

Attachments AccessSM

Quick Reference Guide

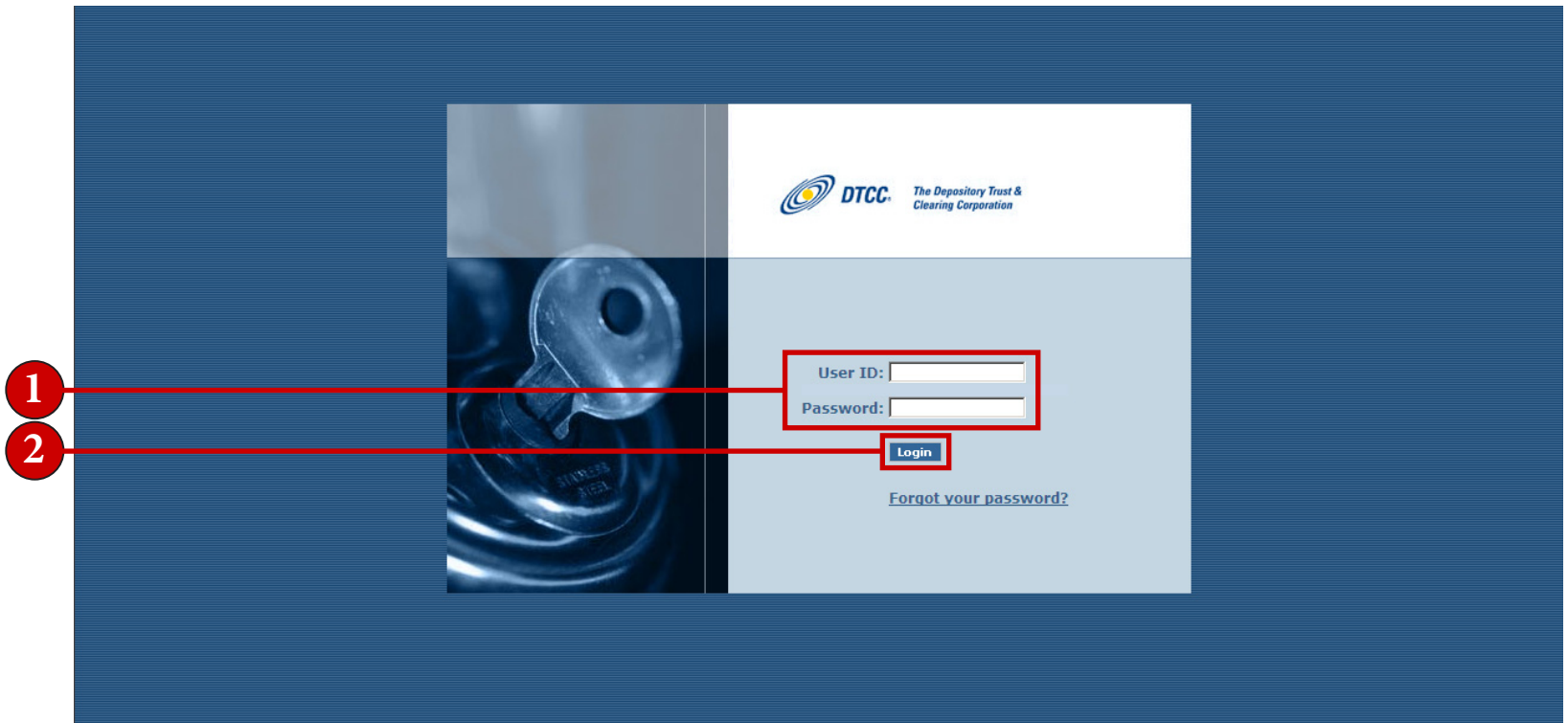
This guide will show you how to log in and use the Attachments AccessSM application. Attachments AccessSM allows users to input and exchange data via attachments with trading partners.

