

XML SAMPLE

IFW BROKER DEALER OF RECORD (BDR) CHANGE

Custodial to Non-Custodial - Sample Message (with Sept 2000 requirement)

OCTOBER 21, 2020

```
<?xml version="1.0" encoding="UTF-8"?>
```

```
<ns3:PolicyAdministration_Msg xmlns:ns3="http://ACORD.org/Standards/Life/2"
xmlns:ns2="http://service.iwa.dtcc.com/">
```

```
<ns3:TXLife>
```

```
<ns3:TXLifeRequest id="ID_1" PrimaryObjectID="ID_HOLDING_2">
```

```
<ns3:TransRefGUID>0694c097-481d-4509-bc57-1b3b65378655-DTCC</ns3:TransRefGUID>
```

```
<ns3:TransType tc="1004900113">Policy Administration Transaction</ns3:TransType>
```

```
<ns3:TransSubType tc="11300">Policy Administration Transaction</ns3:TransSubType>
```

```
<ns3:TransExeDate>2020-09-04</ns3:TransExeDate>
```

```
<ns3:TransExeTime>13:06:19-04:00</ns3:TransExeTime>
```

```
<ns3:TransMode tc="2">Original request</ns3:TransMode>
```

```
<ns3:NoResponseOK tc="0">False</ns3:NoResponseOK>
```

```
<ns3:TestIndicator tc="0">False</ns3:TestIndicator>
```

```
<ns3:PrimaryObjectType tc="4">Holding</ns3:PrimaryObjectType>
```

```
<ns3:ChangeSubType id="ID_25" ChangeID="ID_ADDRESS_5">
```

```
<ns3:ChangeTC tc="30">Change Address</ns3:ChangeTC>
```

```
<ns3:TranContentCode tc="1">Insert</ns3:TranContentCode>
```

```
</ns3:ChangeSubType>
```

```
<ns3:ChangeSubType id="ID_26" ChangeID="ID_OWNER_6">
```

```
<ns3:ChangeTC tc="67">Owner Change</ns3:ChangeTC>
```

```
<ns3:TranContentCode tc="1">Insert</ns3:TranContentCode>
```

```
</ns3:ChangeSubType>
```

```
<ns3:ChangeSubType id="ID_27" ChangeID="ID_BENE_12">
```

```
<ns3:ChangeTC tc="74">Change Policy Beneficiary Percentage</ns3:ChangeTC>
```

XML SAMPLE

```
<ns3:TranContentCode tc="1">Insert</ns3:TranContentCode>
</ns3:ChangeSubType>
<ns3:ChangeSubType id="ID_28" ChangeID="ID_BENE_12">
  <ns3:ChangeTC tc="66">Change Policy Beneficiary</ns3:ChangeTC>
  <ns3:TranContentCode tc="1">Insert</ns3:TranContentCode>
</ns3:ChangeSubType>
<ns3:ChangeSubType id="ID_29" ChangeID="ID_AGENT_15">
  <ns3:ChangeTC tc="27">Change Producer Information</ns3:ChangeTC>
  <ns3:TranContentCode tc="1">Insert</ns3:TranContentCode>
</ns3:ChangeSubType>
<ns3:ChangeSubType id="ID_30" ChangeID="ID_AGENT_17">
  <ns3:ChangeTC tc="27">Change Producer Information</ns3:ChangeTC>
  <ns3:TranContentCode tc="1">Insert</ns3:TranContentCode>
</ns3:ChangeSubType>
<ns3:ChangeSubType id="ID_31" ChangeID="ID_19">
  <ns3:ChangeTC tc="1004900077">Change of Financial Institution (BDofRC)</ns3:ChangeTC>
  <ns3:TranContentCode tc="1">Insert</ns3:TranContentCode>
</ns3:ChangeSubType>
<ns3:OLifE>
  <ns3:Holding id="ID_HOLDING_2">
    <ns3:HoldingTypeCode tc="2">Policy</ns3:HoldingTypeCode>
    <ns3:DistributorClientAcctNum>BIN1</ns3:DistributorClientAcctNum>
    <ns3:Policy CarrierPartyID="ID_22">
      <ns3:PolNumber>Contact1</ns3:PolNumber>
    </ns3:Policy>
  <ns3:Arrangement id="ID_POLICY_4">
    <ns3:ReferenceNo>3</ns3:ReferenceNo>
```

