NIC Attribute	DTCC Field Name and Number	NIC Usage	Notes	Allianz Fixed DTCC feed		
HEADER RECORD				EIA(84397)	FIX(647)	Notes
Submitting Header - C10						
Carrier Code	Submitting Participant Number - 0001	Required		100%	100%	
Contra Record - C12						
Distributor Code	Associated Firm ID	Required		100%	100%	
POLICY LEVEL RECORDS						
Contract Record - C1301						
Policy Number	Contract Number - 3020	Required		100%	100%	
Policy Status	Contract Status - 3022	Required		100%	100%	
Product Type	Product Type Code - 3025	Required		100%	100%	
Issue State	Contract State - 3027	Required		100%	100%	
Term Duration	Life Term Duration - 3035	Conditionally Required		N/A	N/A	
Contract Valuation Record - 1302						
Face Amount	Contract Value Amount - 3101 and Contract Value Qualifier - 3102	Required	Set qualifier to 'OE'.	0%	0%	
Gross Death Benefit	Contract Value Amount - 3101 and Contract Value Qualifier - 3102	Conditionally Required	Set qualifier to 'GD'. Required when 'OE' is not present.	100%	100%	
Net Death Benefit	Contract Value Amount - 3101 and Contract Value Qualifier - 3102	Required	Set qualifier to 'DE'	0%	0%	
Cash Value	Contract Value Amount - 3101 and Contract Value Qualifier - 3102	Conditionally Required	Set qualifier to 'CR'. Expected on all policies with cash value.	100%	100%	
Net Surrender Value	Contract Value Amount - 3101 and Contract Value Qualifier - 3102	Conditionally Required	Set qualifier to 'SU'. Expected on all policies with cash value.	100%	100%	
Surrender Charge Amount	Contract Value Amount - 3101 and Contract Value Qualifier - 3102	Conditionally Recommended	Set qualifier to 'SC'.	0%	0%	
Gross Premium Since Inception	Contract Value Amount - 3101 and Contract Value Qualifier - 3102	Required	Set qualifier to 'TP'. Note this atribute can also be sent in the Contract Events record as well.	100%	100%	
Gross Withdrawals Since Issue	Contract Value Amount - 3101 and Contract Value Qualifier - 3102	Conditionally Recommended	Set qualifier to 'TW'. Note this atribute can also be sent in the Contract Events record as well.	100%	100%	
Loan Amount	Contract Value Amount - 3101 and Contract Value Qualifier - 3102	Conditionally Recommended	Set qualifier to 'LA'.	0%	0%	
Actuarial Present Value	Contract Value Amount - 3101 and Contract Value Qualifier - 3102	Recommended	Set qualifier to 'AV'.	100%	100%	
Original Investment Value	Contract Value Amount - 3101 and Contract Value Qualifier - 3102	Recommended	Set qualifier to 'OT'.	100%	100%	
Protected Payment Base Amount	Contract Value Amount - 3101 and Contract Value Qualifier - 3102	Recommended	Set qualifier to 'PPB'.	50%	0%	
Required Minimum Distribution Basis Value	Contract Value Amount - 3101 and Contract Value Qualifier - 3102	Recommended	Set qualifier to 'RM'.	100%	100%	
Year End Value	Contract Value Amount - 3101 and Contract Value Qualifier - 3102	Recommended	Set qualifier to 'YE'.	100%	100%	
Policy YTD Premium (for Life Values)	Contract Value Amount - 3101 and Contract Value Qualifier - 3102	Recommended	Set qualifier to 'YD'	0%	0%	
Current Protected Payment Base Amount - Non-Declining	Contract Value Amount - 3101 and Contract Value Qualifier - 3102	Recommended	Set qualifier to 'WPN'	0%	0%	
Current Protected Payment Amount - Lifetime	Contract Value Amount - 3101 and Contract Value Qualifier - 3102	Recommended	Set qualifier to 'WAL'	0%	0%	
Post-TEFRA Cost	Contract Value Amount - 3101 and Contract Value Qualifier - 3102	Recommended	Set qualifier to 'VO'	0%	0%	
Total Annual Protected Payment Amount	Contract Value Amount - 3101 and Contract Value Qualifier - 3102	Recommended	Set qualifier to 'TAP'	0%	0%	
Total Annual Protected Payment Amount - Lifetime	Contract Value Amount - 3101 and Contract Value Qualifier - 3102	Recommended	Set qualifier to 'TAL'	0%	0%	
Remaining Protected Balance - Current Benefit Year	Contract Value Amount - 3101 and Contract Value Qualifier - 3102	Recommended	Set qualifier to 'RPC'	0%	0%	
Remaining Protected Balance - Lifetime of Rider	Contract Value Amount - 3101 and Contract Value Qualifier - 3102	Recommended	Set qualifier to 'RPB'	0%	0%	
Protected Payment Amount	Contract Value Amount - 3101 and Contract Value Qualifier - 3102	Recommended	Set qualifier to 'PPA'	0%	0%	
Income Value	Contract Value Amount - 3101 and Contract Value Qualifier - 3102	Recommended	Set qualifier to 'NV'	0%	0%	
Guaranteed Value	Contract Value Amount - 3101 and Contract Value Qualifier - 3102	Recommended	Set qualifier to 'GV'	0%	0%	
Guaranteed Death Benefit	Contract Value Amount - 3101 and Contract Value Qualifier - 3102	Recommended	Set qualifier to 'GDB'	0%	0%	
Cost Basis	Contract Value Amount - 3101 and Contract Value Qualifier - 3102	Recommended	Set qualifier to 'CB'	0%	0%	
Contract Dates Record - 1306						
Issue Effective Date	Contract Date - 3401 with Contract Date Qualifier - 3402	Required	Set qualifier to '092'.	100%	100%	** 092 only excluded on PD (paid) status FIX policies.
