deployment of the product, you will need to turn the product ON in Production Simulation. **This step will only be done the first time a PPfA is processed for a new product.** If a PPfA for the product had previously been uploaded, was deployed successfully to the Production Simulation environment, and had been turned ON, then you do not need to reactivate the product each time a PPfA revision is submitted for the product.

To turn a product ON or OFF in Production Simulation, you must click on the <u>Distributor Product Tool</u> in the menu. This link will take you to the Product Management page.

To turn a product ON or OFF in Production Simulation, you should complete the following steps:

- 1. The products available for the Production Simulation environment are listed on the Product Management page. (You will see the word "Test" in the Filter box for Environment. This confirms that the products shown on the page are available for the Production Simulation environment.)
- 2. There is a checkbox next to each product listed. If a product is ON, there will be a check mark in the checkbox. If a product is OFF, the checkbox is empty.
- 3. To turn a product ON, click on the check box. A message box will appear that asks "Are you sure you want to turn this product ON?" Click Yes. Repeat this procedure for all products you want to turn ON. When you are done, scroll to the bottom of the page and click on the SUBMIT button.
- 4. To turn a product OFF, click on the check box. A message box will appear that asks "Are you sure you want to turn this product OFF?" Click Yes. Repeat this procedure for all products you want to turn OFF. When you are done, scroll to the bottom of the page and click on the SUBMIT button.
- 5. Please note that all changes will be lost if you switch environments such as going from Test to Production – or change Filter criteria before you click on the SUBMIT button.

As further revisions of the PPfA for a product are uploaded, the product will be updated in the Production Simulation environment only when the carrier chooses to deploy another version of the PPfA. You will not have to do anything with the product because it is already activated in the Production Simulation environment.

Each distributor partner is responsible for turning products on and off in both their Production Simulation and Production environments. **Turning products On or OFF in Production will occur real-time.**

7 Activating Products in Production

In order to make a new product available in your production platform following the successful upload and deployment of the product, you will need to turn the product ON in Production. **This step will only be done the first time a PPfA is processed for a new product.** If a PPfA for the product had previously been uploaded, was deployed successfully to the Production environment, and had been turned ON, you do not need to reactivate the product each time a carrier submits a PPfA revision for the product.

To turn a product ON or OFF in Production, you must click on the Distributor Product Tool in the menu. This link will take you to the Product Management page.

To turn a product ON or OFF in Production, you should complete the following steps:

- 6. The products available for the Production environment are listed on the Product Management page. (You will see the word "Production" in the Filter box for Environment. This confirms that the products shown on the page are available for the Production environment.)
- 7. There is a checkbox next to each product listed. If a product is ON, there will be a check mark in the checkbox. If a product is OFF, the checkbox is empty.
- 8. To turn a product ON, click on the check box. A message box will appear that asks "Are you sure you want to turn this product ON?" Click Yes. Repeat this procedure for all products you want to turn ON. When you are done, scroll to the bottom of the page and click on the SUBMIT button.
- 9. To turn a product OFF, click on the check box. A message box will appear that asks "Are you sure you want to turn this product OFF?" Click Yes. Repeat this procedure for all products you want to turn OFF. When you are done, scroll to the bottom of the page and click on the SUBMIT button.
- 10. Please note that all changes will be lost if you switch environments such as going from Production to Test or change Filter criteria before you click on the SUBMIT button.

As further revisions of the PPfA for a product are uploaded, the product will be updated in the Production environment only when the carrier chooses to deploy another version of the PPfA.

Each distributor partner is responsible for turning products on and off in both their Production Simulation and Production environments.

8 Firm Management

The Firm Management section of Foundry can be made available to distributors to manage by business unit Distributor Deltas, carrier page questions, distributor suitability questions, and user passwords. In order to obtain access to this section, each client will need to submit a request to their PM with the instructions for which functions need to be available.

If access to firm management has been made available, you will see a Firm Management link in the Foundry menu.

When you login to Foundry and click the Firm Management link.

Figure 8.0.1	
Foundry	
- Menu	Welcome to Foundry
Tools	Please choose a tool from the left hand menu
Home	
Distributor Product Tool	
Forms Management	
Firm Management	
Change Password	
Logout	
Logout	

The screen below appears. The Business Unit Management radio button must be selected to reach the distributor deltas, carrier page, and distributor suitability.

Figure 8.0.2

- Menu -	Firm Management
Firm Management	
Business Unit	
Management	
User Management	Business Unit Management - View, create, and manage business units associated with this distributor
Tools	O User Management - View, create, and manage users associated with this distributor
Home	
Distributor Product Tool	
Forms Management	
Firm Management	
Change Password	
Logout	
Logout	

Click Apply Filter to view the business units and available functions. By clicking on the links next to each business unit, a distributor can manage functionality specific to that business unit. This allows different functionality per correspondent or regions.

Figure 8.0.3					
Foundry					
	Business Unit Sum	mary for ANNUITYNE	T_TEST - Test E	nviron	ment
Business Unit Management		Filter +			
Business Unit Summary	Business Unit Name	Acti	ve?	*	
Create New Business Unit	Parent Business Unit	Bus	iness Unit Type		v
User Summary		>> Apply Filt	ter <<		
Tools <u>Home</u> Distributes Predivat Tool	Result 1 - 25				
Forms Management				12	
Firm Management	Business Unit Name	Parent Business Unit	Business Unit Type	Active?	Action
Change Password	AN_TEST_BU_Mar19_2	AN_TEST_BU_Mar19_1	level 2	No	Edit Info View Users Manage Products & Restrictions
Logout	AN_BROKERDEALER	ANNUITYNET_TEST	level 1	Yes	Edit Info View Users Manage Products & Restrictions Edit CMR Thresholds
Logout	AN_JFoster_Level1	ANNUITYNET_TEST	level 1	Yes	Edit Info View Users Manage Products & Restrictions Edit CMR Thresholds
	AN_JFoster_Level2	AN_JFoster_Level1	level 2	Yes	Edit Info View Users Manage Products & Restrictions
	AN_JFoster_Level3	AN_JFoster_Level2	level 3	Yes	Edit Info View Users Manage Products & Restrictions

8.1. Firm management - Distributor Deltas

The Distributor Deltas provide distributors with the ability to restrict product availability and product feature availability within their platform for applications and subpays by business unit. This tool is designed for client specific restrictions. Restrictions should only be applied in the delta tool if they are specific to the distributor. Product restrictions that apply for all of a carrier's clients should be handled in the PPfA.

When you login to Foundry, navigate to the Firm Management links and select the appropriate business unit. If the deltas apply across the entire firm and the client is not a correspondent, select the level 0 BU. For correspondents, if the deltas apply to that specific correspondent, select the top level BU for that correspondent. That will most likely be a level 1 BU.

Click on the Manage Product & Restrictions next to the desired BU to add deltas.



After selecting "Manage Products & Restrictions" for a specific Business Unit, the Restriction tabs are shown.

Figure 8.1.2 Restriction Tabs for the Delta Tool

Foundry	
	Product Configuration for ANNUITYNET_TEST - Test Environment
Business Unit Management	Back to Business Unit Summary
Business Unit Summary	Product Availability Restriction Product Jurisdictions Cross-Product Restrictions Product Specific Restrictions Reports
Create New Business Unit	Carrier & Product Selection
User Summary	Select a Carrier Search
Tools	
Home	
Distributor Product Tool	
Forms Management	
Firm Management	
Change Password	
Logout	
Logout	

8.1.1. Product Availability Restriction

The first tab, Product Availability Restriction, allows distributors to restrict Transaction Types by Carrier and Product.

Foundry Product Configuration for ANNUITYNET_TEST - Test Environment - Menu usiness Unit Back to Business Unit Summary Product Jurisdictions Cross-Product Restrictions Product Specific Restrictions Product Availability Restriction Reports Business Unit Summary Create New Business Unit Carrier & Product Selection lser Summary and Select a Product Blue Sky 2 Variable Commission (776655666) Select a Carrier : Blue Sky ~ Tools Home Distributor Product Tool Forms Management Delta Restriction Information - Product Name : Blue Sky 2 Variable Commiss Firm Management Transaction Type Legend hange Password Is Restricte . Indicates that the item has been restricted at the Logout Business unit level. Hover over the image to Application ogout know more about the details of restriction Indicates that the item has been modified currently. Subsequent Premium C (or) N/A - Information not available Clicking the Submit button will only save the changes for the current page. Submit Back to Business Unit Summary Reset Submit

Figure 8.1.1 Product Availability Restrictions for the Delta Tool

8.1.2. Product Jurisdictions

The Product Jurisdictions tab allows changes to jurisdictions for each product or changes to products for each jurisdiction.

Figure 8.1.2a Product Jurisdictions

Foundry	
- MENU -	Product Configuration For ANNUITYNET_TEST - Test Environment
Business Unit Management	Back to Business Unit Summary
Business Unit Summary <u>Create New Business</u> <u>Unit</u> User Summary	Product Availability Restriction Product Jurisdictions Cross-Product Restrictions Product Specific Restrictions Reports
Tools Home Distributor Product Tool Forms Management Firm Management	View/Change products for each product without losing the changes View/Change products for each jurisdiction as been modified currently. View/Change products for each jurisdiction as been modified currently. Submit - Clicking the Submit built on will only save the changes for the current page.
Change Password	

To change jurisdictions for each product, select the carrier and product. Jurisdiction restriction details can be added, changed or removed for Application as well as for Subpay. The two buttons allow for Reset back to the original setting or to Uncheck All of the jurisdictions previously selected.

- I	Product Configurat	ion For ANNUITYNET_T	EST - Test Enviro	nment			
	Back to Business Unit Sun	nmary					
1	Product Availability Rest	riction Product Jurisdictic	ons Cross-Produ	ct Restrictions Prod	uct Specific Restrictions	Reports	
	⊙ View/Change jurisd ○ View/Change produ	lictions for each product ucts for each jurisdiction	You can switch the without losing the o you have made.	view Text thanges . (or) .	 Indicates that the partict Indicates that product / j Indicates that the item h Clicking the Submit butt 	Legend Ilar product / jurisdiction urisdiction has been mo as been modified currer on will only save the cha	has been restricted. dified nty, nges for the current page,
	Select a Carrier: Blue S	ky 💌	and Select a Product	Blue Sky 2 Variable Cor	nmission (776655666)	~	
	Uncheck the checkbox to	o restrict the jurisdiction.				(Reset Uncheck All
	Jurisdictions For Appl	ication					
	 ✓ Alabama ✓ Delaware ✓ Indiana ✓ Massachusetts ✓ Nevada ✓ Oklahoma ✓ Texas ✓ Wyoming 	 ✓ Alaska ✓ District of Columbia ✓ Iowa ✓ Michigan ✓ New Hampshire ✓ Oregon ✓ Utah 	 Arizona Florida Kansas Minnesota New Jersey Pennsylvania Vermont 	 ✓ Arkansas ✓ Georgia ✓ Kentucky ✓ Mississippi ✓ New Mexico ✓ Rhode Island ✓ Virginia 	 ✓ California ✓ Hawaii ✓ Louisiana ✓ Missouri ✓ North Carolina ✓ South Carolina ✓ Washington 	 Colorado Idaho Maine Montana North Dakota South Dakota West Virginia 	Connecticut Illinois Maryland Nebraska Ohio Tennessee Wisconsin
	Uncheck the checkbox to	o restrict the jurisdiction.				(Reset Uncheck All
	Jurisdictions For Subp V Alabama Delaware V Indiana V Massachusetts V Nevada V Oklahoma V Texas V Wyoming	ay V Alaska V District of Columbia V lowa V Michigan V New Hampshire V Oregon V Utah	 ✓ Arizona ✓ Florida ✓ Kansas ✓ Minnesota ✓ New Jersey ✓ Pennsylvania ✓ Vermont 	 ✓ Arkansas ✓ Georgia ✓ Kentucky ✓ Mississippi ✓ New Mexico ✓ Rhode Island ✓ Virginia 	 ✓ California ✓ Hawaii ✓ Louisiana ✓ Missouri ✓ North Carolina ✓ South Carolina ✓ Washington 	Colorado V Idaho Maine Montana North Dakota South Dakota V West Virginia	 ✓ Connecticut ✓ Illinois ✓ Maryland ✓ Nebraska ✓ Ohio ✓ Tennessee ✓ Wisconsin