XML SAMPLE

```
<ns3:ArrType tc="38">Systematic Withdrawal</ns3:ArrType>

<ns3:OLifEEExtension>

  <ns3:ContinueArrangementInd tc="0">False</ns3:ContinueArrangementInd>

</ns3:OLifEEExtension>

</ns3:Arrangement>

</ns3:Holding>

<ns3:Party id="ID_OWNER_6">

  <ns3:PartyTypeCode tc="1">Person</ns3:PartyTypeCode>

  <ns3:Person>

    <ns3:FirstName>Robert</ns3:FirstName>

    <ns3:LastName>****</ns3:LastName>

  </ns3:Person>

  <ns3:Address id="ID_ADDRESS_5">

    <ns3:AddressTypeCode tc="1">Residence</ns3:AddressTypeCode>

    <ns3:Line1>****</ns3:Line1>

    <ns3:City>****</ns3:City>

    <ns3:AddressStateTC tc="6">California</ns3:AddressStateTC>

    <ns3:Zip>****</ns3:Zip>

    <ns3:AddressCountryTC tc="1">USA</ns3:AddressCountryTC>

  </ns3:Address>

  <ns3:GovtIDInfo>

    <ns3:GovtID>*****1111</ns3:GovtID>

    <ns3:GovtIDTC tc="1">Social Security Number</ns3:GovtIDTC>

  </ns3:GovtIDInfo>

</ns3:Party>

<ns3:Party id="ID_ANNUITANT_7">

  <ns3:PartyTypeCode tc="1">Person</ns3:PartyTypeCode>
```

XML SAMPLE

```
<ns3:Person>
  <ns3:FirstName>Robert</ns3:FirstName>
  <ns3:LastName>****</ns3:LastName>
</ns3:Person>
<ns3:GovtIDInfo>
  <ns3:GovtID>*****1111</ns3:GovtID>
  <ns3:GovtIDTC tc="1">Social Security Number</ns3:GovtIDTC>
</ns3:GovtIDInfo>
</ns3:Party>
<ns3:Party id="ID_BENE_12">
  <ns3:PartyTypeCode tc="1">Person</ns3:PartyTypeCode>
  <ns3:Person>
    <ns3:FirstName>Steve</ns3:FirstName>
    <ns3:LastName>****</ns3:LastName>
  </ns3:Person>
  <ns3:GovtIDInfo>
    <ns3:GovtID>*****2222</ns3:GovtID>
    <ns3:GovtIDTC tc="1">Social Security Number</ns3:GovtIDTC>
  </ns3:GovtIDInfo>
</ns3:Party>
<ns3:Party id="ID_AGENT_15">
  <ns3:PartyTypeCode tc="1">Person</ns3:PartyTypeCode>
  <ns3:Person>
    <ns3:FirstName>Greg</ns3:FirstName>
    <ns3:LastName>****</ns3:LastName>
  </ns3:Person>
  <ns3:Producer>
```

XML SAMPLE

```
<ns3:CRDNumber>CRD1</ns3:CRDNumber>

</ns3:Producer>

<ns3:GovtIDInfo>

  <ns3:GovtID>*****3333</ns3:GovtID>

  <ns3:GovtIDTC tc="1">Social Security Number</ns3:GovtIDTC>

</ns3:GovtIDInfo>

</ns3:Party>

<ns3:Party id="ID_AGENT_17">

  <ns3:PartyTypeCode tc="1">Person</ns3:PartyTypeCode>

  <ns3:Person>

    <ns3:FirstName>Phillip</ns3:FirstName>

    <ns3:LastName>****</ns3:LastName>

  </ns3:Person>

  <ns3:Producer>

    <ns3:CRDNumber>CRD2</ns3:CRDNumber>

  </ns3:Producer>

  <ns3:GovtIDInfo>

    <ns3:GovtID>*****4444</ns3:GovtID>

    <ns3:GovtIDTC tc="1">Social Security Number</ns3:GovtIDTC>

  </ns3:GovtIDInfo>

</ns3:Party>

<ns3:Party id="ID_19">

  <ns3:PartyTypeCode tc="2">Organization</ns3:PartyTypeCode>

  <ns3:FullName>Distributor</ns3:FullName>

  <ns3:Organization>

    <ns3:OrgForm tc="23">Corporation</ns3:OrgForm>

    <ns3:DTCCMemberCode>0122</ns3:DTCCMemberCode>
```