Renewal Date	Contract Date - 3401 with Contract Date Qualifier - 3402	Conditionally Recommended	Set qualifier to '603'. DTCC has said this applies to Fixed Annuities only. Several Carriers are sending this for Term which we expected; but, also for WL and UL as well. We are seeking clarification.	0%	0%	
Conversion Expiration Date	Contract Date - 3401 with Contract Date Qualifier - 3402	Conditionally Required	Set qualifier to '095'.	N/A	N/A	
Lapsed Date	Contract Date - 3401 with Contract Date Qualifier - 3402	Conditionally Required	Set qualifier to '963'.	0%	0%	
Grace Period Start Date	Contract Date - 3401 with Contract Date Qualifier - 3402	Recommended	Set qualifier to '966'.	0%	0%	
Grace Period End Date	Contract Date - 3401 with Contract Date Qualifier - 3402	Recommended	Set qualifier to '967'.	0%	0%	
Surrender Charge Expiration Date	Contract Date - 3401 with Contract Date Qualifier - 3402	Conditionally Recommended	Set qualifier to '280'.	92%	86%	
Termination Date	Contract Date - 3401 with Contract Date Qualifier - 3402	Conditionally Recommended	Set qualifier to '396'.	1%	1%	Sent on contracts with the following Status (AN,DE,NT,VA,DE)
Recieved Date	Contract Date - 3401 with Contract Date Qualifier - 3402	Recommended	Set qualifier to '050'.	100%	100%	
Expiration Date	Contract Date - 3401 with Contract Date Qualifier - 3402	Recommended	Set qualifier to '093'	0%	0%	
Maturity Date	Contract Date - 3401 with Contract Date Qualifier - 3402	Recommended	Set qualifier to '917'.	99%	100%	
First Payout Date	Contract Date - 3401 with Contract Date Qualifier - 3402	Recommended	Set qualifier to '965'.	0%	0%	
Surrender Date	Contract Date - 3401 with Contract Date Qualifier - 3402	Recommended	Set qualifier to '279'	100%	100%	Sent on all contracts Surrendered "SU" status.

Field	Mapping	Requirement	Description	%	%	Notes
Contract Events Record - 1307						
Modal Premium Frequency	Event Period Type Where Event Type Code = 'MP'	Required	Sending modal premium information using Event Period Type = 'P3' is also acceptable.	26%	99%	Majority of these are a EL
Modal Premium Amount	Event Total Amount Where Event Type Code = 'MP'	Required		26%	99%	
Next Modal Premium Due Date	Next Event Date Where Event Type Code = 'MP'	Recommended		0%	0%	
Gross Premium Since Inception	Event Total Amount Where Event Period Type = 'ID' and Event Type Code = 'P3'.	Required	Note this attribute can also be sent in the Contract Valuation Record using a Qualifier of 'TP'.	0%	0%	*** TP is sent for all on C1302 - Valuation record
Gross Withdrawals Since Inception	Event Total Amount Where Event Period Type = 'ID' and Event Type Code = 'XE'.	Conditionally Recommended		0%	0%	
Contract Service Feature Record - C1315 (For Rider Information)						
Rider Indicator	Service Feature Program Type - 3614	Recommended	If applicable, please send all riders. (Program Type = 'R')	50%	0%	
Rider Type	Service Feature Type - 3611	Recommended		100%	0%	
Rider Sub-Type	Service Feature Sub-Type - 3612	Recommended		100%	0%	
Rider Value	Service Feature Value - 3603 with Service Feature Value Qualifier - 3613	Recommended	Added to mapping on 11/5/19. Value is coming in on ALZ Annuity records. We have a spot for it in NIC.	45%	0%	
Contract Underlying Assets - C1303						
CUSIP / Fund ID	CUSIP/Fund ID/Sub Fund ID - 3111	Recommended		100%	100%	** All C1303 fields semt 100% for contract with 'Active' - VA status.