Figure 8.1.2b Product Jurisdictions for each Product

Restrictions can also be made by products for each jurisdiction:

Figure 8.1.2c Product Jurisdictions by State

Foundry								
	Product Configurat	tion For ANNUITYNET_	TEST - Test Environn	nent				
usiness Unit Ianagement	Back to Business Unit Sur	nmary						
usiness Unit Summary	Product Availability Res	triction Product Jurisdict	ions Cross-Product	Restrictions Produ	ict Specific Restriction	Repor	ts	
reate New Business	Froduct Availability 1963							
ser Summary						Legend		
ools	O View/Change jurise	dictions for each product	You can switch the vie without losing the cha	ew Text	 Indicates that the partic 	cular product / jurisdicti	on has been restricted.	
ome	View/Change prod	ucts for each jurisdiction	you have made.	*	 Indicates that product / 	Indicates that product / jurisdiction has been modified		
stributor Product Tool				🗌 (or) 🔽	 Indicates that the item 	has been modified cur	rently.	
orms Management				Submit	 Clicking the Submit bu 	tton will only save the o	changes for the current page	
rm Management								
hange Password	* indicates certain produ	icts have been restricted for that	jurisdiction.					
ogout	Jurisdictions							
Juopu	🔿 Alabama	🔿 Alaska	Arizona*	Arkansas	🔘 California	Colorado	Connecticut	
	Opelaware	District of Columbia	Florida	🔘 Georgia	🔘 Guam	🔘 Hawaii	🔘 Idaho	
	O Illinois	🔘 Indiana	Olowa	Kansas	Kentucky	Couisiana	O Maine	
	O Maryland	 Massachusetts 	O Michigan	Minnesota	🔿 Mississippi	Missouri	Montana	
	Nebraska	Nevada	O New Hampshire	O New Jersey	O New Mexico	O New York	O North Carolina	
	O North Dakota	O Dhio	Oklahoma	Oregon	O Pennsylvania	O Puerto Rico	Rhode Island	
	O South Carolina	South Dakota	Tennessee	○ Texas	🔘 Utah	Vermont	O Virgin Islands	
	O Virginia	O Washington*	🔿 West Virginia	O Wisconsin	O Wyoming			

8.1.3. Cross Product Restrictions

The Cross-Product Restrictions tab allows for restrictions across all products for Owner Type, Plan Type, Initial Premium/Subsequent Premium - Payment Methods, Age Limits (Owner and Annuitant), Rider Restrictions for Applications, and Common Product Service Programs for Applications and Subpays. (See Figure 8.3.1)

This tool is designed for client specific restrictions that apply for all products sold across all carriers. Restrictions should only be applied in the delta tool if they are specific to the distributor. Product restrictions that apply for all of a carrier's clients should be handled in the PPfA.

Foundry			
- Menu -	Product Configuration for ANNUITYNET_TEST - Test	Environment	
Business Unit Management	Back to Business Unit Summary		
Business Unit Summary	Product Availability Restriction Product Jurisdictions Cro	ss-Product Restrictions Product S	pecific Restrictions Reports
Create New Business Unit			
User Summary			
Tools	Delta Restriction Information		
Home			Legend
Distributor Product Tool			Business unit level. Hover over the image to
Firm Management			know more about the details of restriction.
Change Password			(or) Corrently.
Logout			N/A - Information not available
Logout			Submit - Clicking the Submit button will only save the
	O Ourset Trans		changes for the current page.
	Cowner Type	In Development	
	Owner Type	Is Restricted	
	Corporation		
	Trust		
	Other		
	Charitable / Non Profitable Organization		
	Charitable lead annuity Trust		
	Charitable remainder annuity Trust		
	Charitable remainder Linitrust		
	Estate Trust		
	Grantor Trust		
	Living Trust		
	Minority Trust		
	Testamentary Trust		
	Qualified Plan Trust		
	Other Trust		

Figure 8.1.3a Owner Type Restrictions

로 Plan Type

Plan Type	Is Restricted					
	Trust	UTMA / UGMA	Owner	Custodial	Self-Directed	Join
408(k)						
Non Qualified						
401(k)						
403(b)						
457/Deferred Compensation						
Traditional IRA						
Roth IRA						
SEP IRA						
Keogh						
SIMPLE IRA						
IRA Spousal						
Pension Trust Plan						
Defined Contribution Plan						
Defined Benefit Plan						
Foreign National						
Profit Sharing Plan						
Money Purchase						
Educational IRA						
SOLO 401K						
Solo Predefined Benefit						
401g						
Welfare Benefit Plan						
IRA Stretch						
412 (i)						

Figure 8.1.3c Initial Premium/Subsequent Premium Restrictions

0	Initial Descriptor (Cube second Descriptor Descriptor Internet Matheda
\odot	initial Premium/Subsequent Premium - Payment Methods

Money Source / Payment Method		Restrict Applications		Restrict Subpays
New Money/Contribution	_		_	
ACH payable to Carrier				
Check payable to Carrier				
Other Non-Insurance Exchange				
Brokerage				
Other Exchange by Carrier				
Mutual Fund Redemption by Carrier				
CD Redemption by Carrier				
1035 Exchange	_		_	
Insurance Exchange				
Rollover				
CD Redemption by Carrier				
Chack payable to Carrier				
ACH payable to Carrier				
Brokerage				
Mutual Fund Redemption by Carrier				
Other Non-Insurance Exchange				
CD Redemotion by Carrier				
Mutual Fund Padamption by Carrier				
Qualified Reclasses				
Qualified Brokerage				
Other Non-Insurance Exchange				

Figure 8.1.3d Age Limit Restrictions

Age Limits		
Owner Age		
	Minimum	Maximum
Primary Owner Age		
Joint Owner Age		
Contingent Owner Age		
Annuitant Age		
	Minimum	Maximum
Primary Annuitant Age		
Joint Annuitant Age		
Contingent Annuitant Age		

Note: -

- The values in (...) are the minimum and maximum allowed values for minimum and maximum Annuitants/Owners respectively. This limit is calculated based on the values defined by the Carrier in the PPfA and the ages set(if any) by the top level business units.
- The various owner(Primary, Joint, Contingent) age limits set above will apply only to the natural entities.

Figure 8.1.3e Features, Common Product Riders and Service Programs

Seatures - Common Product Riders

Note: Rider restrictions are only applicable to Applications.

Rider Name	ACORD [®] Type Code		Restrict Applications
Guarantee Minimum Income Benefit(GMIB)	204		
Death Benefit (DBO)	206	Feature Option of Rider - Beneficial Protection Rider	
Surrender Charges	207		
Guaranteed Minimum Withdrawal for Life Benefit	215		
Hardship Rider	326		
Surrender Charge Waiver	202		
Bonus	212		
Health Insurance Rider	213		
Administrative Rider	214		
Guaranteed Minimum Accumulation Benefit	211		
Interest Rate Options	217		
Guaranteed Minimum Withdrawal Benefit (GMWB)	336		

Seatures - Common Product Service Program

Service Program Name	ACORD [®] Type Code		Restrict Applications	Restrict Subpays
Override Standing Allocation (Initial Premium)) 19			
Asset Allocation	21			
		Feature Option of Service Program - Dollar Cost Averaging		
Dollar Cost Averaging	2	Feature Option of Service Program - Special Dollar Cost Averaging		
		Feature Option of Service Program - Interest Sweep		
Asset Reallocation (Rebalancing)	3			
Systematic Withdrawal Program	38			
Subsequent Premium	39			
Auto Payment / Systematic Investment	22			
Standing Allocation Program	37			

8.1.4. Product Specific Restrictions

The Product Specific Restrictions tab allows restrictions based upon the product selected. Select the carrier and product that need restrictions added.

This tool is designed for client specific restrictions that apply for a specific product. Restrictions should only be applied in the delta tool if they are specific to the distributor. Product restrictions that apply for all of a carrier's clients should be handled in the PPfA.

Figure 8.1.4a	Product Specific Restrictions
Foundry	
- MENU -	Product Configuration for ANNUITYNET_TEST - Test Environment
Business Unit Management	Back to Business Unit Summary
Business Unit Summary	Product Availability Restriction Product Jurisdictions Cross-Product Restrictions Product Specific Restrictions Reports
<u>Create New Business</u> <u>Unit</u>	Carrier & Product Selection
User Summary Tools	Select a Carrier : Blue Sky 💙 and Select a Product Blue Sky 2 Variable Commission (776655666) 💌
Home	
Distributor Product Tool	
Forms Management	
Firm Management	
Change Password	
Logout	
Logout	

Details of the available restrictions based on the product selected will display. Restrictions can be made to Owner Type, Plan Type, Payment Methods for Initial Premium and Subsequent Premium, Age Limits for Owner and Annuitant, Common Product Riders, Common Product Service Program for Applications and Subpays, and Product -Specific Service Programs and Riders. (See Figure (figure 8.4.1a - 8.4.2)

Figure 8.1.4b Product Specific Feature and FeatureOption Restrictions

|--|

Rider Name - ACORD [®] Type Code	Feature Name - (Feature Code) / Option code - Option Name	Restrict Applications
Bonus - 212	do not display Bonus Credit - (PE) Option Code: PE1; Option Name: 4% for premiums \$500,000 or more	
Surrender Charges - 207	do not display Surrender Charge Schedule - (CDS) Option Code: CDS1; Option Name: Base Surrender Charge Schedule - 7/6/5/4/3/2/1	
	Option Code: L; Option Name: L-Share Schedule - 5/4/3/2/1	
Guarantee Minimum Income Benefit(GMIB) - 204	do not display Guarantee Minimum Income Benefit - (GMB) Option Code: MIB; Option Name: BASE	
	Option Code: PLUS; Option Name: PLUS	
Death Benefit (DBO) - 206	do not display Death Benefit Selection - (DBO) Option Code: DB1; Option Name: Beneficiary Protection Rider	
Death Benefit (DBO) - 206	do not display Death Benefit Selection - (DBO_A) Option Code: DB2; Option Name: Maximum Anniversary Value	
	Option Code: DB3; Option Name: Stepped-Up	
Guaranteed Minimum Withdrawal for Life Benefit - 215	do not display Guaranteed Min Withdrawal for Life - (GWLB) Option Code: GWLB_SPOUSAL_S; Option Name: GWLB for Single	
	Option Code: GWLB_SPOUSAL_J; Option Name: GWLB for Joint	
	Option Code: GWLB_SPOUSAL_J; Option Name: GWLB for Joint	
Health Insurance Rider - 213	Health Insurance - (HEALTH) Option Code: LTC; Option Name: Long Term Care	
Hardship Rider - 326	Hardship - (HRDSHP) Option Code: HARDSHIP; Option Name: Permit Hardship Withdrawals	

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Service Program Name - ACORD [®] Type Code	Feature Name - (Feature Code) / Feature Options	Restrict Applications	Restrict Subpays
Override Standing Allocation (Initial Premium) - 19	do not display - (IP) Option Code: SDIP; Option Name: Self-Directed Initial Premium Allocation Option Code: SDCA; Option Name: Special Dollar Cost Averaging Option Code: AA; Option Name: Static Asset Allocation Option Code: CAA; Option Name: Complex Asset Allocation		
Subsequent Premium - 39	do not display sub - (SUB) Option Code: SDSUB; Option Name: Self-Directed Premium Allocation Option Code: SDCASUB; Option Name: Special Dollar Cost Averaging - New Program Option Code: 001; Option Name: Special Dollar Cost Averaging - Add to Existing Option Code: 002; Option Name: Special Dollar Cost Averaging - Restart Existing Option Code: 003; Option Name: Use Existing Standing Allocation Option Code: AASUB; Option Name: Asset Allocation		
Asset Reallocation (Rebalancing) - 3	do not display Automatic Asset Rebalancing - (AR) Option Code: AR; Option Name: Asset Rebalancing		
Standing Allocation Program - 37	do not display Standing Allocation - (SA) Option Code: SA; Option Name: Standing Allocation		
Systematic Withdrawal Program - 38	do not display Systematic Withdrawal - (SW) Option Code: APR; Option Name: Systematic Withdrawal		
Auto Payment / Systematic Investment - 22	do not display Automatic Payment Authorization - (AP) Option Code: AP; Option Name: N/A		
Auto Payment / Systematic Investment - 22	For Fund Transfer - (FTP) Option Code: FUNDXFER; Option Name: fUND tRANSFER		

8.1.5. Reports

There are a few reporting capabilities built into the delta tool. All reports can be exported to Excel.