XML SAMPLE

```
</ns3:Organization>

</ns3:Party>

<ns3:Party id="ID_22">

  <ns3:PartyTypeCode tc="2">Organization</ns3:PartyTypeCode>

  <ns3:FullName>Carrier</ns3:FullName>

  <ns3:Organization>

    <ns3:OrgForm tc="23">Corporation</ns3:OrgForm>

    <ns3:DTCCMemberCode>5119</ns3:DTCCMemberCode>

  </ns3:Organization>

</ns3:Party>

<ns3:Relation id="ID_9" OriginatingObjectID="ID_HOLDING_2" RelatedObjectID="ID_ANNUITANT_7">

  <ns3:OriginatingObjectType tc="4">Holding</ns3:OriginatingObjectType>

  <ns3:RelatedObjectType tc="6">Party</ns3:RelatedObjectType>

  <ns3:RelationRoleCode tc="35">Annuitant</ns3:RelationRoleCode>

</ns3:Relation>

<ns3:Relation id="ID_11" OriginatingObjectID="ID_HOLDING_2" RelatedObjectID="ID_OWNER_6">

  <ns3:OriginatingObjectType tc="4">Holding</ns3:OriginatingObjectType>

  <ns3:RelatedObjectType tc="6">Party</ns3:RelatedObjectType>

  <ns3:RelationRoleCode tc="8">Owner</ns3:RelationRoleCode>

</ns3:Relation>

<ns3:Relation id="ID_14" OriginatingObjectID="ID_HOLDING_2" RelatedObjectID="ID_BENE_12">

  <ns3:OriginatingObjectType tc="4">Holding</ns3:OriginatingObjectType>

  <ns3:RelatedObjectType tc="6">Party</ns3:RelatedObjectType>

  <ns3:RelationRoleCode tc="34">Primary Beneficiary</ns3:RelationRoleCode>

  <ns3:InterestPercent>100</ns3:InterestPercent>

  <ns3:IrrevokableInd tc="0">False</ns3:IrrevokableInd>

</ns3:Relation>
```

XML SAMPLE

```
<ns3:Relation id="ID_16" OriginatingObjectID="ID_HOLDING_2" RelatedObjectID="ID_AGENT_15">
  <ns3:OriginatingObjectType tc="4">Holding</ns3:OriginatingObjectType>
  <ns3:RelatedObjectType tc="6">Party</ns3:RelatedObjectType>
  <ns3:RelationRoleCode tc="37">Primary Agent</ns3:RelationRoleCode>
  <ns3:InterestPercent>50</ns3:InterestPercent>
</ns3:Relation>

<ns3:Relation id="ID_18" OriginatingObjectID="ID_HOLDING_2" RelatedObjectID="ID_AGENT_17">
  <ns3:OriginatingObjectType tc="4">Holding</ns3:OriginatingObjectType>
  <ns3:RelatedObjectType tc="6">Party</ns3:RelatedObjectType>
  <ns3:RelationRoleCode tc="11">Agent</ns3:RelationRoleCode>
  <ns3:InterestPercent>50</ns3:InterestPercent>
</ns3:Relation>

<ns3:Relation id="ID_21" OriginatingObjectID="ID_HOLDING_2" RelatedObjectID="ID_19">
  <ns3:OriginatingObjectType tc="4">Holding</ns3:OriginatingObjectType>
  <ns3:RelatedObjectType tc="6">Party</ns3:RelatedObjectType>
  <ns3:RelationRoleCode tc="83">Broker-Dealer</ns3:RelationRoleCode>
</ns3:Relation>

<ns3:Relation id="ID_24" OriginatingObjectID="ID_HOLDING_2" RelatedObjectID="ID_22">
  <ns3:OriginatingObjectType tc="4">Holding</ns3:OriginatingObjectType>
  <ns3:RelatedObjectType tc="6">Party</ns3:RelatedObjectType>
  <ns3:RelationRoleCode tc="87">Carrier</ns3:RelationRoleCode>
</ns3:Relation>
</ns3:OLifE>
</ns3:TXLifeRequest>
</ns3:TXLife>
</ns3:PolicyAdministration_Msg>
```

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