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## Introduction

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SmartLink for Generic Inforce Policies imports policy data. Instead of dedicating a support person to enter month-old information from duplicate statements, an Internet connection can now be used to receive the latest data, dramatically improving client service with current policy information. SmartLink for Generic Inforce Policies takes care of 75-95% of the day-to-day data entry and updating requirements that drain the resources of most offices.

## Requirements

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- Internet Explorer version 6.0 or 7.0
- Add the following URLs as trusted sites:
  1. Select **Internet Options** from the expanded **Tools** menu.
  2. Click the **Security** tab.
  3. With the **Trusted Sites** zone icon selected, click the **Sites** button.
  4. Add *https://\*.ez-data.com* to the list of trusted sites.
  5. Add *\*.ez-data.com* to the list of trusted sites.

**Note:** Temporarily disable the **Require Server Verification (https) for All Sites in this Zone** option to add *\*.ez-data.com* to the list of trusted sites.

6. Click the **Close** button to exit the Trusted Sites dialog box.
7. With the **Trusted Sites** zone icon still selected, click the **Custom Level** button.
8. Select **Low** in the Reset To drop-down list.
9. Click the **Reset** button.
10. Click the **OK** button when prompted with the warning message.

The following configuration is required for Internet Explorer:

### ActiveX controls and plug-ins

- Download signed ActiveX Controls: **Enable**
- Download unsigned ActiveX controls: **Prompt**
- Automatic prompting for ActiveX controls: **Enable**
- Initialize and script ActiveX controls not marked as safe: **Enable**

### Miscellaneous

- Access data sources across domains: **Enable**
- Web sites in less privileged Web content zone can navigate into this zone: **Enable**

11. Click the **OK** button.
  12. Click the **OK** button to exit the Internet Options dialog box.
- Pop-up Blockers must be turned off.

Users running SmartLink for Generic Inforce Policies must have rights to the following:

- DataXchange Online License
- View and modify contact records
- View and modify policy records
- On-Access Validation enabled

**Caution:** If the user does not have the appropriate rights, it can result in duplicate records.

## Setting Up

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Prior to downloading your book of business from the Inforce Policy System, make sure to set up your computer and SmartOffice.

### Minimum Data Requirements

If any of the following records are already created in SmartOffice, make sure to enter the required information noted below. Otherwise, SmartLink for Generic Inforce Policies will not be able to find the matching record and will create a new one resulting in duplicates.

Record Type	Required	Description
<b>Advisors</b>	Social Security Number	Ensure that the respective advisor record includes the correct Social Security Number.
<b>Contact</b>	Individual – Social Security Number Business – Tax ID	All client records should have a Social Security Number or Tax ID. This will ensure that the matching record is found and associated with the correct policy.
<b>Carriers</b>	Carrier ID	If the system includes carriers, make sure to include the carrier ID. This will eliminate duplicating the carrier and policy because a match could not be found.
<b>Products</b>	Product Code	For respective carriers, ensure that if you have any products associated with them the product code is included.
<b>Policies</b>	Policy Number and Carrier ID	If the system already includes policies, ensure that the policy has a policy number and the associated carrier includes the carrier ID. The combination of these two values makes the policy unique.

# Rules and Reminders

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## General

- All of the following 12 files must be downloaded and present before using SmartLink for Generic Inforce Policies; otherwise, you will not be able to proceed.
  - Agent.txt
  - Clients.txt
  - Vendor.txt
  - Prod.txt
  - Portfolio.txt
  - Life.txt
  - Annuity.txt
  - Rider.txt
  - IntrPrty.txt
  - Subacct.txt
  - PolAgent.txt
  - Policy.txt
- The system is not designed to handle the processing of months of data. Download and process data daily or as often as the data is available.
- Once the files are processed, make sure to move them to another directory, such as an archived directory. This way they will not be processed again.
- Depending on the amount of data to be downloaded, the SmartOffice storage space limit could potentially be exceeded. If this occurs, purchase additional space to support the data.

## Contact and Advisor

- In order to link them as interested parties of a policy, new contacts and advisors will only be inserted if a matching contact/advisor is not found.
- SmartLink for Generic Inforce Policies matches contacts based on the following criteria:
  - Social Security Number/Tax ID (recommended)
  - If a match on SS#/Tax ID is not found, then it will try to match on the following:

Last Name, First Name and Birth Date (matched exactly to what is in the Inforce Policy System). If a match is not found, an attempt will be made to create the contact if enough information is available, which includes First Name, Middle Name, Last Name, Suffix, Gender, Birth Date, Social Security Number/Tax ID, Address and Type.
- Make sure that every contact in the SmartOffice database has a Tax ID/SS# entered.
- SmartLink for Generic Inforce Policies will not overwrite information of existing contacts in SmartOffice, including the primary contact of a policy. Even if the information has changed in the respective system, the assumption is that SmartOffice has the most up-to-date information.
- Contacts will be assigned to the user that is using SmartLink for Generic Inforce Policies to import the policies.