8.1.5.1. Report for Jurisdiction Restrictions

This report can be viewed by Product, Business Unit by Product, Business Unit by Jurisdiction, and Jurisdiction.

Figure 8.1.5.1 Reports

roduct Availability Restriction Product Jurisdictions Cross-Product Re	estrictions Product Specific Restrictions Reports
● View report for jurisdiction restrictions	
○ View report for delta restrictions	
Report View By: Product	Export Report Data to Excel
Product View	
□-🔂 Carrier : BLUE_SKV	Legend
🖻 😋 Product : BS Diversified Strategies (901732590)	□-Carrier : CarrierName
	Product : ProductName (cusip)
AZ (Arizona) - ANNUITYNET_TEST (level 0)	Jurisdiction - BusinessUnitName (TypeName)
🗄 😋 Product : BS Diversified Strategies 2005 (123Z45671)	
🗄 😋 Application	
VA (Virginia) - AN_BROKERDEALER (level 1)	
WA (Washington) - ANNI JITYNET, TEST (level 0)	

8.1.5.2. Report for Delta Restrictions

This report can be viewed by Cross-Product or Product Specific. Click on the radio button to view the desired report.

Product Avail	ability Restriction	Product Jurisdictions	Cross-Product Restrictions	Product Specific Restrictions	Reports
0.15					
O view r	eport for jurisdiction	restrictions			
View r	eport for delta restric	ctions			
Report Vi	ew By: Product Spe	ecific 💌		Export Re	estrictions to Excel
Select a C	arrier: Blue Sky	v			
Produ	ict Specific				
				Le	egend
				E- 🔁 [Level - Busi	ness Unit Name]
					ns
				⊡ - 🔄 [Carri	er Name]
				⊡ `` [P	roduct Name]
					[Restriction Category]
				[R	estriction Name]
					.]
				·····[•]
e-😋 🛽	evel 1 - AN BROKE	RDEALER			
<u> </u>	Restrictions				
Ē	🔄 🔄 Product : Blue	Sky 2 Variable (776655432)			
Click on	🗄 🔄 Account D	lesignation			
the + to	UTMA / UC	GMA			
additional	🛨 🗀 Features: P	roduct Feature Options			
detail.	🗄 🧰 Payment M	fethod			
	🗄 🛄 Plan Type				
E	Product : BS D	iversified Strategies 2005 (123Z45)	671)		
	⊡ 🔄 Plan Type				
	- Owner				
	403(B)	National			
	F oreign Roth ID	/ National			
		racted			
		lial			
		/ UGMA			
	Trust				
	🛨 🧰 Joint				

Figure 8.1.5.2 Cross Product and Product Specific Report

8.1.6. Distributor Delta Best Practices

With the addition of the Foundry Delta Restriction Tool, it is imperative to address the best practices for Distributors requesting restrictions. There are many factors to account for when adding restrictions. In order to ensure that Distributor restrictions are added in time for the effective change, each Distributor is asked to follow the below procedures for requesting restrictions.

- 1. The Distributor will need to submit the request to add a restriction no less than 1 week ahead of the expected date. A rush in the restriction can only occur if coordinated with CIS. NOTE: Additional time will be required if the Carrier will need to remove restrictions from the PPfA.
- In order to ensure all restrictions are added correctly, CIS will need to communicate with each Carrier that the restriction will impact. CIS will confirm the restriction is a cross product or product specific restriction. NOTE: This could take a few days. To expedite this process, the Distributor can confirm this with the Carrier/s directly.
- 3. CIS will notify the Carrier and Distributor that the restriction is confirmed. If changes will occur in the PPfA, the Carrier can now load it in UAT or ProdSim.
- 4. Once the PPfA is loaded, CIS will add the restriction in the appropriate test environment(s) where the PPfA is loaded.
- 5. CIS will notify the Distributor to test the restriction. This could take a week or two due to the Distributor's testing availability. Once the Distributor signs-off on the testing, the product can move to production.
- 6. If PPfA changes were needed, CIS notifies the Carrier to stage the PPfA to deploy to Production for a specific date (probably on a Friday night). On the following day, CIS will add the restriction to Foundry for the open of business on the following Monday. If a mid-week release schedule is desired, the Distributor must agree to the mid-week product change.
- Distributors can utilize the Product Restrictions Report as part of the Foundry Delta tool to view any
 restrictions that are in place that impact their business units. Log into Foundry->Firm Management
 ->Manage Products and Restrictions-> Report->Select the Jurisdiction or Delta Restriction report.
 All reports are exportable to Excel.

8.2. Firm Management — Distributor Suitability questions/questionnaires

Distributors can add questions to AnnuityNet using the Distributor Suitability tool in Foundry.

• The suitability questionnaire is an important component of the AnnuityNet Platform

8.2.1. About Suitability Questionnaires

Suitability questions can be set up with multiple-choice answers (including true and false); free-form text; dollar, date, and percentage questions; or with declarative statements that require no responses. Distributors will group their questions into questionnaires and assign them to appear in the wizard by payment type and transaction type. Each questionnaire can have logic added to provide conditions to each question for product type, owner type, account designation, state, replacement, and cusip. Once questionnaires are assigned, the questions appear real-time in the wizard.

Questionnaires can be used in a wide variety of ways to gather relevant customer information at a transaction and payment level. The following are a few examples of when a client would add questions using the tool:

- To establish a series of questions that will be presented within the wizard specific to the payment type and transaction type. These questions can be for suitability determination, books and records requirements, acknowledgements, and basic additional data that is needed for the distributor.
- To flag an application for further review A score or auto fail can be assigned per answer that can force a transaction to under review. A transaction with a score that exceeds the required review score fails suitability and subsequently enters a "suitability review workflow." Those that pass are sent to the insurance company for processing.
- To flag an answer with a warning to bring heightened awareness to an answer selected in the wizard A warning can be assigned to an answer to flag a reviewer when a selection adds concern.
- To gather information about a client in the same way that a typical new account form is used today
- Acknowledgements i.e., "Was a company-required form completed and faxed to the home office?" or "Were signatures obtained from the customer on a particular form?"
- To gather marketing information from a client such as Net worth, Other types of investments owned, and Dates of maturing CDs
- To obtain ACH and routing information

8.2.2. Accessing the Distributor Suitability

When you login to Foundry, navigate to the Firm Management links and select the appropriate business unit (BU). Questions can be managed at the lowest BU or managed at the top level BU. If questions will be uniform across the firm, all questions should be managed at a BU of 0 for non-correspondents and a BU of 1 for correspondent models. To find the correct BU, add the Business Unit in the filter and click Apply Filter to manage the questions.

Figure 0.2.1 A	
Foundry	
- MENU -	Business Unit Summary for ANNUITYNET_TEST - Test Environment
Business Unit Management	Filter +
Business Unit Summary	Business Unit Name Active?
Create New Business Unit	Parent Business Unit Type level 0 🗸
User Summary	>> Apply Filter <<
Tools Home	Page 1 4
Foundry Admin	1
Admin Tool PPfA Admin	Business Unit Name Parent Business Business Unit Type Active? ID Action
Carrier Product Tool Carrier Questions Tool	ANNUITYNET_TEST ANNUITYNET_TEST level 0 Yes 23461 Edit Info I View Users Manage Products & Restrictions Edit CMR Thresholds Manage Carrier Questions Carrier Questions Report Suitability Management
Distributor Product Tool	
Forms Management	
Feed Management	

Figure 8.2.1 Accessing the Distributor Suitability

8.2.3. Designing Suitability Questionnaires

There are three steps to designing a suitability questionnaire:

- Creating new questions

Adding new questions to a questionnaire

Activating your questionnaire

When setting up a questionnaire, the compliance reviewer should determine the format of the question, when they wants questions to appear, the order of the questions, the score for the questions; and the resulting action if a specific answer is given.

Questions can take the following forms:

1. Multiple Choice

Each multiple-choice question allows for five (5) possible answers initially. It is possible to add infinite number of answers in increments of five (5) by clicking **Add More Answers**.

You can require that a sales rep answer a question by clicking the **Required** checkbox. If a rep fails to provide a response for a required question, a pop-up box displays when the rep tries to submit the application, instructing them of the error.

Multiple Choice answers can be given an individual score and can be marked with and **Auto Fail** or **Warning** indicator.

- Multiple Choice can be a simple statement that requires either a "true/false" or "yes/no" answer. Examples include:
 - "Have you faxed your 'XYZ Company' new account form to the home office?"
 - "Have you advised your client that this investment is not FDIC-insured?"

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- A question can display answers presented as ranges. Examples include the following:
 - "Owner's net worth is:"
 - 0 \$25,000
 - \$25,001 \$100,000
 - \$100,001 \$500,000
 - \$500,001 and above
 - "Owner's current age is:"
 - 0-18
 - 19-21
 - 22-40
 - 41-65
 - 66+
- A question can take the form of a standard multiple choice question, such as:
 - "Owner is choosing this investment to provide":
 - Current income
 - Future retirement assets
 - Short-term purchase
- 2. A question can be an open-ended question requiring a long answer. Scoring, auto fail, and warning do not apply to long answer questions

Examples include:

"Are there any special circumstances about which the reviewer should be aware?"

3. A "question" can take the form of a declarative statement to convey information to a client. An example might be:

"This annuity contract is not FDIC-insured."

4. A "question" can take the form of a dollar, date, or percentage text box. An example might be:

"What is the estimated surrender charge associated with this replacement?" The required format could be dollar amounts (\$ ##. ##) or percentages (##. ##%).

8.2.4. Creating New Questions

This section explains how to create new questions, which you will later add to a new suitability questionnaire.

You will be using these questions to build various questionnaires, so be as broad in your topics as your questionnaire(s) require.