DTCC

Logging in

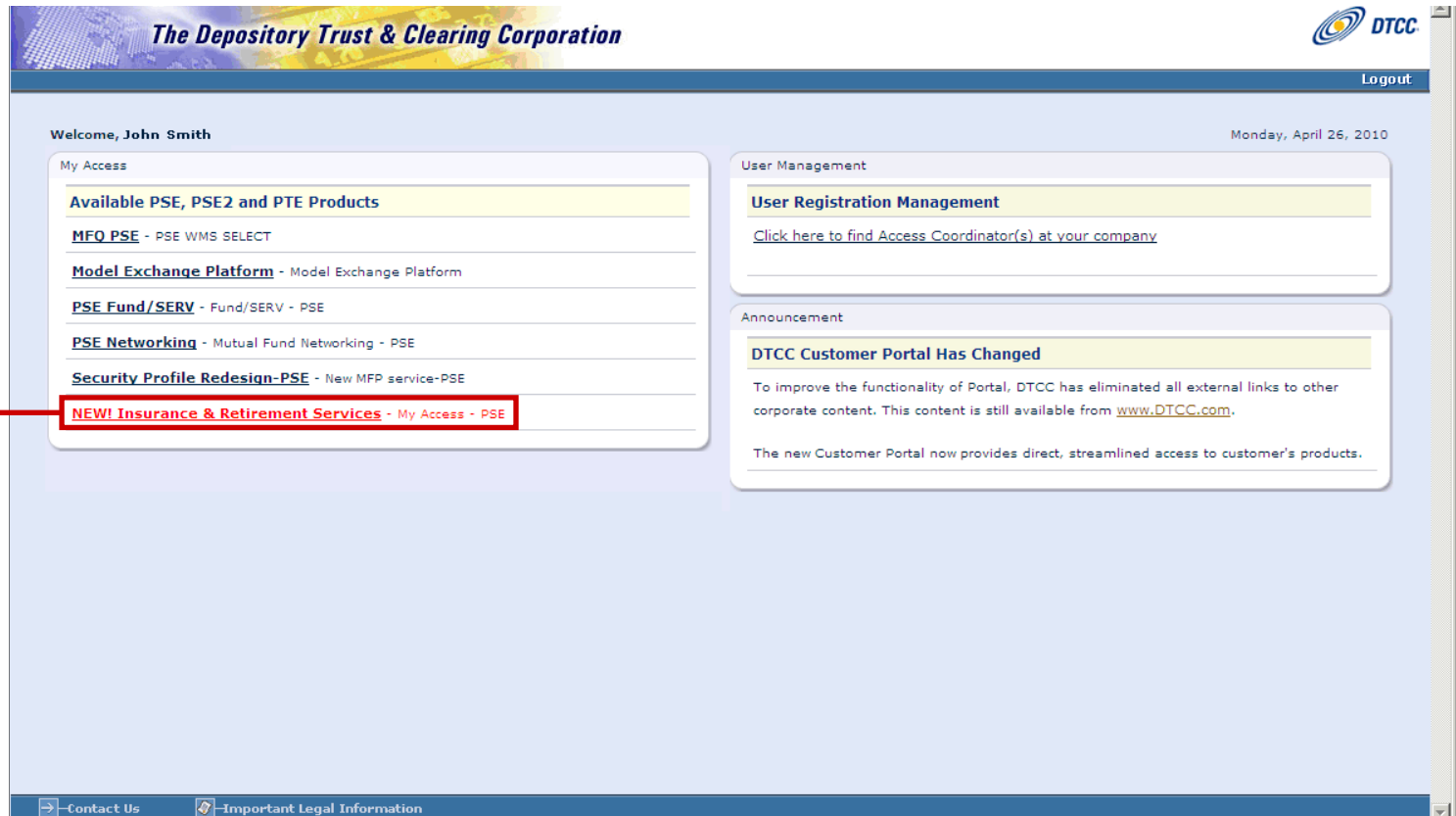
We will start by logging in to the DTCC Portal (located at <https://portal.dtcc.com/>).

1. Type in your **User ID** and **Password** in their corresponding fields.
2. Click **Login** to enter the system.



Entering Attachments Access via the DTCC Portal

1. Click **Insurance & Retirement Services** in the Production or PSE (Test) environment to enter the **My Access I&RS** portal.



Accessing Attachments Access

After clicking **Insurance & Retirement Services**, you will be brought to the **My Access I&RS** portal.