## Carrier and Product

- SmartLink for Generic Inforce Policies will match carriers based on carrier ID.
  - If a match is not found, a new carrier and its associated products will be created.
  - If a match is found, it will search for existing products based on product code.
    - If a match is not found, the product will be created.
    - If a match is found, the product will be skipped.
- SmartLink for Generic Inforce Policies supports variable life products by utilizing sub-products.
  - It will search for a matching carrier based on the carrier ID of the Inforce Policy System and with the product code.
    - If a match is not found, an error will be logged in the DXO log file.
    - If a match is found, it will search for a sub-product with a matching CUSIP.
      - If a match is not found, the sub-product will be created.
      - If a match is found, an error will be logged in the DXO log file.

- SmartLink for Generic Inforce Policies supports variable annuity products by utilizing subaccounts.
  - It will search for a matching policy based on the policy number and carrier ID.
    - If a match is not found, an error will be logged in the DXO log file.
    - If a match is found, it will search for sub-positions with a matching CUSIP.
      - If a match is not found, the sub-position will be created.
      - If a match is found, the record will be skipped.

## Policy

- SmartLink for Generic Inforce Policies will match life and annuity policies based on policy number and carrier ID.
- SmartLink for Generic Inforce Policies will create the following roles assigned in the respective inforce policy system, in the order below:
  - Owner (Contingent Owner, Joint Owner, Successor Owner Owned By, Owner, Investor)
  - Insured (Coverage Insured, Joint Insured, Insured).

**Note:** If a policy does not include any of the above roles, the policy will not be created.

- SmartLink for Generic Inforce Policies will create respective interested parties and then link them to matching contacts. This process is based on criteria defined in the *Contact* section (see page 5).

**Note:** If a matching contact is not found, an attempt will be made to create the contact if enough information is available from the respective inforce policy system.

- If so, a new contact will be created and linked to the interested party of the policy.
- If not, the interested party will be unlinked.

- When policies are updated:
  - Associated riders and interested parties will be overwritten based on the data in the respective inforce policy system.
  - Policy number, carrier, plan name and primary contact will not be overwritten.
- SmartLink for Generic Inforce Policies will not overwrite the carrier names, product names, product types and subaccount names of existing carriers in SmartOffice.

## Importing Data

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1. Once the data files have been prepared, open the SmartOffice home page.
2. Click the **DataXchange Online** button to display the Service List.

Service List	
SmartLink for DST	
SmartLink for Generic Inforce Policies	
<a href="#">Reset User</a>	

**Note:** If using another SmartLink adapter to import data from another data provider, such as DST FAN Mail, the following message will be displayed if the reconciliation process has not been completed. The reconciliation process consists of reconciling out of balance positions and associating unlinked accounts to the appropriate contact record.

The user "admin" did not complete processing the data from the previous run by "DataXChange online.". Before continuing we recommend that you complete processing the previous data, otherwise it will be "LOST".  
Do you want to process the previous data?

Yes

No

**Caution:** Selecting the **No** button will result in lost data and will require manual reconciliation of positions that are out-of-balance. It is highly recommended that the **Yes** button be selected to complete the reconciliation process before proceeding with a new data set.

3. Select the **SmartLink for Generic Inforce Policies** hyperlink to open the SmartLink dialog box. If the latest components for the service are not installed on the local computer, they will be downloaded and installed automatically.

Welcome to DataXchange Online! Click Continue to proceed.

Please specify the path to the Jefferson pilot data files.

Path :  

Enter the Date for this data set.

Date:

**Note:** All 12 text files must be present in the folder. Otherwise, an error will be displayed. Do not zip the text files.

4. Enter the full path into the Path field or click the **Browse** button to select the folder location and then click the **OK** button.
5. Enter the position date of the generated data. All data will be processed with this date.

**Important:** The Inforce Policy System does not provide a position history date in the download. SmartLink for Generic Inforce Policies uses the current date as the default. Use this Date field to enter the correct position history date.

6. Click the **Continue** button. The data will be evaluated and converted to the appropriate format.

**Note:** If any errors occur during this stage, they will display in the Translation Error section. Disregard these errors as they note duplicate records and will not display going forward.

7. SmartLink for Generic Inforce Policies will process the data against SmartOffice. Progress can be monitored from the SmartLink for Generic Inforce Policies dialog box.

**SmartLink for Generic Inforce Policies**

OBJECT	PROCESSING STATUS	TOTAL	INSERT	UPDATE	FAIL
<b>CONTACT</b>	<b>Completed</b>	<b>21</b>	<b>12</b>	<b>9</b>	<b>0</b>
ADDRESS		14	5	9	0
<b>CARRIER</b>	<b>Completed</b>	<b>1</b>	<b>0</b>	<b>1</b>	<b>0</b>
PRODUCT		14	14	0	0
SUBPRODUCT		7	7	0	0
<b>POLICY</b>	4 of 28	<b>28</b>	<b>3</b>	<b>0</b>	<b>0</b>
RIDER		7	0	0	0
INTERESTEDPARTY		84	9	0	0
SUBPOSINS		10	0	0	0
SUBPOSHISTORY		10	0	0	0

Processing Policies...

