

PAYMENT, WITHDRAWAL AND SURRENDER STANDARDIZED DATA REQUEST
Annuity Line of Business

Contents: This file should be downloaded from company system(s) and contain one record for each annuity transaction that involved an annuity payment, withdrawal or surrender, issued to [applicable state] residents that were in force at any time during the examination period.

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

- Cross-reference with the annuity in force standardized data request for data accuracy; and
- Cross-reference with MCAS data to ensure completeness of exam data submitted.

Field Name	Start	Length	Type	Decimals	Description	ACLI Comments
CoCode	1	5	A		NAIC company code	
ConNo	6	20	A		Contract number	
COFirst	26	15	A		First name of contract owner responsible for premium payment of contract	Current language of this field appears to reflect an assumption that the contract owner always pays the premium which is not always the case. ACLI recommends deletion of reference to responsibility for payment of premium. Also, how this field should be completed if there is more than one owner? Should there be multiple fields?
COMid	41	15	A		Middle name of contract owner responsible for premium payment of contract	Company may only have this information if it is entered into its policy administration system. Also, how should this field be completed if there are multiple owners?
COLast	56	20	A		Last name of contract owner responsible for premium payment of contract	Should there be reference to fact that owner may be trust or other organization? Again, how should this field be completed if there are multiple owners?
ConYr	76	4	A		The contract year at the time of the individual annuity payment, withdrawal or surrender request	
SurWithA	80	1	A		Was the itemized transaction the result of a surrender, withdrawal or annuity payment? (S/W/A)?	
PmtTyp	81	20	A		Type of annuity payment Please provide a list to explain any codes used	ACLI recommends clarification whether "payment" is intended to mean money paid by contract owner, and whether it is intended to mean fixed or variable payments or both.
ReqDt	101	10	D		For the referenced annuity payment, withdrawal or surrender, please provide the date of surrender request, withdrawal request or the request to begin annuity	There is question whether company will have this information, or the information may not be readily available in policy administration system and may require cross

					payments? [MM/DD/YYYY]	referencing to other systems or manual process which may make it challenging to produce.
FrqPay	111	15	A		For annuitized contracts, please specify the frequency of the annuitization payment, if applicable (e.g. monthly, annually, quarterly, etc)	Information may not be readily available in policy administration system and may require cross referencing to other systems or manual process which may make it challenging to produce.
PayDt	126	10	D		For the referenced annuity payment, surrender or withdrawal, please specify when the transaction was effected [MM/DD/YYYY]	
AmtSW	136	11	N	2	Amount of surrender or withdrawal or annuity payment	
ChargeSW	147	11	N	2	Amount of the withdrawal or surrender charge	
PenInc	158	11	N	2	Amount of penalty incurred for the withdrawal or surrender	How should this field be completed if there are multiple penalties?
PenCd	169	10	A		Penalty code(s) applied Please provide a list of all penalty codes and their meanings	
EndRec	179	1	A		End of record marker. Please place an asterisk in this field to indicate the end of the record. This must be in the same character position for every record in this table.	

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