1. Click the **Attachments Access** icon to enter the **Attachments Access** application.

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My Access
Insurance & Retirement Services

Welcome, John Smith Contact Us | Feedback | DTCC Home

Attachments Access
Transmit scans or images documents securely.

Attachments Control Table
Manage trading relationship details for Attachments and Attachments Access.

CUSIP Profile
View, add, remove or edit details of CUSIPs.

DTCC Portal
Access non-insurance products and utilities.

Messaging Dashboard
View the status of web services messages and/or send test messages.

Customer News @dtcc

DTCC And Pacific Life Case Study Tells Story of Automation

DTCC Launches Innovative Analytics Reporting Service for Annuities

DTCC Hires First Deputy General Counsel

DTCC Broadens Outreach In Washington

New Agreement Extends Benefits of Analytic Reporting Service To RIIA Members

Access Products

LNA Access

IFT Access

Attachments Access

Links

Product Documentation

Register for a New Product

Access Coordinator Guides

Participant's Section

I&RS Home Page

Identification

The **Identification** screen appears.

1. Select the **DTCC Participant Number**.
2. Click **Continue**.

Note: *The Associated Firm ID is not required.*

Insurance & Retirement Services
Attachments AccessSM

Welcome to Attachments Access

Mar 26 2010 - 09:18 AM EDT

You are logged in as: John

Identification

Identify which DTCC Participant Number and Associated Firm ID you wish to use.
Associated Firm ID is optional and will be defaulted to your Participant Number if not entered. * - Required field

DTCC Participant Number * :

Associated Firm ID :

[Continue](#)

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Receiver Identification

The Receiver Identification screen will appear. This screen will have a list of receivers based on the trading relationships that have been set-up by receiving firms.

1. Select who will be receiving the attachment.
2. Click **Continue**.

Insurance & Retirement Services
Attachments AccessSM

Welcome to Attachments Access Mar 26 2010 - 09:21 AM EDT

You are logged in as: John Sender: 9983 Associated Firm ID: 9983

Choose Receiver
Select the receiving Participant Number. (Only receivers who have set up available trading relationships with you will be listed)

Select	Participant Name ▼	Participant Number ▢
<input type="radio"/>	IPS TEST CARRIER	5119
<input type="radio"/>	ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA	4523

Transaction Information

The Transaction Information screen appears. Required fields are indicated with a red asterisk (*) and **must** be filled out.

The screenshot shows the 'Insurance & Retirement Services Attachments Access' web application. The header includes a welcome message and the date 'Mar 26 2010 - 09:22 AM EDT'. Below the header, the user is logged in as 'John' with sender ID 9983 and receiver ID 5119. The main section is titled 'Transaction Information' and contains several sub-sections:

- Transaction Type:** A dropdown menu for 'Originating Transaction Type' is highlighted with a red box and a red circle with the number 1. The selected value is 'New Business Submission'.
- Overall Transaction Data:** This section contains several input fields:
 - 'Policy Number' is an empty text field.
 - 'CUSIP Number' is a text field containing '41014H324', highlighted with a red box and a red circle with the number 2. A 'CUSIP Lookup' button is next to it.
 - 'Document Control Type' is a dropdown menu with 'Select' chosen.
 - 'Document Control Number' is an empty text field.
 - 'Owner First Name' and 'Owner Last Name' are empty text fields.
 - 'Annuitant First Name' is an empty text field with a 'Same as Owner' button next to it.
 - 'Annuitant Last Name' is an empty text field.
 - 'Using IRI e-doc?' has radio buttons for 'No' (selected) and 'Yes'.
- Individual Attachment Data:** This section contains:
 - 'Form Name' and 'Provider Form Number' are empty text fields.
 - 'Attachment Type' is a dropdown menu with 'Document' selected, highlighted with a red box and a red circle with the number 3.
 - 'MIME Type' is a dropdown menu with 'PDF' selected, highlighted with a red box and a red circle with the number 4.
 - 'Attachment' is a text field containing 'C:\Documents and Settings\...', highlighted with a red box and a red circle with the number 5. A 'Browse...' button is next to it.
 - An 'Add' button is next to the 'Attachment' field.

At the bottom of the form, there are three buttons: 'Cancel', 'Go Back', and 'Continue'.