To create a new suitability question:

1. Log on to the Foundry Firm Management and click on the Suitability management link for the appropriate Business Unit.

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oundry	
	Business Unit Summary for ANNUITYNET_TEST - Test Environment
Susiness Unit Janagement	filter +
Business Unit Summary	Business Unit Name Active?
Create New Business Unit	Parent Business Unit Type Ievel 0 💌
User Summary	>> Apply Filter <<
Tools	
Home	Result 1 - 1
Foundry Admin	1
Admin Tool	Parent Business Business Unit
PPfA Admin	Business Unit Name Unit Ive Active? ID Action
Carrier Product Tool	Edit Info View Users Manage Products & Restrictions Edit CMR, Thresholds Manage Carrier
Carrier Questions Tool	ANNOLITINEI_IESI ANNOLITINEI_IESI IEVELU TES 23401 Questions Carrier Questions Report Suitability Management
Distributor Product Tool	
Forms Management	
Forms Admin	
Feed Management	
Firm Management	

If you do not have access to the firm management link in Foundry, please contact your PM to request an ID. By clicking on the Suitability Management link, the user may then perform the following suitability set-up actions:

- ⇒ <u>Ouestion List</u>: Add/edit/delete suitability questions
- ➡ <u>Questionnaire List</u>: Add/edit/delete questionnaires, add conditions per questions (see conditions to be added below)
- ➡ <u>Questionnaire Assignment</u>*: Assign questionnaires to Transaction Wizard and Payment Type (This SRS will remove some of the assignments since they can now be handled within conditions.)



 To add or edit a question, click Question List. The user will then be taken to the question list, where the user will be presented with a list of existing suitability questions. The user can choose to add, edit, or delete questions.

		Questions	l i
Add Question			
Question Id	Answer Type	Question Text	Actions
01	MULTIPLE	Test	Edit Delete
PS1	MULTIPLE	Is the Applicant (or Annuitant, if other than Applicant) an active duty Service Member of the United States Armed Forces or a dependent family member of a Service Member?	Edit Delete
qq	FITB	class	Edit Delete
666	MULTIPLE	Ayma Test Question for National City	Edit Delete
867	FITB	Is this State Allowed	Edit Delete
1234	FITB	what is youe name	Edit Delete
12345	FITB	age	Edit Delete
AY1	FITB	This is a test question for AIG	Edit Delete
AY2	MULTIPLE	AIG test Question 2	Edit Delete
Test_AIG	MULTIPLE	AIG Test Question.	Edit Delete
A11	FITB	Ayma Test Question 4-1	Edit Delete
Military_Disclosu	MULTIPLE	Is anyone on this contract in active duty for the US armed forces?	Edit Delete

3. Clicking on Add Question or Edit Question, will display the Question screen:

Question					
Question Text:		2 3			
Question Type:	Multiple Choice				
Question ID:	Multiple Choice Long Answer				
	Percentage (X%) Dollar Value (XXX XX)				
nswers	Date (MMDDYYYY)	Score*	Auto Fail	Warning	Answer ID
Answer 1:	No Response				
Answer 2:					
Answer 3:					
Answer 4:					
Answer 5:					
	Apply Changes	Cancel Add More Answers			

Figure 53: The Question Screen

- 4. In the Question Text field, type the question to be added to the questionnaire. There is no limitation to the length of the question. However, care should be taken to be clear and unambiguous.
- 5. From the Question Type pull-down list, denote what type of question this is (your options are Multiple Choice, Long Answer, Dollar, Date, Percentage, or No Response).
- 6. In the Question ID field, assign a specific identification number to the question (optional). This ID will be used to help map suitability information to distributor forms, if that option has been chosen by your firm.
- 7. In the Answers area, type the answers you want to appear beneath your new question.

- 8. Scores Scores can be assigned to each multiple choice answers. Incremental scores can be given to individual answers to provide the correct weighting. If the score is met, a transaction will be sent for suitability review. If during the assignment process, the Display Suitability Score it checked, the individual scores will appear per question on the TDR for the reviewer roles.
 - When designing questions and questionnaires, it is important to weigh the score of each answer in the set of questions in such a way to ensure that the aggregate score will provoke the required action; i.e., sending the application data and suitability responses to review if a certain score is reached.
 - o Suitability scoring occurs after vetting has occurred against all product rules.
- If you want an answer to any of these responses to cause the new app or subpay to move into review, click the Auto Fail checkbox next to the appropriate answer. When that answer is selected in the wizard, the transaction will be forced to under review.
 - If during the assignment process, the Display Auto Fail Answers is selected, the answer will be highlighted in the TDR with a red exclamation point for the reviewer to easily spot the questions and answers of concern.
- 10. If you want an answer to any of these responses to cause a warning to display to the reviewer on the TDR, , click the Warning checkbox next to the appropriate answer. When that answer is selected in the wizard, the transaction will not be forced to under review.
- 11. If during the assignment process, the Display Warning Answers is selected, the answer will be highlighted in the TDR with a yellow exclamation point for the reviewer to easily spot the questions and answers of concern.
- 12. Click Apply Changes.

The new question is listed on the Question List screen.

8.2.5. Adding Questions to a Questionnaire

Once you have established a list of questions, it is now time to design a questionnaire or edit an existing questionnaire.

To create or edit a suitability questionnaire:

1. In the left margin, click Questionnaire List.

The Questionnaire Name screen displays (Figure 48).

Questionnaire List of Blue Sky Carrier - Test Environment

Questionnaire List							
Add Questionnaire							
Questionnaire Name	Actions						
VA Quesionnaire	Edit Delete						
Test_BlueSky	Edit Delete						
Fixed Questionnaire	Edit Delete						
Testing	Edit Delete						
Insurance Exchange Questionnaire	Edit Delete						
qs test BS/anw	Edit Delete						
testQuestionnaireNY	Edit Delete						
	1						
Go to Page							

Figure 54: The Questionnaire List Screen

 Click Add Questionnaire or choose an existing questionnaire to edit. The Questionnaire Builder screen displays.

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Foundry		-				-
	Edit Questionnaire List of Blue Sky Carrier	r-Test Environment				
Distributor Suitability Tool						
Question List		Ed	it Ques	stionnaire		
Questionnaire List	Questionnaire Name		VA Que	sionnaire		
Assignment List	Questionnaire Description		VA Que	sionnaire		
Tools	Questions					
Home	Available			Added		
Foundry Admin Admin Tool PPfA Admin Carrier Product Tool Carrier Questions Tool Distributor Product Tool	[01] Test [PS1] is the Applicant (or Annuitant, if other 1 [qq] class [666] Ayma Test Question for National City [867] Is this State Allowed [1234] what is youe name [1234] what is youe name	than Applicant) an active duty Servic	>>	 [10] Is any participant on this contract of [16] Do you want to be sent a copy of "S [17] Do you believe the selected policy [18] Please explain in more detail why tail [19] Are your other investments and sat [20] Do you believe that the selected por 	a dependent family men tatement of Additional Info will meet your retirement n his will meet your retirem ings adequate to meet pl licy is appropriate for your	nber an ormation needs a ent nee anned ¢ r tax stal -
Forms Management Forms Admin Feed Management Firm Management Reports	Is this a required question? If it is requir Required Conditions Account Designation	ed, the question will display with a red Owner Type	and the	user will not be allowed to skip the ques Plan Type ,	tion. State	Product Type
Change Password Client Activity	Ves, there are Account Designation conditions DeSelect All	Yes, there are owner type conditions. <u>DeSelect All</u>		Yes, there are plantype conditions. DeSelect All	state conditions.	Yes, there are produced by the conditions. DeSelect All
Debug Tools Report an Issue Logout Logout	 ☑ Trust ☑ UTMA/UGMA ☑ Owner ☑ Custodial ☑ Self-Directed ☑ Joint 	Image: Person Image: Person <t< td=""><td>nization</td><td>V 408(k) V Non Qualified V 401(k) V 403(b) V 457/Deferred Compensation V Traditional IRA V Roh IRA V SEP IRA V SEP IRA V SIMPLE IRA V IRA Spousal V Pension Trust Plan V Defined Contribution Plan V Defined Benefit Plan</td><td>Wyoming Wisconsin West Virginia Washington Virgini Islands Virgin Islands Virgin Islands Virgin Islands Virgin South Carolina South Carolina Rode Island Puerto Rico Pennsylvania Overon</td><td> ✓ Variable Annuity ✓ Fixed Annuity ✓ Indexed Annuity ✓ Immediate Annuity </td></t<>	nization	V 408(k) V Non Qualified V 401(k) V 403(b) V 457/Deferred Compensation V Traditional IRA V Roh IRA V SEP IRA V SEP IRA V SIMPLE IRA V IRA Spousal V Pension Trust Plan V Defined Contribution Plan V Defined Benefit Plan	Wyoming Wisconsin West Virginia Washington Virgini Islands Virgin Islands Virgin Islands Virgin Islands Virgin South Carolina South Carolina Rode Island Puerto Rico Pennsylvania Overon	 ✓ Variable Annuity ✓ Fixed Annuity ✓ Indexed Annuity ✓ Immediate Annuity

The user can then add or edit a questionnaire by adding/removing questions or conditions.

- 3. In the Name field, type a name for the new questionnaire. Be as specific as possible. The name will make the assignment process easier. It the questionnaire is specific to exchanges, put that in the name.
- 4. In the Description field, type a description of the questionnaire. This will remind you what the questionnaire refers to (aka, if it refers specifically to Insurance Exchanges for applications).
- 5. The list of questions you created in the previous procedure displays in the **Available** questions section of this screen. Select a question to highlight it, then click ">>" to move it into the **Added** questions area.
 - To reorder the questions in the Selected Questions box, highlight the question to move and click either the arrow up or arrow down. Each click of the arrow moves the question either up or down one place on the list. To delete a question from the Selected Questions area click "-" (the minus sign).
- 6. Once a question has been added to the questionnaire, the option to add conditions for that question's appearance will be available. While the question is still highlighted in the Added column, complete the condition options if they apply to the question added:
 - A checkbox will appear next to each condition heading that states, "yes, there are (insert heading) conditions for this question." If that check box is selected, the available conditions will display for the user to limit the question availability.
 - The below condition options are available for the Distributor Suitability Tool"

- Required checkbox –Is this a required question? If it is required, the question will display with a red * and the user will not be allowed to skip the question".
- Account, owner type, and plan type
- Product Type
 - Variable Deferred Annuities
 - Fixed Deferred Annuities
 - Indexed annuity
 - o Variable Immediate annuity
 - o Fixed Immediate annuity
- Replacement This condition is based off of either of the NAIC Replacement questions = y. If in the transaction, either of the NAIC Replacement questions = y, then display the questions with this condition. The trigger for these conditions, the NAIC Replacement questions, appear on the payment screen above the Source of Funds (see below).
 - Are you considering discontinuing making premium payments, replacing, surrendering, forfeiting, assigning to the insurer, or otherwise terminating your existing policy or contract?
 - Are you considering using funds from your existing policies or contracts to pay premiums due on the new policy or contract? (This includes taking withdrawals or loans and using these funds to pay premium(s) on a new policy or contract.)
- Cusip The cusip restrictions are such that if cusips are supplied, the question will
 only apply for that product or products.
- 7. Complete steps 5 and 6 until all the questions have been added for this questionnaire.
- 8. Click Apply Changes.

The new or edited questionnaire displays in the list.

9. To delete a questionnaire, click Delete.

Changes or deletions will only affect future transactions. Transactions previously submitted are not affected by these questionnaire changes.

8.2.6. Assign Questionnaires to Transaction Wizard & Payment Types

The last step in the suitability management workflow is to assign the questionnaires to the wizard. This section explains how to assign your suitability questionnaires, how to designate whether a signature should be gathered on the questionnaire, and designate whether the suitability score, auto fail, and warning notices should be displayed to the reviewer in the TDR.