Fund Value	Fund Value - 3112	Required		100%	100%	
Fund Units	Fund Units - 3115	Conditionally Required		100%	100%	
Fund Name	Fund Underlying Security Name - 3117	Required		100%	100%	
Fund Type	Fund Underlying Security Type - 3118	Required		100%	100%	
Standing Allocation Information	Standing Allocation Indicator - 3122 and Standing Allocation Percentage - 3123	Recommended		0%	0%	
Contract Band Guaranteed Loop - C1304						
CUSIP / Fund ID	CUSIP/Fund ID/Sub Fund ID - 3111	Recommended		100%	100%	
Start Date	Deposit/Guaranteed Start Date - 3151	Recommended		100%	0%	
End Date	Deposit/Guaranteed End Date - 3152	Recommended		100%	0%	
Maturity Date	Deposit/Guaranteed Maturity Date - 3153	Recommended		0%	0%	
Current Rate	Deposit/Guraranteed Rate - 3154	Conditionally Required	Set Deposit/Guaranteed Rate Type to 'CR' (Current Rate) Where Fund Underlying Security Type = 'FIX'.	100%	100%	
Cap Rate	Deposit/Guaranteed Rate - 3154	Conditionally Recommended	Set Deposit/Guaranteed Rate Type to 'CA' (Cap Rate) Where Fund Underlying Security Type = 'IDX'.	63%	na	
Guaranteed Rate	Deposit/Guraranteed Rate - 3154	Conditionally Recommended	Set Deposit/Guaranteed Rate Type to 'G' (Guaranteed Minimum) Where Fund Underlying Security Type = 'FIX' or 'IDX'.	100%	0%	
Participation Rate	Deposit/Guraranteed Rate - 3154	Conditionally Recommended	Set Deposit/Guaranteed Rate Type to 'PN' (Participation Upside) Where Fund Underlying Security Type = 'IDX'.	100%	na	
Margin Rate or Spread Rate	Deposit/Guraranteed Rate - 3154	Conditionally Recommended	Set Deposit/Guaranteed Rate Type to 'MG' (Margin) Where Fund Underlying Security Type = 'IDX'.	50%	na	
Index Rate Lock	Deposit/Guraranteed Rate - 3154	Conditionally Recommended	Set Deposit/Guaranteed Rate Type to 'IL' (Margin)	1%	na	
Starting Index Value	Index Option Base Value - 3162	Conditionally Recommended	Where Fund Underlying Security Type = 'IDX'.	20%	0%	
Current Index Value	Daily Tracking Value - 3317	Conditionally Recommended	Where Fund Underlying Security Type = 'IDX'.	20%	0%	
AGENT PARTIES						
Contract Agent Record						
Agent Role Code	Agent Role - 3303	Required		100%	100%	
Naming Convention Code	Agent Natural/Non-Natural Name Indicator - 3312	Required	N - Natural / X - Non-Natural	100%	100%	
Full Name	Agent Non-Natural Name - 3311	Conditionally Required	When Agent Natural/Non-Natural Name Indicator = X	100%	100%	
First Name	Agent First Name - 3306	Conditionally Required	When Agent Natural/Non-Natural Name Indicator = N	100%	100%	
Middle Name	Agent Middle Name - 3307	Conditionally Recommended	When Agent Natural/Non-Natural Name Indicator = N	90%	90%	
Last Name	Agent Last Name - 3305	Conditionally Required	When Agent Natural/Non-Natural Name Indicator = N	100%	100%	
Tax ID Type	Agent Tax I.D. Qualifier - 3302	Required	34 - Social Security Number and FI - Federal Taxpayers Identification Number.	0%	0%	
Tax ID	Agent Tax I.D. - 3301	Required	This is currently required; however, the agent SSN is being removed in September of 2020.	0%	0%	
NIPR Number	National Producer Number - 3313	Conditionally Required	In preparation for the removal of agent SSN in September 2020, we are asking for either the NIPR or CRD number on all individual agents.	99%	99%	
CRD Number	CRD Number - 3315	Conditionally Required		76%	76%	
Carrier Assigned Agent ID	Carrier Assigned Agent ID - 3316	Required		0%	0%	
NIC currently displays the primary and joint insureds and owners as well as the primary beneficiary. Please send any other party roles present in your feed.						