1. Select the **Originating Transaction Type**.

2. Insert the **CUSIP Number**. For a list of valid CUSIPs, click the square next to **CUSIP Lookup**. A popup will appear (see page 8). The CUSIP is only required for certain transaction types.

3. Select the **Attachment Type** and **MIME Type** of the file you wish to upload.

4. Click **Browse** to select the **PDF** or **TIFF** file you would like to attach (see page 9).

5. After selecting the file, click **Continue**. If you want to add another attachment, click **Add**.

After clicking **Continue**, the **Transaction Review** screen will then appear (page 10).

Standard Usage for New Business Submission

Transaction Type	
Originating Transaction Type	Select New Business Submission.

Overall Transaction Data	
Policy Number	Number of the policy, if applicable.
CUSIP Number	Select the appropriate CUSIP that applies to that product.
Document Control Type	If it is affiliated with an application, then the Order Entry Control Number should be selected. If it is a standalone attachment, then No Control Number should be selected.
Document Control Number	Use the Document Control Number in the attachments record (33/44). If the attachments record (33/44) is not being sent in the APP file then this field should be filled with the first occurrence of the Distributor Transaction ID.
Owner First Name, Last Name	If owner entity is natural (person), Owner First Name, Last Name should be filled. If owner entity is Non-Natural (ex, trust, corporation), Owner First Name, Last Name should be left blank.
Annuitant First Name, Last Name	This field should be filled with the name of the annuitant in the contract.
Using IRI (formerly NAVA) e-doc	Defaults to No. This field is intended for e-sign and will most likely be No for Attachments Access users.

Standard Usage for New Business Submission (continued)

Individual Attachment Data	
Form Name	If there is 1 attachment in the message that contains multiple forms then this field should be blank. If there are multiple attachments, each containing one specific document then this field can be filled with name of form.
Provider Form Number	If there is 1 attachment in the message that contains multiple forms then this field should be blank. If there are multiple attachments with each containing one specific document then this field can be filled with the form number.
Attachment Type	If there is 1 attachment (bundle docs), select Original Application. If there are separate forms then select what applies, Document, Comment/Note, Text, or Form.
Mime Type	Select appropriate item, TIF or PDF. This will be determined by Carrier setup in their Control Table.
Attachment	Upload of attachment. Only PDF or TIF documents will be allowed to be uploaded.

CUSIP List

The **CUSIP List** window appears after the **CUSIP Lookup** button is clicked on the **Transaction Information** screen.