THENO	questionnaire Assignment of Bristions - De Test Entronin		
arrier Question Tool	Questionnaire As	signment	
Carrier Question Tool Question List Questionnaire List Questionnaire List Questions Report Tools Goods Good Questions Report Product Tool Prof Admin Carrier Product Tool Distributor Product Tool Storms Management Forms Amangement Forms Amangement Comma Support	Questionnaire As Payment Type:Insurance Exchange from Variable Payment Type:Insurance Exchange from Fixed Payment Type:Non-Insurance Exchange Payment Type:Non-Insurance Exchange Payment Type:One-Insurance Exchange Payment Type:OD Redemption Payment Type:Oualified Brokerage Payment Type:Brokerage Payment Type:ACH Payment Type:Check to Carrier Transaction Type Application	signment Insurance Exchange Questionnaire Insurance Exchange Questionnaire None None None None None Testing Testing VA Quesionnaire	
eed Management	Transaction Type:SubPay	VA Quesionnaire	*
irm Management	Transaction Type : GSW Applications	VA Quesionnaire	*
<u>teports</u>	Transaction Type: GSW Subpays	VA Quesionnaire	~
hange Password		8	ave
Client Activity			

1. To assign the questionnaires, click Questionnaire Assignment List.

The user will then be taken to the questionnaire assignment screen, where the user will be presented with the existing transaction and payment level questionnaire assignments. The drop down list next to each assignment contains the list questionnaires.

The available Transaction Type assignments are:

- Transaction Type: Application
- Transaction Type: Subpay
- Transaction Type: GSW Applications
- Transaction Type: GSW Subpays

The available Payment Type assignments are:

- Payment Type: Insurance Exchange from Variable
- Payment Type: Insurance Exchange from Fixed
- Payment Type: Non-Insurance Exchange
- Payment Type: Mutual Fund Redemption
- Payment Type: CD Redemption
- Payment Type: Qualified Brokerage
- Payment Type: Brokerage

If no assignments have been supplied for any of the transaction or payment level questionnaires, then there are no activated questionnaires for this BU. Questions will be pulled from the parent BU.

- 2. Complete the display options:
 - Assign a questionnaire score If the total answers chosen by the sales rep equal a sum higher than the designated review score, the application will enter the suitability review process.
 - Indicate whether you require a client or manager signature by clicking the Suitability Signature checkbox.
 - Indicate whether you would like the score to display on the TDR for the reviewer roles for each question by clicking the Display Suitability Score checkbox.

- Indicate whether you would like the reviewer to see Auto Fail answers display on the TDR highlighted with a red exclamation point. The answers are set-up with this option during the question creation. If an answer is set-up with this option and the answer is selected in the wizard, this display option will give heightened awareness to the compliance review in the TDR.
- Indicate whether you would like the reviewer to see Warning answers display on the TDR highlighted with a yellow exclamation point. The answers are set-up with this option during the question creation. If an answer is set-up with this option and the answer is selected in the wizard, this display option will give heightened awareness to the compliance review in the TDR.
- 3. Click Apply Changes.

The questionnaire is activated and will display real-time for new transactions in the wizard, If a transaction is already in under review, they new questions will not apply.

8.2.7. Wizard functionality with Questionnaires assigned

The system will look at the questionnaire assignment and the question conditions to determine if the question should display in the wizard. The location of the question will depend on the assignment.

- The specific Questionnaire assigned to the Transaction Type as indicated within the transaction Wizard will appear just prior to the Verify Screen.
- Brokerage Account, Qualified Brokerage Account and Check to Carrier Payment Level Questionnaires will be displayed on the screen following the Payment Detail Screen per payment.
- Questionnaires assigned to Insurance Exchange from Variable, Insurance Exchange from Fixed, CD Redemption, Mutual Fund Redemption and Other Non-Insurance Exchange will be displayed on the screen following the Additional Information Screen for each payment.
- If the user enters more than 1 payment, the assigned payment questionnaire will appear on the appropriate screen, as noted in the bullets above, for each payment.

After entering the suitability review workflow, an email is generated and addressed to the designated compliance reviewer for the submitting sales rep. This will advise the compliance reviewer that he/she has a transaction in the queue for review.

8.2.8. Reporting for the Distributor Suitability Tool

There is a report that is part of the Distributor Firm Management Suitability Tool that details the BU, questionnaire assignments by transaction or payment type, lists the questions and any added conditions. The below details are included:

- The report will display per BU in a hierarchy structure
- For each BU, only the activated Questionnaires and list the transaction or payment type assignment will display
- List the assignments (When the report is exported to excel, the assignments will appear in two columns. One column will be for Transaction Type and one for Payment Type. If there is more than one assignment for that questionnaire, the values will appear in csv.)
- For each BU, all questions listed for the activated questionnaires will display
- The conditions for questions will be included
- Question and answer IDs for each question listed will be listed.
- If no assignments are listed in the drop-down, then there are no activated questionnaires for this BU. When no activations are in place, we will display this message in the report: Questions for this BU are from the parent BU. Questions set at this level are not applicable
- The report is exportable to Excel
- 1. To view the report, click Questions Report in the Foundry menu



Environment Name Test Incomposition of the second secon		Carrier Questions Report
Apply Export to Excel Image: Construction of the second of the	Environment Name	Test
Apply Export to Excel Image: Trees View Image: AnNUITYNET_TEST Image: BULKYEL-level 0; Business Unit Name - ANNUITYNET_TEST Image: Business Unit Name - ANNUITYNET_TEST Image: Business Unit Name - ANNUITYNET_TEST Image: Business Unit Name - ANNUITYNET_TEST Image: Business Unit Name - ANNUITYNET_TEST Image: Business Unit Name - ANNUITYNET_TEST Image: Business Unit Name - ANNUITYNET_TEST Image: Business Unit Name - ANNUITYNET_TEST Image: Business Unit Name - ANNUITYNET_TEST Image: Business Unit Name - ANNUITYNET_TEST Image: Business Unit Name - ANNUITYNET_TEST Image: Business Unit Name - ANNUITYNET_TEST Image: Business Unit Name - ANNUITYNET_TEST Image: Business Unit Name - ANNUITYNET_TEST Image: Business Unit Name - ANNUITYNET_TEST Image: Business Unit Name - ANNUITYNET_TEST Image: Business Unit Name - ANNUITYNET_TEST Image: Business Unit Name - ANNUITYNET_TEST Image: Business Unit Name - ANNUITYNET_TEST Image: Business Unit Name - ANNUITYNET_TEST Image: Business Unit Name - ANNUITYNET_TEST Image: Business Unit Name - ANNUITYNET_TEST Image: Business Unit Name - ANNUITYNET_TEST Image: Business Unit Name - ANNUITYNET_TEST Image: Business Unit Name - ANNUITYNET_TEST Image: Business Unit Name - ANNUTYNET_TEST Image: Busintest State Image: Businest Sta		
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	B-ANNUITYNET TEST	
BU LEVEL - level 0; Business Unit Name -ANNUITYNET_TEST Questionnaire Name : VA Quesionnaire [14]Trust Date : ON [16]Do you want to be sent a copy of "Statement of Additional Information? : ON [17]Do you believe the selected policy will meet your retirement needs and financial objectives? : ON [18]Please explain in more detail why this will meet your retirement needs : ON [19]Are your other investments and savings adequate to meet planned expenses and possible financial emergencies without need to liquidate this product and possibly [20]Do you believe that the selected policy is appropriate for your tax status and meets your tax objectives? : ON [22]Please answer the following questions for the Trust : ON [22]Please answer the following questions for the Trust :: ON [22]Vease answer the following questions for the Trust :: ON [22]Vease answer the following questions for the Trust :: ON [22]Vease answer the following questions for the Trust :: ON [22]Vease answer the following questions for the Trust :: ON [22]Vease answer the following questions for the Trust :: ON [22]Vease answer the following questions for the Trust :: ON [22]Vease answer the following questions for the Trust :: ON [22]Vease answer the following questions for the Trust :: ON [22]Vease answer the following questions for the Trust :: ON [22]Vease answer the following questions for the Trust :: ON [22]Vease answer the following questions for the Trust :: ON [22]Vease answer the following questions for the Trust :: ON [22]Vease answer the following questions for the Trust :: ON [22]Vease answer the following questions for the Trust :: ON [22]Vease answer the following question Trustee(s)? : ON [10]Is any participant on this contract or a dependent family member an active duty service member of the United States Armed Forces? : ON [10]Levent (A REFF="ebit: com">TEST ME [22]Vease (A vailable Owner Type [10] A vailable State	ANNUITYNET TEST	
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 [14]Trust Date : ON [16]Do you want to be sent a copy of "Statement of Additional Information? : ON [17]Do you believe the selected policy will meet your retirement needs and financial objectives? : ON [18]Please explain in more detail why this will meet your retirement needs : ON [19]Are your other investments and savings adequate to meet planned expenses and possible financial emergencies without need to liquidate this product and possibly [20]Do you believe that the selected policy is appropriate for your tax status and meets your tax objectives? : ON [22]Please answer the following questions for the Trust : ON [22]Please answer the following questions for the Trust : ON [24]What is the name of the trust grantor? : ON [24]What is the name of the successor trustee(s)? : ON [24]What is the name of the successor trustee(s)? : ON [25]What is the name of the successor trustee(s)? : ON [26] Available Account Designation Type [27] Available CONET Type [28] Available CUSIP [29] Asswer [20] TESTURL]-A HREF="ebit.com">TEST ME : ON [20] Questionaire Name : Testing [20] Questionaire Name : Insurance Exchange Questionnaire [20] ULEVEL - level 1 ; Business Unit Name -AN_ BROKERDEALER - Questions for this BU are from the parent BU. Questions set at this level are not applicable 	- Questionnaire Name : VA Quesionnaire	
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 [13]Please explain in more detail why this will meet your retirement needs : ON [19]Are your other investments and savings adequate to meet planned expenses and possible financial emergencies without need to liquidate this product and possibly [20]Do you believe that the selected policy is appropriate for your tax status and meets your tax objectives? : ON [22]Please answer the following questions for the Trust : ON [23]What is the name of the trust grantor? : ON [24]What is the name of the successor trustee(s)? : ON [10]Is any participant on this contract or a dependent family member an active duty service member of the United States Armed Forces? : ON [4] Available Account Designation Type [5] Available Owner Type [6] Available CUSIP [6] Available CUSIP [6] Answer [7] TESTURL]TEST ME : ON [9] Questionnaire Name : Testing [9] Questionnaire Name : Testing [9] Questionnaire Name : Answer Exchange Questionnaire 	⊕-[17]Do you believe the selected policy will meet you	r retirement needs and financial objectives? : ON
 [19]Are your other investments and savings adequate to meet planned expenses and possible financial emergencies without need to liquidate this product and possibly [20]Do you believe that the selected policy is appropriate for your tax status and meets your tax objectives?: ON [21]Please answer the following questions for the Trust:: ON [22]Please answer the following questions for the Trust:: ON [23]What is the name of the trust grantor?: ON [24]What is the name of the successor trustee(s)?: ON [24]What is the name of the successor trustee(s)?: ON [24]What is the name of the successor trustee(s)?: ON [25]How and the product of a dependent family member an active duty service member of the United States Armed Forces?: ON [26] Available Account Designation Type [27] Available Plan Type [28] Available CUSIP [29] Answer [20] [TESTURL]-(A HREF="ebic.com">TEST ME: ON [20] Questionnaire Name : Testing [20] Questionnaire Name : Insurance Exchange Questionnaire [20] LUZUL - level 1; Business Unit Name -AN_BROKERDEALER - Questions for this BU are from the parent BU. Questions set at this level are not applicable 	⊕-[18]Please explain in more detail why this will meet ye	our retirement needs : ON
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 C22Please answer the following questions for the Trust : ON C23]What is the name of the trust granter? : ON C24]What is the name of the successor trustee(s)? : ON F101Is any participant on this contract or a dependent family member an active duty service member of the United States Armed Forces? : ON Available Count Designation Type Available Ian Type Available State Available State Available State Available CUSIP Answer TESTURL/TEST ME : ON Questionnaire Name : Testing Questionnaire Name : Testing ULEVEL - level 1; Business Unit Name -AN_BROKERDEALER - Questions for this BU are from the parent BU. Questions set at this level are not applicable 	[20]Do you believe that the selected policy is appropriate the selected policy is a	priate for your tax status and meets your tax objectives? : ON
 E[23]What is the name of the trust grantor?: ON E[24]What is the name of the successor trustee(s)?: ON E[40]What is the name of the successor trustee(s)?: ON E[40]What is the name of the successor trustee(s)?: ON E[40]What is the name of the successor trustee(s)?: ON E[40]What is the name of the successor trustee(s)?: ON E[40]What is the name of the successor trustee(s)?: ON E[40]What is the name of the successor trustee(s)?: ON E[40]What is the name of the successor trustee(s)?: ON E[40]What is the name of the successor trustee(s)?: ON E[40]What is the name of the successor trustee(s)?: ON E[40]What is the name of the successor trustee(s)?: ON E[40]What is the name of the successor trustee(s)?: ON E[40]What is the name of the successor trustee(s)?: ON E[40]What is the name of the successor trustee(s)?: ON E[40]What is the name of the successor trustee(s)?: ON E[40]What is the name of the successor trustee(s)?: ON E[40]What is the name of the successor trustee(s)?: ON E[40]What is the name of the successor trustee(s)?: ON E[40]What is the name of the successor trustee(s)?: ON E[40]What is the name of the successor trustee(s)?: ON E[40]What is the name of the successor trustee(s)?: ON E[40]What is the name of the successor trustee(s)?: ON E[40]What is the name of the successor trustee(s)?: ON E[40]What is the name of the successor trustee(s)?: ON E[40]What is the name of the successor trustee(s)?: ON E[40]What is the name of the successor trustee(s)?: ON E[40]What is the name of the successor trustee(s)?: ON E[40]What is the name of the successor trustee(s)?: ON E[40]What is the name of the successor trustee(s)?: ON 	[22]Please answer the following questions for the Tr	ust: : ON
 [24]What is the name of the successor trustee(s)?: ON [10]Is any participant on this contract or a dependent family member an active duty service member of the United States Armed Forces?: ON Available Account Designation Type Available Owner Type Available Blan Type Available CUSIP Answer [TESTURL]-A HREF="ebix.com">TEST ME: ON Questionnaire Name : Insurance Exchange Questionnaire But LEVEL - level 1; Business Unit Name -AN_BROKERDEALER - Questions for this BU are from the parent BU. Questions set at this level are not applicable 	■ [23]What is the name of the trust grantor? : ON	
 [10] Is any participant on this contract or a dependent family member an active duty service member of the United States Armed Forces? : ON Available Account Designation Type Available Owner Type Available CUSIP Available CUSIP Answer (TESTURL]-SA HREF="ebix.com">TEST ME : ON Questionnaire Name : Testing Questionnaire Name : Insurance Exchange Questionnaire BU LLVEL - level 1 ; Business Unit Name -AN_BROKERDEALER - Questions for this BU are from the parent BU. Questions set at this level are not applicable 	⊕-[24]What is the name of the successor trustee(s)? : C)N
Available Owner Type Available Plan Type Available State Available CUSIP B Answer () -Available CUSIP B Answer () -[TESTURL] TEST ME : ON B Questionnaire Name : Testing B Questionnaire Name : Testing B ULEVEL - level 1 ; Business Unit Name -AN_BROKERDEALER - Questions for this BU are from the parent BU. Questions set at this level are not applicable	 -f10]Is any participant on this contract or a dependent -Available Account Designation Type 	t family member an active duty service member of the United States Armed Forces? : ON
 Available Plan Type Available State Available CUSIP Answer (FESTURL)-SA HREF="ebit.com">TEST ME : ON Questionnaire Name : Testing Questionnaire Name : Insurance Exchange Questionnaire BU LEVEL - level 1 ; Business Unit Name -AN_BROKERDEALER - Questions for this BU are from the parent BU. Questions set at this level are not applicable 	Available Owner Type	
 ⊕ Available State Available CUSIP Answer ⊕ ITESTURL]-SA HREF="ebit.com">TEST ME : ON ⊕ Questionnaire Name : Testing ⊕ Questionnaire Name : Insurance Exchange Questionnaire BU LEVEL - level 1 ; Business Unit Name -AN_BROKERDEALER - Questions for this BU are from the parent BU. Questions set at this level are not applicable 	⊕-Available Plan Type	
-Available CUSIP ⊕ Answer ⊕ [TESTURL] TEST ME : ON ⊕ Questionnaire Name : Testing ⊕ Questionnaire Name : Insurance Exchange Questionnaire -BU LEVEL - level 1 ; Business Unit Name -AN_BROKERDEALER - Questions for this BU are from the parent BU. Questions set at this level are not applicable	⊕-Available State	
 H-Answer (FESTURL)-SA HREF="ebix.com">TEST ME : ON Questionnaire Name : Testing Questionnaire Name : Insurance Exchange Questionnaire BU LEVEL - level 1 ; Business Unit Name -AN_BROKERDEALER - Questions for this BU are from the parent BU. Questions set at this level are not applicable 	-Available CUSIP	
 [TESTURL]TEST ME : ON Questionnaire Name : Testing Questionnaire Name : Insurance Exchange Questionnaire BU LEVEL - level 1 ; Business Unit Name -AN_BROKERDEALER - Questions for this BU are from the parent BU. Questions set at this level are not applicable 	Answer	
 Questionnaire Name : Testing Questionnaire Name : Insurance Exchange Questionnaire BU LEVEL - level 1 ; Business Unit Name - AN_BROKERDEALER - Questions for this BU are from the parent BU. Questions set at this level are not applicable 	E-[TESTURL] TEST ME : 0	2N
@-Questionnaire Name : Insurance Exchange Questionnaire -BU LEVEL - level 1 ; Business Unit Name -AN_BROKERDEALER - Questions for this BU are from the parent BU. Questions set at this level are not applicable	Questionnaire Name : Testing	
-BU LEVEL - level 1 ; Business Unit Name -AN_BROKERDEALER - Questions for this BU are from the parent BU. Questions set at this level are not applicable	Questionnaire Name : Insurance Exchange Questionnai	ire
	-BU LEVEL - level 1 ; Business Unit Name -AN_BROKERD	EALER - Questions for this BU are from the parent BU. Questions set at this level are not applicable
BULEVEL - level 1 ; Business Unit Name -AN_Training_BU_1	BU LEVEL - level 1 ; Business Unit Name -AN_Training_B	/U_1