INSURED PARTIES						
Contract Party Record						
Insured Party Role	Party Role - 3808	Required	PI - Insured, JI - Joint Insured. Note OK may be used when the Owner and Insured are the same.	100%	100%	
Insured Party Type	Contract Party Role Qualifier - 3816	Required	Should be 1 - Person for Insured Parties.	100%	100%	
Naming Convention Code	Party Natural/Non-Natural Entity Name Indicator - 3815	Required	Should be N - Natural for Insured Parties.	100%	100%	
First Name	Party First Name - 3804	Required		100%	100%	
Middle Name	Party Middle Name - 3805	Recommended		75%	75%	Averaged across products.
Last Name	Party Last Name - 3803	Required		100%	100%	
Gender	Party Gender- 3819	Required		100%	100%	
Date of Birth	Party Date of Birth - 3811	Required		100%	100%	

OWNER PARTIES						
NIC requires at least one owner to load a given policy.						
Contract Party Record						
Owner Party Role	Party Role - 3808	Required	HA - Owner and JV - Joint Owner. Note OK may be used when the Owner and Insured are the same.	100%	100%	
Owner Party Type	Contract Party Role Qualifier - 3816	Required		100%	100%	
Naming Convention Code	Party Natural/Non-Natural Entity Name Indicator - 3815	Required	N - Natural X - Non-Natural	100%	100%	
Tax ID Type	Party ID Qualifier - 3810	Required	34 - Social Security Number and FI - Federal Taxpayers Identification Number.	100%	100%	
Tax ID	Party ID - 3809	Required		100%	100%	
Full Name	Party Non-Natural Entity Name - 3812	Conditionally Required	When Party Natural/Non-Natural Entity Name Indicator = X	100%	100%	
First Name	Party First Name - 3804	Conditionally Required	When Party Natural/Non-Natural Entity Name Indicator = N	100%	100%	
Middle Name	Party Middle Name - 3805	Conditionally Recommended	When Party Natural/Non-Natural Entity Name Indicator = N	75%	75%	
Last Name	Party Last Name - 3803	Conditionally Required	When Party Natural/Non-Natural Entity Name Indicator = N	100%	100%	
Contract Address Record						
Address Line 1	Party Address Line 1 - 3850	Required		100%	100%	
Address Line 2	Party Address Line 2 - 3851	Optional		100%	100%	
Address Line 3	Party Address Line 3 - 3856	Optional		0%	0%	
Address Line 4	Party Address Line 4 - 3857	Optional		0%	0%	
Address Line 5	Party Address Line 5 - 3858	Optional		0%	0%	
City	Party City - 3855	Required		100%	100%	
Address State Code	Party State - 3852	Required		100%	100%	
Zip Code	Party Postal Code - 3853	Required		100%	100%	
Contract Communication Record						
Phone Number Type	Contract Telephone # Type - 4001	Recommended		0%	0%	
Phone Number	Contract Entity Telephone Number - 4002	Recommended		0%	0%	
Phone Extension	Contract Entity Telephone Extension - 4003	Recommended		0%	0%	
Email Type	Contract Entity E-mail Address Qualifier - 4005	Recommended		0%	0%	
Email Address	Contract Entity E-mail Address- 4004	Recommended		0%	0%	
BENEFICIARY PARTIES						
Contract Party Record						
Beneficiary Party Role	Party Role - 3808	Required	BE - Primary Beneficiary and G5 - Contingent Beneficiary	100%	100%	
Beneficiary Party Type	Contract Party Role Qualifier - 3816	Required		100%	100%	
Naming Convention Code	Party Natural/Non-Natural Entity Name Indicator - 3815	Required	N - Natural X - Non-Natural	100%	100%	
Full Name	Party Non-Natural Entity Name - 3812	Conditionally Required	When Party Natural/Non-Natural Entity Name Indicator = X	100%	100%	
First Name	Party First Name - 3804	Conditionally Required	When Party Natural/Non-Natural Entity Name Indicator = N	100%	100%	
Middle Name	Party Middle Name - 3805	Conditionally Recommended	When Party Natural/Non-Natural Entity Name Indicator = N	50%	50%	Averaged across all products.
Last Name	Party Last Name - 3803	Conditionally Required	When Party Natural/Non-Natural Entity Name Indicator = N	100%	100%	
Beneficiary Amount Type	Beneficiary Amount Qualifier - 3812	Recommended		0%	0%	
Beneficiary Option	Beneficiary Distribution Option - 3823	Recommended		0%	0%	
Beneficiary Amount	Beneficiary Amount Quantity - 3821	Recommended		0%	0%	
Beneficiary Percent	Beneficiary Quantity Percent - 3822	Recommended		0%	0%	