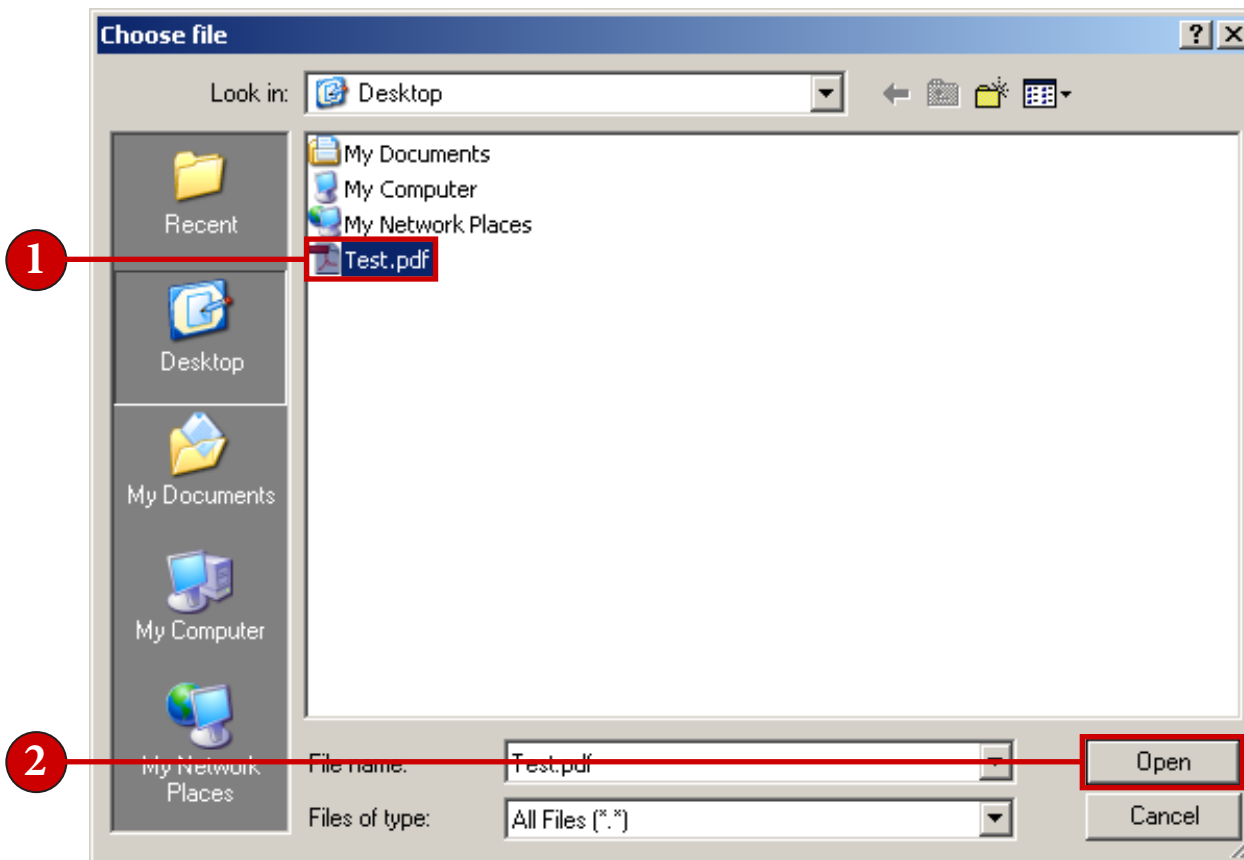
1. These are the descriptions of the CUSIPs. Click on any name to select it.
2. These are the CUSIP numbers.



Description ▲	CUSIP ▼
ANNUITY NOTE SERIES 2 VA	41014H324
ANNUITY NOTES VENTURE	41014H332
ANNUITY NT NAV	47804V126
GIFL VA	41014H647
GPA ELITE	47804V118
GPA II USA	41014H340
JH ELECT MVA	41014H159
JH LIBERTY MVA	41014H134
JH SIGNATURE MVA	41014H142
SCUDDER WEALTHMARK VAR ANNUITY	41014C218
SCUDDER WEALTHMARKML3 VAR ANNUITY	41014C234
VENTURE COMBO FIXED & VAR ANNUITY	41014C283
VENTURE FREEDOM	41014H738
VENTURE FREEDOM WITH FULL ACCESS	41014H720
VENTURE III	41014C325
VENTURE LIFE	41014C184

Select Attachment

1. Select the file you want to attach.
2. Click Open to confirm your selection.



Transaction Review

This is the **Transaction Review** screen. Here you can look over what you entered before you submit the transaction.

1. Click **Edit** if there is anything that needs to be changed.
2. Click **Submit** if all information is accurate.

Insurance & Retirement Services Attachments AccessSM

Welcome to Attachments Access Feb 2 2012 - 12:55 PM EST

You are logged in as: John Sender: 9983 Associated Firm ID: 9983 Receiver: 5119

Transaction Review

Please review the transaction data before submit.

Transaction Type

Originating Transaction Type* New Business Submission

Overall Transaction Data

Policy Number	
CUSIP Number	41014H324
Document Control Number	
Document Control Type	
Owner First Name	
Owner Last Name	
Annuitant First Name	
Annuitant Last Name	
Using NAVA e-doc?	No

Individual Attachment Data

Form Name	
Provider Form Number	
Attachment Type*	Document
MIME Type*	PDF
Attachment*	Test.pdf

1 **Edit** **2** **Submit**

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Transaction Confirmation

1. A confirmation number and message will display.
2. Click **Status** to get to the Messaging Dashboard to see real-time status of your transaction.
Please see the Messaging Dashboard User Guide.
3. Click **New Transaction** to go back to the **Identification** screen.
4. Click **Printable Version** to see a printable version of the transaction.