8.3. Firm Management - Carrier Page questions/questionnaires

Carriers can add questions to AnnuityNet using the carrier tool in Foundry. Carriers will group their questions into questionnaires by payment type and transaction type. Each questionnaire can have logic added to provide product, state, payment, and transaction level appearance rules. Each distributor will have the option of activating the questions. This allows the distributor to maintain control over their platform.

8.3.1. Carrier Page Questions

Once the carrier has created the carrier questionnaires and assigned them to the appropriate questionnaire types, the questionnaires will appear at a BU level on the Firm Management page for Distributors to activate/deactivate questions.

When you login to Foundry, navigate to the Firm Management links and select the appropriate business unit. All questions should be managed at a Business Unit of 0 for non-correspondents and a Business Unit of 1 for correspondent models. Add the Business Unit in the filter and click Apply Filter to manage the questions.

Foundry MENU Business Unit Summary for ANNUITYNET_TEST - Test Environment Business Unit Mamagement Filter + Business Unit Summary Active? Create New Business Init Uist Business Unit Name Parent Business Unit Business Unit Type Istributor Product Tool 1 Forms Management 1 Business Unit Name Parent Business Unit Active? D	Figure 9.1.1	
MENU Business Unit Summary for ANNUITYNET_TEST - Test Environment Business Unit Filter+ Business Unit Summary Active? Create New Business Parent Business Unit User Summary >> Apply Filter < Flore Result 1-1 1 Business Unit Name 1 Business Unit Name 1 Business Unit Active? 1 Business Unit Name 1 Business Unit Name 1 Business Unit Active? 1 Business Unit Name 1 Business Unit Active? 1 Business Unit Active? 1 Business Unit Active? 1 Business Unit Name 1 Business Unit Active? 1 Business Unit Active? 1 Active? 1 Active?	Foundry	N
Business Unit Management Filter + Business Unit Name Active? Business Unit Name Active? Viser Summary >> Apply Filter < Tools * Home Distributor Product Tool 1 Business Unit Name Parent Business Unit Business Unit Active? Home Distributor Product Tool 1 Business Unit Name Parent Business Unit Business Unit Active? Home Distributor Product Tool 1 Business Unit Name Active? Unit Yook	- Menu -	Business Unit Summary for ANNUITYNET_TEST - Test Environment
Business Unit Summary Business Unit Name Active? Create New Business Parent Business Unit Business Unit Type Unit Business Unit Type level 0 v User Summary >> Apply Filter < Tools ************************************	Business Unit Management	Filter +
Create New Business Parent Business Unit Business Unit Business Unit Unit >> Apply Filter < Tools	Business Unit Summary	Business Unit Name Active?
User Summary >> Apply Filter << Tools Result 1 - 1 Interview Business Unit Name Parent Business Unit Active? D Action Interview Active? D Action	Create New Business Unit	Parent Business Unit Business Unit Type level 0 🔽
Tools Itome Result 1 - 1 Bistributor Product Tool 1 Forms Management 1 Firm Management Unit Type Business Unit Name Unit Active? D	User Summary	>> Apply Filter <<
Distributor Product Tool Forms Management Firm Management Business Unit Name Parent Business Unit Type Active? D Action	Tools Home	Result 1 - 1
Forms Management Firm Management Business Unit Name Parent Business Unit Type Active? D Action	Distributor Product Tool	1
	Forms Management Firm Management	Business Unit Name Parent Business Unit Business Unit Active? ID Action
Change Password Logout ANNUITYNET_TEST ANNUITYNET_TEST level 0 Yes 23461 Edit Info Yiew Users Manage Products & Restrictions Edit CMR Thresholds Manage Carrier Questions Logout	Change Password Logout	ANNUITYNET_TEST ANNUITYNET_TEST level 0 Yes 23461 Edit Info View Users Manage Products & Restrictions Edit CMR Thresholds Manage Carrier Questions Carrier Questions Report

8.3.2. Activating/Deactivating Questions

Next to each Business unit will be a link to <u>Manage Carrier Questions</u>. By clicking on the <u>Manage Carrier</u> <u>Questions</u> link, the firm will be able to activate/de-activate carrier questions.

Figure 10.2.1										
Foundry										
	Business Unit S	Summary for ANN	UITYNET_TE	ST - Te	st Env	ironment				hE
Business Unit Management			Filter +							
Business Unit Summary	Business Unit Name		Active?			*				
Create New Business Unit	Parent Business Uni	t	Business U	nit Type	lev	rel 0 💌				
User Summary		>> A	pply Filter <<	<						
Tools										
<u>nome</u> Distributor Brodust Tool	Result 1 - 1									
Earma Managament						1				
Firm Management	Business Unit Name	Parent Business Unit	Business Unit Type	Active?	ID	Action				
Change Password Logout	ANNUITYNET_TEST	ANNUITYNET_TEST	level 0	Yes	23461	Edit Info View Users	s <u>Manage Products & R</u> Report	estrictions Edit CMR Tr	nresholds Manage Carrier Q	uestions
Logout	L					1				

The Distributor Activation screen will display. Each carrier's questions must be managed separately by selecting the desired carrier in the Carrier filter. Additional filter options can be applied to narrow down the questions by active status, question text, or wizard type. Once the filter has been added, click Apply Filter to display the available questions.