Process Details

Successful | Unsuccessful

CONTACT ID	Status
CONTACT :125635424	Status : Inserted
CONTACT :125648751	Status : Inserted
CONTACT :159500238	Status : Inserted
CONTACT :222569546	Status : Inserted
CONTACT :232232004	Status : Inserted
CONTACT :232232005	Status : Inserted
CONTACT :245659856	Status : Updated
CONTACT :549492524	Status : Updated
CONTACT :542156358	Status : Updated
CONTACT :215548496	Status : Updated
CONTACT :343126121	Status : Updated
CONTACT :559658750	Status : Inserted
CONTACT :550763111	Status : Inserted

Details

LASTNAME : Odell  
 FIRSTNAME : Daniel  
 MIDDLENAME :  
 DOB :  
 GENDER :  
 HOCLIENTID : 125635424  
 TYPE : Advisor

Insert

Inserted

Start Time :07/24/2007 2:27:50PM

Reprocess Close Show Report

8. Click the **Show Report** button to generate a report of everything in the SmartLink for Generic Inforce Policies dialog box which includes:
- o Totals of inserted, updated and failed records (security, accounts, positions, etc.)
  - o Successfully processed records
  - o Unsuccessfully processed records

**Note:** When the **Show Report** button is clicked, a prompt will display requesting to save the report. Specify the location and name of the report and then click the **Save** button to open the report.

9. Click the **Close** button to begin the reconciliation process. The Reconciliation Wizard is displayed in order to begin this process.

**Caution:** Complete reconciliation prior to processing another downloaded dataset.

10. Once the reconciliation is complete, be sure to move the dataset to another directory, such as an archive directory. This way the dataset will not be processed again.

## Reviewing Import Results

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After the dataset is processed, the import results can be viewed from the SmartLink for Generic Inforce Policies dialog box. The report includes what time the set of files completed processing as well as the detailed information of records successfully and unsuccessfully processed.

The dialog box includes the following details:

Column	Description
<b>Status section in the upper section of the dialog box</b>	
<b>Object</b>	Includes all of the types of records that are currently being processed by the SmartLink for Generic Inforce Policies, such as security, price, account, etc.
<b>Processing Status</b>	Notes the current status while processing the download, such as Note Started, Processing and Completed.
<b>Total</b>	Notes the total number of records that were processed.
<b>Insert</b>	Notes the number of records created for the selected download.
<b>Update</b>	Notes the number of records updated.
<b>Fail</b>	Notes the number of records that could not be processed.
<b>Process Details section on the bottom section of the dialog box</b>	
<b>Successful Tab</b>	Lists all of the records that were successfully inserted or updated in SmartOffice.
<b>Unsuccessful Tab</b>	Lists all of the records that failed and requires your intervention. Although this tab will list failed records with statuses of Unprocessed or Error, only focus on the records with the <b>Error</b> status. These are issues preventing the records from being created or updated in SmartOffice. Once these errors are corrected, all other unprocessed records will be inserted or updated in SmartOffice.

## Handling Errors

Click the **Unsuccessful** tab to display the records that failed during processing. Selecting the security or account record that has **Status: Error** will display the error message(s) and list all records associated with the Security or Account.

### Notes:

Since SmartLink for Generic Inforce Policies will create the necessary records, such as carriers and contacts to process the policy, errors are rarely encountered. If an error occurs, review the Unsuccessful tab to view the error, resolve it and reprocess it.

Look for the status of the error while reviewing the Unsuccessful tab. The error(s) will note the actual error message that will help to resolve the error(s).

## Reprocess Resolved Errors

1. After the missing necessary data has been manually added to SmartOffice, return to SmartLink for Generic Inforce Policies to reprocess the failed records.
2. Checkmark the set of data that needs to be processed again.
3. Click the **Reprocess** button for SmartLink for Generic Inforce Policies to attempt to process the failed records again.

If the missing data is found on the subsequent attempt, the record will be successfully imported into SmartOffice.

## Appendix: Troubleshooting Tip

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If an error displays while running SmartLink for Generic Inforce Policies:

- **Issue:** The connection with the server could not be established.
- **Solution:** Check the Internet connection and try again, or contact the administrator.
- **Reason:** Windows Defender (formally GIANT/MS AntiSpyware) is turned on. Make sure to turn it off prior to running SmartLink for Generic Inforce Policies. This will enable SmartLink for Generic Inforce Policies to run and begin processing data. If this problem continues, contact E-Z Data Technical Support at (626) 585-3505.