The screenshot shows the 'Insurance & Retirement Services Attachments Access' web application. The header includes the title and a 'Welcome to Attachments Access' message. Below the header, it shows the user is logged in as 'John' with sender and receiver IDs. The main content area is titled 'Transaction Confirmation' and includes a TransRefGUID: DTCC-IAT-ACCESS-0122-4513-2010-03-30-15-56-38-355062-T. A green message states 'Attachment Transaction Accepted'. At the bottom, there are three buttons: 'Status', 'New Transaction', and 'Printable Version'. Red numbered callouts (1-4) point to these elements: 1 points to the TransRefGUID, 2 points to the 'Status' button, 3 points to the 'New Transaction' button, and 4 points to the 'Printable Version' button.

1 

Insurance & Retirement Services Attachments Access SM	
Welcome to Attachments Access	Mar 30 2010 - 05:01 PM EDT
You are logged in as: John	
Transaction Details	
Transaction Reference Number: DTCC-IAT-ACCESS-9983-5119-2012-02-02-11-21-17-143599-T	
Transaction Information	
Sender Participant Number	9983
Sender Associated Firm ID	9983
Receiver Participant Number	5119
Overall Transaction Data	
Originating Transaction Type	New Business Submission
Policy Number	
CUSIP Number	41014H324
Owner First Name	
Owner Last Name	
Annuitant First Name	
Annuitant Last Name	
Individual Attachment Data	
Form Number	
Provider Form Number	
Document Control Name	
Document Control Type	
Attachment Type	Document
MIME Type	PDF
Attachment	Test.pdf
<small>© 2010 The Depository Trust & Clearing Corporation Privacy Policy DTCC.com Insurance & Retirement Services are provided by the National Securities Clearing Corporation, a DTCC subsidiary</small>	

Printable Version

This is a printable version of the transaction.

1. Click the **Print** icon to print the information displayed.

Accessing Attachments Control Table

In the **My Access I&RS** portal you can access the **Attachments Control Table**.

1. Click the **Attachments Control Table** icon to enter.

My Access
Insurance & Retirement Services

Welcome, John Smith Contact Us | Feedback | DTCC Home

Attachments Access
Transmit scans or images documents securely.

Attachments Control Table
Manage trading relationship details for Attachments and Attachments Access.

CUSIP Profile
View, add, remove or edit details of CUSIPs.

DTCC Portal
Access non-insurance products and utilities.

Messaging Dashboard
View the status of web services messages and/or send test messages.

Customer News @dtcc	Access Products	Links
DTCC And Pacific Life Case Study Tells Story of Automation	LNA Access	Product Documentation
DTCC Launches Innovative Analytics Reporting Service for Annuities	IFT Access	Register for a New Product
DTCC Hires First Deputy General Counsel	Attachments Access	Access Coordinator Guides
DTCC Broadens Outreach In Washington		Participant's Section
New Agreement Extends Benefits of Analytic Reporting Service To RIIA Members		IB&RS Home Page

View Relationships

The **Identification** screen appears. From this screen we can either **View Relationships** or edit the **Receiver Control Table**. We will first view relationships.

1. Type your **DTCC Participant Number**.
2. Click **View Relationships**.

Insurance Services Attachments

Welcome to Insurance Attachments Feb 13 2012 - 02:00 PM EST

You are logged in as: John

Identification
Identify which DTCC Participant Number you wish to use.

1 DTCC Participant Number

2 View Relationships Submit

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[View Relationships \(continued\)](#)

After clicking **View Relationships**, you will be brought to a page to view all your relationships by **Participant Number**, **Participant Name**, **Transaction Type**, and **MIME Type**.

- You can click the arrows to sort by either **Participant Number** or **Participant Name**.