Figure 10.2.1									
Foundry									
	Questio	n Activatio	n for AN	NUITYNET_TES	T Distributo	r - Test Envir	onment		
Business Unit Management									
Business Unit Summary				Distr	ibutor Quest	tion Activatio	on		
Create New Business Unit	Back to B	usiness Init 9	Summany						
User Summary	Dack to D	usiness onice	summary						
Tools	Filter								
Home	Carrier		BLUE_SKY	· ·		Active?	None	*	
Foundry Admin	Question	Toxt		~		Wizard Type	None		
PPfA Admin	Question	Text		v		wizaru rype	NOTE		
Carrier Product Tool					>> Apply F	ilter <<			
Carrier Questions Tool	Activate A	<u>vi</u>	V (Questionnaires are app	licable at this bu	isiness unit level			
Distributor Product Tool Forms Management	Activated	d Carrier	Question ID	Question Text			Answer Type	[Answer ID] Answer Text	Alternate Named Item
Forms Admin Feed Management		[PUBLIC] BLUE_SKY	13	Reason for Replacen	nent		FITB		None
Firm Management		BLUE_SKY	14	Trust Date			DATE		None
Reports Change Password		BLUE_SKY	16	Do you want to be se Additional Information	nt a copy of "State 1?	ement of	MULTIPLE	[a] yes	None
Client Activity								[b] no	None
Debug Tools Report an Issue		[PUBLIC] BLUE_SKY	17	Do you believe the se retirement needs and	lected policy will I financial objecti	meet your ives?	MULTIPLE	[a] Yes	None
Logout								[b] No	None
	V							[c] Other - please explain below	None

There are two steps that a client must complete to activate questions for appearance on the AnnuityNet platform.

- 2. Questions can be activated by BU. So, in order to activate or deactivate the questions for the BU for which the user is editing, the checkbox "Questionnaires are applicable at this business unit level" must be filled. This checkbox will allow clients to activate questions per channel or correspondent. If this checkbox is left un-checked, the questions that are activated and deactivated will not apply for this BU. The questions for the wizard will be pulled from the next higher BU or parent BU. If previously assigned BU specific activations are desired to be removed from the wizard and instead pull questions at the parent BU, simply uncheck the checkbox and click save.
- 3. The default for each question is deactive. If questions are desired to appear on the distributor AnnuityNet wizard, click the Activated checkmark. If questions have been previously activated but are desired to be removed from the wizard, simply uncheck the activation box and click save. Remember to complete step 1. Once steps 1 and 2 are completed, the questions will appear in AnnuityNet only for the distributors that have activated the questions and clicked the checkbox. The activated questions will appear for both app and sub if they apply. Transaction Type questionnaires appear after authorization (within the Carrier wizard). Payment level questions appear after the distributor payment level suitability questions.

8.3.3. Sharing NIs

If a distributor question is de-activated, a box will appear for the distributor to input the NI for the related question on their wizard. This will be an optional field to help carriers map distributor questions to their form. The distributor can input the NI for an existing question into this box.

Figure 10.3.1							
Foundry							
- MENU -	Question Activati	on for ANNUITYNE	T_TEST Distributo	r - Test Envir	onment		
Business Unit Management							
Business Unit Summary			Distributor Ques	tion Activatio	n		
Create New Business Unit	Back to Business Unit	Summary					
User Summary							
Tools	Filter						
Home	Carrier	BLUE_SKY	*	Active?	None	*	
Foundry Admin Admin Tool	Question Text			Wizard Type	None		~
PPfA Admin			>> Apply	Filter <<			
Carrier Product Tool Carrier Questions Tool	Activate All	Questionnaire	es are applicable at this b	usiness unit level			
Distributor Product Tool Forms Management	Activated Carrier	Question ID	ext		Answer Type	[Answer ID] Answer Text	Alternate Named Item
Forms Admin Feed Management	[PUBLIC] BLUE_SKY	13 Reason for	Replacement		FITB		EXCHANGE_REASON
Firm Management	BLUE_SKY	14 Trust Date			DATE		None

In the backend, Ebix will map the distributor NI to the NI for the Carrier question. By doing this, the carriers will only need to tag forms using the carrier page NI.

⇒ If a distributor has implemented the e-signature and hybrid workflow and a question is an in good order requirement, the distributor will be forced keep a question activated unless they share their NI for a question that already exists on their platform. *Currently, this only applies to Merrill Lynch.

8.3.4. Form Population using Carrier Page Questions

The system assigned questionID and AnswerIDs will generate Named Items that can be used to tag the PDF forms. This will enable the forms to pre-populate with those question and answers. The Nis will be in the format of, Carrier_Question(ID)_ANSWER(IDa). Here are 2 examples where the question ID = 2305:

- $\circ \quad \mathsf{CARRIER_QUESTION(2305)_ANSWER(2305a)_X}$
- CARRIER_QUESTION(2305)_ANSWER(2305a)

8.3.5. Viewing the Carrier Questions Report

Each distributor will have a Carrier Questions Report that is available via the same Firm Management link. This report will list the Carriers and their questionnaires for each carrier that the BD has managed. That means that a carrier will not appear on the report if the distributor has not managed their questions (hit save on the activation screen). If the questionnaire is assigned by the carrier but the distributor has not selected that the questions are applicable to the BU, then this message will appear, "Questions for this BU are from the parent BU. Questions set at this level are not applicable." This message means that the questions at this BU are not active and the questions that appear in the wizard will be from the parent BU.

Follow the steps in section 10.2 to get to the Firm Management, Business Unit Summary. To view the report, click on the Carrier Questions Report link.

Figure 10.5.1 Foundry	4
- MENU -	Business Unit Summary for ANNUITYNET_TEST - Test Environment
Business Unit Management	Filter +
Business Unit Summary	Business Unit Name Active?
Create New Business Unit	Parent Business Unit Type level 0 🗸
User Summary	>> Apply Filter <<
Tools	
Home	Result 1 - 1
Distributor Product Tool	1
Forms Management Firm Management	Business Unit Name Unit Unit Business Unit Active? ID Action
Change Password Logout	ANNUITYNET_TEST ANNUITYNET_TEST level 0 Yes 23461 Edit Info View Users Manage Products & Restrictions Edit CMR Thresholds Manage Carrier Questions
Logout	

A screen will display allowing the user to view the report on the screen or export the report to Excel:

Figure 10.5.1	
Foundry	
	Distributor Question Report for ANNUITYNET_TEST - Test Environment
Business Unit Management	
Business Unit Summary	Distributor's Carrier Questions Report
Create New Business Unit	Back to Business Unit Summary
User Summary	
Tools	Apply Export to Excel
Home	
Distributor Product Tool	
Forms Management	
Firm Management	
Change Password	
Logout	
Logout	

By clicking Apply, the report will display in a tree view for the business unit selected. Expanding the + will display the questionnaire details including each of the activated question text, alternate NIs, DTCC mapping details, conditions, and answer options.

Figure 10.5.3

	Distributor's Carrier Questions Report
to Busin	iess Unit Summary
	Apply Export to Excel
ee Viev	
ANNUI	TYNET TEST
- Busi	iness Unit Name- ANNUITYNET_TEST Level - 0
÷-(Questionnaire Name : Variable Transaction Carrier Name - AEGON
÷-(uestionnaire Name : Fixed Transaction Carrier Name - AEGON
÷-(uestionnaire Name : Replacement Transaction Carrier Name - AEGON
	REPIN01 Please provide the date of issue for your current policy : ON
	. [REPDE01]Your present insurer is required, on your request, to provide a summary describing your present insurance. Would you like to receive a summary describing your pr
	- [REPGA01]Would you like to receive a policy summary statement from your existing insurer, or insurers? : ON
	- REPFL02 What is the Cash Surrender Value on your Current Policy? : ON
	- REPWA10/Can there be reduced benefits or increased premiums in later vears? : ON
	- [REPWA45]If you answered Yes, explain: : ON
	- REPWA001Are minimum amounts required to be on deposit before excess interest will be paid? : ON
	- REPWA65IIf you answered Yes, explain: ON
	- REPWA7011f the new program is based on a variable or universal life insurance policy or a single premium policy or annuity: ON
	- REPWA75]Are the interest rates guoted before or after the fees and mortality charges have been deducted? ON
	- REPWA80IInterest rates are guaranteed for how long? ON
	- REPWA81The minimum interest rate to be paid is how much? · ON
	- REPWA9011f applicable. the rate you pay to borrow is? : ON
	- REPWA95IIf applicable, the limit on the amount that can be borrowed is? : ON
	REPWA100]The surrender charges are?: ON
	- REPWA105The death benefit is? : ON
	-
	- REPWA11511f you answered Yes, explain: : ON
	Unestionnaire Name : AIG Test Carrier Name - AMERICAN GENERAL
1	Questions for this BU are from the parent BU. Questions set at this level are not applicable

8.3.6. Carrier Page Questions Best Practices for Distributors

With the addition of the Carrier Page Tool, it is imperative to address the best practices for distributors activating the carrier questions. In order to ensure that carrier questions are added in a timely manner, each distributor is asked to follow the below procedures for activating questions.

Distributors with access to foundry:

- Once the carrier has created the carrier questionnaires and assigned them to the appropriate questionnaire types, the carrier will send an email to the distributor requesting activation of questions with a sign off sheet which will contain all the relevant information about the question.
- 2. The distributor will confirm if a similar question already exists on the distributor platform. If a question already exists on the platform, the NI can be shared in the tool and the question can remain deactive. For each of these questions, the distributor will need to determine the AnnuityNet NIs that generate for the distributor question. Those NIs should be entered into the NI fields on the activation page.
- 3. If a question does not already exists on the platform, the distributor will then need to activate the guestion in UAT to test. Once the testing is complete, the distributor will notify the carrier.
- 4. At this time, the Carrier can add the questions to Production and notify the distributor that the question is available in Production for activation. It is our recommendation that distributors do not activate questions during the business day. The distributor should only activate the question in Foundry Production at the end of the business day. This will allow for the questions to appear on the open of business on the following day.
- Distributors can utilize the Carrier Questions Report as part of the Foundry tool to view any questions that are activated for all carriers that impact their business units. Log into Foundry> Firm Management> Carrier Questions Report > hit apply. All reports are exportable to Excel.

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Distributors without access to foundry:

- Once the carrier has created the carrier questionnaires and assigned them to the appropriate questionnaire types, the carrier will send an email to the distributor requesting activation of questions with a sign off sheet which will contain all the relevant information about the question.
- 2. The distributor will confirm if a similar question already exists on the distributor platform. If a question already exists on the platform, the NI can be shared in the tool and the question can remain deactive. For each of these questions, the distributor will need to determine the AnnuityNet NIs that generate for the distributor question. Those NIs should be entered into the NI fields on the activation page.
- 3. If a question does not already exists on the platform, the distributor will then need request their Ebix Project Manager to activate the question in UAT to test. Questions will be activated after 5:00 pm EST and prior to 9:00 am EST. Once the testing is complete, the distributor will notify the carrier.
- 4. At this time, the Carrier can add the questions to Production and notify the distributor that the question is available in Production for activation. It is our recommendation that distributors do not activate questions during the business day.
- 5. Distributors can request the Carrier Questions Report from their Ebix Project Manager to view any questions that are activated for all carriers that impact their business units.

9 PDF List

To view a list of all PDFs that have been uploaded, you must select Forms Management from the MENU. The PDF Management screen will appear(See Figure 5.0.1). By clicking on <u>PDFLibrary</u>, the PDF List page displays. All the PDFs that have been uploaded will be listed and you can see the Filename and the Description. You may view the history of a particular PDF (including upload and deployment events) by clicking on the <u>View History</u> link or view the actual PDF by clicking on the <u>View PDF</u> link.

Figure 10.0.1	
Foundry	
I MENU	Forms and PDF Management Tool
Tools Home	Select Partner Type: Carrier
Carrier Product Tool Forms Management	Select a Carrier:
Change Password	Partner Name
Logout Logout	Blue Sky Carrier FormsTool PDFLibrary

After clicking on the PDFLibrary, the form list displays.

ndry			
Menu 🦳	PDF List for Blue Sky Carrier Carrier		
mporter Partner	Upload PDF		
<u>rm</u> <u>st</u>	Filter +		
E	Filename:		
	>> Apply Filter <<		
		1	
t Tool ment	Filename	Description	
ord	13583_0199_Gefa.pdf		View History View PDF
	951_EXCHANGE1 pdf.pdf		View History View PDF
	951_EXCHANGE1.pdf		View History View PDF
	ACORD Form 951 CD Redemption 2008-06-16.pdf	ACORD 951 Exchange cd REDEMPTION	View History View PDF
	ACORD Form 951 CD Redemption.pdf	ACORD Form 951 CD Redemption	View History View PDF
	ACORD Form 951 Exchange.pdf	ACORD Form 951 Exchange	View History View PDF

To upload a PDF, complete the following steps:

Click on <u>Upload PDF</u>. This will take you to the Upload PDF page. See Figure 10.0.2.

Figure 10.0.2

a Foundry - N	Microsoft Internet Explorer		
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Address 🧃 https://	/foundry.prodsim.finetre.com/Foundry/Importer/	forms/PDFLibrary/PDFList.aspx	🔽 🔁 Go 🕸 *
Foundry			
r menu -	Upload PDF for Blue Sky Carrier C	urrier	
Forms Importer <u>Select Partner</u>	Back to PDF List		
Upload Form	Check to replace any PDF with	the same file name	
Forms List	PDF Description:		
PDF List	PDF File:	Browse	
Tools		Upload File	
Home			
Carrier Product Tool			
Distributor Product Tool			
Forms Management			
Change Password			
Client Activity			
Logout			
			×
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Click on the box next to the sentence "Check to replace any PDF with the same file name".

WARNING! Pay careful attention when uploading PDFs. When you click the checkbox to replace any PDF files with the same name, the older version of the PDFs WILL BE REPLACED. After uploading new PDFs, you must upload the appropriate Forms XML that references the new PDF. Be sure to upload the Forms XML by following the steps in Section 6.

- 11. Click on the Browse button.
- 12. Find the file that contains the PDF or zipped PDFs on your local computer or network.
- 13. Click OK.
- 14. Click on the Upload File button.
- 15. A list of PDFs will appear indicating that they were uploaded with no warnings/errors, or it will list the warnings/errors. If errors are detected in the PDFs, a list of the errors will appear in the window and the PDFs will not be uploaded. You will need to correct the errors and try uploading the PDFs again. Be sure to copy the warnings/errors before leaving this screen. They are not archived anywhere. You can view them again by trying to reload the PDFs if necessary.
- 16. If you did not need to upload a new Forms XML with the PDF (for example if it was an update to a previously uploaded PDF), you must still deploy an XML to pull in the new PDF. To redeploy a prior version, go to the Forms List, click on View/Manage for the version you would like to redeploy (usually the last one Deployed to ProdSim/UAT); and click on Deploy to Test. This will ensure that the PDFs are mapped to the appropriate Forms XML. The newly uploaded PDFs will be available in ProdSim/UAT when the Forms XML has been deployed to that environment.

10 Forms Management (Forms XML)

The Forms Management tool is used to manage Forms XML and PDFs. Forms XML describes the rules for generating PDFs for applications entered on the AnnuityNet platform. When you click on <u>Forms</u> <u>Management</u> in the Menu, you will see the Forms and PDF Management Tool page. To upload and manage Forms XML, click on <u>Forms Tool</u>. This link takes you to the Forms List page.

Figure	11.0.1											
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MENU -	Forms List for E	Blue Sky Ca	arrier Carrier									
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lect Partner												
oad Form		1000	Filter +									
ms List	Date Criteria - DD/W	WEYY	Field	Data	6							
lief	Start Date.	-	Cilu	Date.								
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ms nagement	Import ID:											
ange			>> Apply Filt	ter <<								
ent Activity	Result 1 - 3											
gout					1							
gout	Upload Date	Partner Type	Description	Original Filename	Status	Test Enviro. Status	Production Enviro. Status	Import ID				
	6/3/2004 2:51:43 PM	Carrier	Tier 4 test correction	Blue_Sky_Forms_T est.xml	Approved	Deployed	Not Deployed	48544.0000 Mar	nage Form			
	5/28/2004 9:01:54 AM	Carrier	VMFS Forms XML demo	Blue_Sky_Forms_T est.xml	Approved	Not Deployed	Not Deployed	48413.0000 <u>Mar</u>	nage Form			~
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At the top of the Forms List page there is a filter for finding specific or related forms. The Forms list contains the following information for each form:

Upload date: Date the Forms XML was loaded into Foundry.

Partner Type: Lists whether the partner who generated the Forms XML is a carrier or a distributor.

Description: Displays what the user entered in this field during upload.

Original Filename: Filename of the loaded Forms XML.

Status: The status for a Forms XML will be one of the following:

- Added Item has been uploaded and is waiting for import processing
- Imported Import process and validation for the item is complete
- Approved Imported item has been approved for further use
- Rejected Item has been rejected and cannot be used

Test Enviro. Status: Indicates the status of the Forms XML in the test environment (Production Simulation a.k.a. ProdSim or User Acceptance Testing a.k.a. UAT).

- Not Deployed the Forms XML is not in ProdSim/UAT either another Forms XML has been deployed to this environment and superseded it or it was never deployed to the ProdSim/UAT environment.
- Deployed the Forms XML is the version currently available in ProdSim/UAT.
- Staged for Deployment the Forms XML will move to ProdSim/UAT with the next scheduled deployment.
- In Process
- Deploying
- DeployedWithErrors
- Failed

Deployments to ProdSim/UAT occur daily beginning at Midnight and thereafter, continue every 90 minutes. Any Forms XML that has completed the batch process will be deployed at that time. The length of the deployment depends on how much metadata is included in that deployment.

Production Enviro. Status: Indicates the status of the Forms XML in the Production environment.

- Not Deployed the Forms XML is not in Production either another Forms XML has been deployed to this environment and superseded it or it was never deployed to the Production environment.
- Deployed the Forms XML is the version currently available in Production.
- Staged for Deployment the Forms XML version will move to Production with the next scheduled deployment.
- In Process
- Deploying
- DeployedWithErrors
- Failed

For a schedule of Production deployments, see the published EbixExchange Production Calendar. Typically, Foundry/Metadata deployments occur Monday-Friday at 5:30pm EST.

Import ID: Unique number assigned to each Forms XML after it is loaded into Foundry.

To upload Forms XML, complete the following steps:

17. Click on Upload Form. You will be sent to the Upload Forms XML page. See figure 11.0.2.

Foundry	
- MENU -	Upload Forms XML For Blue Sky Carrier Carrier
Forms Importer Select Partner Upload Form Forms List Upload PDF PDF List Tools Home Carrier Product Tool Forms Management Change Password Logout Logout	Forms Description: Forms File: Brow Upload I

- Type in a description or name for the Forms XML. To avoid confusion, consistency with naming conventions is important. Be sure the description provides enough information to manage your forms effectively i.e. XML version, what was included in this update, etc.
- 19. Click on the Browse button.
- 20. Find the Forms XML document on your local computer or network.
- 21. Click OK.
- 22. Click the Upload File button.
- 23. When the upload is complete and the file status is Not Deployed, you **must** select the Manage Form link to stage the Forms XML by either selecting Next Deployment Staging or the Schedule Date option and then select Save.



24. Select the Back to Forms List link and the Apply Filter to display the list of forms XML files. The uploaded Forms XML file will appear at the top of the Forms List.

After a Forms XML is uploaded, it undergoes further system processing and translation in order to be prepared for use by the AnnuityNet platform and Baseline Wizard. Forms XML are processed continuously in a first-in-first-out sequence. After a Forms XML is processed successfully for the first time, its status will be "Approved".

After upload and processing, Forms XML are deployed.

Environment	Deployment Frequency	What Deployment does
UAT	Every 15 minutes 24x7	 Schedule Forms will be staged & Deployed if staged successfully Schedule PPfAs will be staged & Deployed if staged successfully Staged Forms will be deployed Staged PPfAs will be deployed
ProdSim	Every hour 24x7	-Same as above-
Production	Daily at 5.30 PM on Weekdays (Mon - Fri), including holidays	-Same as above-

Foundry deployment deploys the Forms along with PPfAs.

Any Forms XML that have completed the batch process will be deployed at that time. The length of the deployment depends on how much metadata is included in that deployment. Once a Forms XML has been deployed, the Test Enviro. Status column will read "Deployed".

11 Staging FormsXML

The scheduled date processing functionality is now available for Forms XML. When the Forms XML is uploaded or redeployed with a future schedule date, once the date is met, the Forms XML will assemble the most current PDFs and apply the latest forms and Forms XML to production.

When selecting the **Next Deployment – Staging** option, the Form XML will process during the next scheduled deployment.

When selecting the **Schedule Date** option, the user will enter a date at which the deployment process will occur when that date is reached.

When the Unstage/Cancel the Schedule option is selected and saves, a message **Form XML file successfully unscheduled in [Test or Production] Environment** will display at the top of the screen and the Form XML is no longer available for deployment and the status is set to Not Deployed.

12 Password

You may change the password used to log in to Foundry. To do so, you must click on the link <u>Change</u> <u>Password</u> in the Menu. The link will take you to the Change Password page. You must type in your old password in the box next to Old Password. Type your new password in the remaining two boxes and then click on Update. The new password takes affect when you click on Update.

Figure 13	3.0.1
Foundry	
- MENU -	Change Password
Tools Home Distributor Product Tool Forms Management Firm Management Change Password Logout Logout	Old Password: New Password: Re-type Password: Update Password must be >= 6 characters and contain 3 of the following: Iowercase, UPPERCASE, numeric, special (anything not alphanumeric such as: . /?.)

13 Log Out

To log out of Foundry, you should click on the link Logout in the Menu. To close the window, you may either click on the X in the upper right-hand corner of your web browser or select File \rightarrow Close from the browser's parent menu.

14 E-mail Notifications

Foundry generates e-mails based on various upload and deployment events. The e-mails inform the recipient as to the status of a PPfA or Forms XML. Your firm should provide your EbixExchange project manager with the e-mail address of the person who should receive these notifications. If e-mail notifications should go to more than one person, a distribution e-mail list should be created by the firm and this e-mail address provided the EbixExchange project manager.

Listed below are the triggers for e-mail notification and the content of those e-mails.

Trigger	Subject Line	Text
PPfA deployment status in Production Simulation.	Deployment Summary: ProdSim – [Distributor's Name] Distributor	Product Availability Status(s):
		[SUCCESS or FAILURE]: ProdSim – [Distributor's name] distributor; [Carrier name] carrier; CUSIP: [CUSIP number]; Product Name: [Product Short Name]; ProdSim. The product is successfully turned [On or Off]
PPfA deployment status in Production.	Deployment Summary: Production – [Distributor's Name] Distributor	Product Availability Status(s):
		[SUCCESS or FAILURE]: Production – [Distributor's name] distributor; [Carrier name] carrier; CUSIP: [CUSIP number]; Product Name: [Product Short Name]; Production. The product is successfully turned [On or Off]
Forms successfully deployed.	Carrier Name; Import ID; Forms; [Production Simulation/Production] SUCCESS	Carrier Name; Import ID; Forms
		Forms have been successfully deployed to [Production Simulation or Production].
Forms failed deployment.	Carrier Name; Import ID; Forms;[Production Simulation/Production] FAILURE	Carrier Name; Import ID; Forms
		The forms failed deployment to [Production Simulation or Production]. Please contact the EbixExchange Project Manager.



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