3

Participant Number	Participant Name	Transaction Type	MIME Type
4513	JOHN HANCOCK LIFE INSURANCE COMPANY (U.S.A.)	103	PDF
4513	JOHN HANCOCK LIFE INSURANCE COMPANY (U.S.A.)	103	TIFF
4523	ALLIANZ LIFE INSURANCE COMPANY OF NORTH AMERICA	103	PDF
4592	PRINCIPAL LIFE INSURANCE COMPANY	103	PDF
4592	PRINCIPAL LIFE INSURANCE COMPANY	103	TIFF
9888	TEST 4 B2B	102	PDF
9888	TEST 4 B2B	103	PDF
9888	TEST 4 B2B	103	TIFF
9888	TEST 4 B2B	107	PDF
9888	TEST 4 B2B	107	TIFF
9888	TEST 4 B2B	1213	PDF
9888	TEST 4 B2B	1213	TIFF
9888	TEST 4 B2B	1235	TIFF
9888	TEST 4 B2B	129	PDF
9888	TEST 4 B2B	181	PDF
9888	TEST 4 B2B	181	TIFF
9888	TEST 4 B2B	182	PDF
9888	TEST 4 B2B	183	PDF
9888	TEST 4 B2B	183	TIFF
9888	TEST 4 B2B	186	TIFF
9888	TEST 4 B2B	410	PDF
9888	TEST 4 B2B	410	TIFF
9888	TEST 4 B2B	413	PDF
9888	TEST 4 B2B	413	TIFF
9888	TEST 4 B2B	508	TIFF

Continue

Receiver Control Table

Now we will cover editing the **Receiver Control Table**.

1. Type your **DTCC Participant Number**.
2. Click **Submit**.

After clicking **Submit**, the **Identification** screen for the sender appears so that you can identify the sender you wish to receive from.

3. Type the **Sender Participant Number**.
4. Click **Submit**.

The image displays two screenshots of the 'Insurance Services Attachments' web application interface. The left screenshot shows the 'Identification' screen with the instruction 'Identify which DTCC Participant Number you wish to use.' It features a text input field for the 'DTCC Participant Number' (labeled 1), a 'View Relationships' button (labeled 2), and a 'Submit' button (labeled 2). The right screenshot shows the 'Identification' screen with the instruction 'Identify sending DTCC Participant Number you wish to accept from.' It features a text input field for the 'Sender Participant Number' (labeled 3) and a 'Submit' button (labeled 4). Both screenshots include a header with the application name, a welcome message, and the user's login status ('You are logged in as: John').

View Relationships (continued)

After you submit the Sender Participant Number, the **Receiver Control Table** screen appears.

Above the table, you can view the **Receiver Participant Number** and the **Sender Participant Number**.

5. Scroll through the table and select the necessary **MIME** for each **Originating Transaction**.
6. Click **Submit**.

Insurance Services Attachments

Welcome to Insurance Attachments Feb 13 2012 - 02:06 PM EST

You are logged in as: John

Receiver Participant Number: 0122
Sender Participant Number: 9888

Originating Trans Type Code	Originating Trans Type Description	MIME
103	New Business / i.e. DTCC APP File	<input checked="" type="checkbox"/> PDF <input checked="" type="checkbox"/> TIFF
181	Address Change Request	<input checked="" type="checkbox"/> PDF <input checked="" type="checkbox"/> TIFF
410	Appointment Request	<input checked="" type="checkbox"/> PDF <input checked="" type="checkbox"/> TIFF
413	Appointment Termination	<input checked="" type="checkbox"/> PDF <input checked="" type="checkbox"/> TIFF
107	Arrangement Administration	<input type="checkbox"/> PDF <input type="checkbox"/> TIFF
183	Email Address Change Request	<input checked="" type="checkbox"/> PDF <input checked="" type="checkbox"/> TIFF

Submit

Attachments Accesssm Implementation Guide

ABOUT ATTACHMENTS ACCESSSM

Attachments Accesssm is a Web-based application that allows users to send scanned or imaged documents to counterparties electronically. Attachments Accesssm is complemented by another web application called the Messaging Dashboard, which is used to view the status of attachments messages. Used together, Attachments Accesssm and the Messaging Dashboard provide everything needed to send attachments and confirm status.

Attachments Accesssm and the Messaging Dashboard reside on DTCC WebDirect, also known as the DTCC Portal, which is a Web site that hosts all of DTCC's Web-based applications. DTCC WebDirect requires users to sign in with an ID and password. After logging on to DTCC WebDirect, users will see a list of applications they have access to. Users can open an application by clicking a link with the application name and will need a digital certificate or computer registration code that is provided during the setup process.

Note: *Attachments Accesssm is for senders only. Receivers of ACORD XML messages from Attachments Accesssm must have implemented the stand-alone Attachments product.*

WHAT WOULD YOU LIKE TO DO?

- [Register for Attachments Accesssm](#)
- [Establish Super Access Coordinators](#)
- [Establish Access Coordinators](#)
- [Establish Contact with Receiving Firms](#)

Attachments Accesssm Implementation Guide (continued)

REGISTER FOR ATTACHMENTS ACCESSSM

One person at your firm must register your company for Attachments Accesssm.

1. To register your firm, please click this link to the [Product Request Form](#) and choose the option *I am a current member of Insurance & Retirement Services*.
2. Complete the company profile with business contact, technical contact, and membership information. If your firm has multiple participant numbers, please repeat this entire step for each one.
3. Select Attachments Accesssm (not Attachments Processing) and submit the form.

After the form is submitted, it is sent to the Business and Technical Support (BATS) for processing. To inquire about the status of your form, please email IandRSActivations@dtcc.com.

ESTABLISH SUPER ACCESS COORDINATORS

You can set up two or more Super Access Coordinators (SAC) in the Customer Registration System (CRS) with entitlements for Attachments Accesssm and the Messaging Dashboard.

If SACs are not set-up at your firm, BATS will email the person who registered for Attachments Accesssm the *Super Access Coordinator Authorization Form*.

Complete the SAC authorization form by specifying two SACs. The form must be signed by a person who signed the Certificate of Incumbency (COI) during the process to become a member. The SAC form must be returned by mail but it can also be faxed to the number on the form to expedite the setup process.

Attachments Accesssm Implementation Guide (continued)

ESTABLISH ACCESS COORDINATORS

Once SACs are set up and have access to the CRS, they can set-up Access Coordinators (ACs) and/or Operators.

Role Definitions:

Super Access Coordinator (SAC)

Primarily administrative roles that can add, delete, or update Super Access Coordinators, Access Coordinators, and Operators. This role can also have Operator entitlements.

Access Coordinator (AC)

Generally an administrative role that can add, delete, or update Operators but this role can also have Operator entitlements.

Operators

A role that enables a user to access and transact information in applications. Operators do not have any administrative rights.

SAC User ID and Password

After submitting the forms in the previous step, the SACs will receive their user ID and password via e-mail to access DTCC WebDirect. For security reasons, this information may be delivered in separate e-mails.

SACs should go to the Web site listed in the e-mail instructions and enter the user ID and password. The temporary password must be changed to a permanent one. It must be 6-8 characters in length with at least four (4) letters and two (2) numbers. The SACs will also be prompted to accept a digital certificate or computer registration code.

Attachments Accesssm Implementation Guide (continued)

Logging In

Once the temporary password is changed, close all your browser windows and log in to DTCC WebDirect. You should see three products in the PSE and Production sections:

- CRS
- Attachments Accesssm
- Messaging Dashboard

If you do not see these three products in each environment, please contact IandRSActivations@dtcc.com. In the CRS, SACs can establish additional SACs, ACs, and/or Operators. A number of documents that explain how to set up these roles can be found in the CRS section of this [Web site](#).

After Operators are set up in CRS, they will receive their user ID, password, and digital certificate or computer registration code.

ESTABLISH CONTACT WITH RECEIVING FIRMS

Contact the firms that you would like to send messages to so they can enable your firm to send messages to them.

Firms *receiving* messages from Attachments Accesssm must set up for and accept *Attachments* messages. Receiving firms receive the full ACORD XML messages via Web services.

Attachments Accesssm Implementation Guide (continued)

If you don't have contact information for firms you would like to send messages to, please contact your DTCC Relationship Manager.

If you have the firm's contact information, please reach out to them to set up your firm on the Attachments receiver control table. Please provide them with your firm's participant number(s), the environment (test and/or production), the business transaction type you'd like to submit (New Business, etc.), and the attachment document format (PDF or TIFF).

Once they have enabled your firm with the information in the previous step, you can select that firm as the recipient in the Attachment Accesssm application.

With the DTCC and trading partner setup complete, you can begin sending Attachments Accesssm messages. To check the status of messages, please use the Messaging Dashboard, which is on DTCC WebDirect.