Review by Subpages and Sections

ETA

Query

General Changes/Requests:

☐ Information icon with description of what the item requested is: “Certified or Notarized Passport ” with the message similar to Copy of valid passport*, including the MRZ number and signature page of any irrevocable beneficiary/ies of the policy. GII will provide descriptions of each item. (Can we be given “developer” access to add this information?) [**02:00 Hour**]

☐ Notify the assigned Case Manager and general mailbox when documents have been uploaded or new cases added or new information by the respective Introducer/external user so they can action immediately.[**3:30 Hours** [If need to send email + add new screen as general mail box where all notification displayed] , **2:00 Hours** [If only send mail on actions]]

☐ Status Reports required containing Policyholder, Insured, Policy #, Issue Date, Effective Date, Anniversary Date (Calculated as +1 year after Effective Date), IDF Manager, Introducer with statuses of the policies identified as: Prospects, Active, Terminated & Cancelled [**1:30 Hour** for Report with Export]

☐ Missing/Expired Documents report to show what documents need to be provided with an option to run against all policies versus individual policies [**00:45 Hour** for Report with Export].How do we consider expired document in system?

☐ Report on Policy Information extracting the Fee Summary [**1:30** Hour for report with export]

☐ Under KYC Requirements & Checklists – category to upload EIN/SSN for Entities/Corps/Individuals respectively

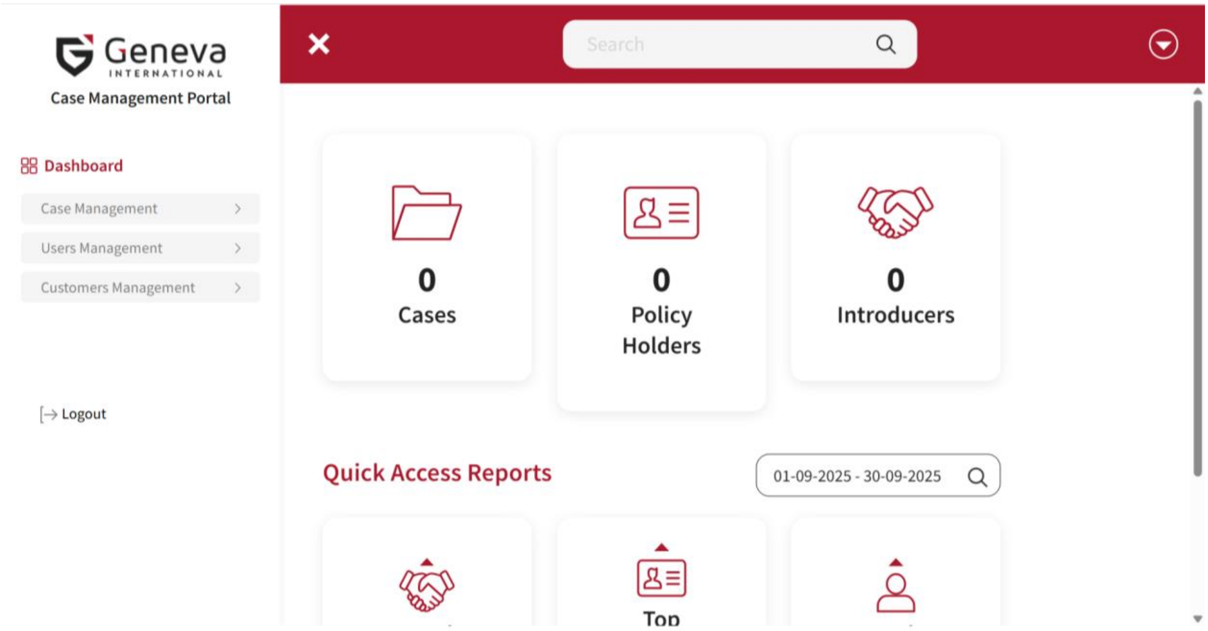
☐ Customers Management change to External Users Management [**Just title Change**]

☐ Under Customers Management, change Policy Holders to Introducers [As of Now there is Policy Holder Menu, so need to change into Introducers Management **00:30 Hour**]

☐ Change Policy Holder or Holders to Policyholder or Policyholders throughout the webpage [**00:15 Hour**]

New Addition/Scope

☐ Creation of a Valuation & Revenue Management (we will provide the spreadsheet with the logic associated with this section)



For the dashboard, we would like to see the following:

A number for each of the categories.

☐ Active Policies (instead of cases) – this is a specific status on the policy
☐ Surrendered Policies – another specific policy status
☐ Terminated Policies – another specific policy status
☐ 1035 Exchange Policies – another specific policy status
☐ Lapse Policies – another specific policy status
☐ Prospect Policies – pending policies
☐ Under Review Policies – another specific policy status
☐ Introducers
☐ Insurance Dedicated Funds [From which section data should be fetched?]
☐ Custodians [From which section data should be fetched?]

NEED TO GIVE OPTION TO CHANGE STATUS IN POLICY [USE ABOVE ALL STATUS and by Select and Change, Can change it] [**00:30 Hours**]

Quick Access Reports:

☐ Policies by Status – active, surrendered, terminated, prospect, 1035 Exch, under review, lapse
☐ New Policies Issued (YTD, MTD, QTD)
☐ Total Assets Under Administration
☐ Top Clients by Policy Value [Which values to be calculated from Investment Profile or any other Section?]
☐ Top Introducers

[**3:30 Hours** w Export for Above all reports]

Case Management

Case ID | Date Opened - Renewal | Primary Holder | Introducer | All | **Search**

Case ID	Date Opened	Last Renewal	Primary Holder	Introducer	Status	Action
CASE-000001	2025-08-18	2025-08-18	N/A	Testing User	Draft	Edit
CASE-000002	2025-08-18	2025-08-18	Tester	Trivedi K TEST 01	Draft	Edit
CASE-000003	2025-08-18	2025-08-18	N/A	N/A	Draft	Edit
CASE-000004	2025-08-19	2025-08-19	Tester	Test Name 01	Draft	Edit
CASE-000005	2025-08-19	2025-08-19	N/A	N/A	Draft	Edit

1 of 1

Showing 1 to 5 of 5 entries

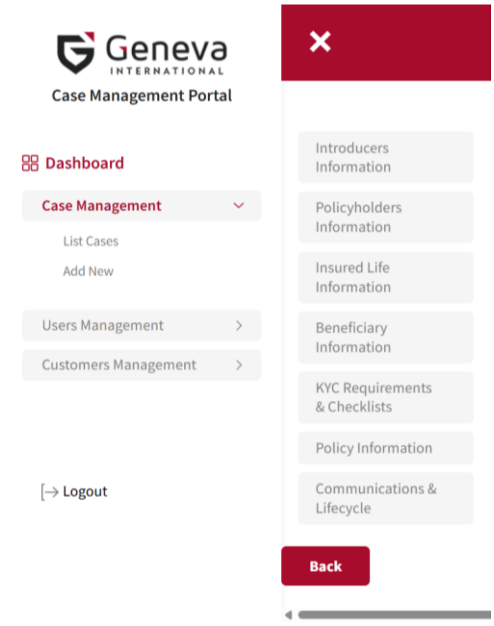
☐ Case ID to change to Policy Number
☐ Date Opened changed to Issue Date
☐ Last Renewed changed to Effective Date [How to consider policy is in effect or set date?]
☐ Primary Holder changed to Policyholder
☐ Introducer & Status remains as Introducer
☐ IDF Manager to be added
☐ Edit should be available to all users; however, not all sections of the case file is editable by everyone. Communications & Lifecycle is only available for internal users and Policy Information requires approval by internal user, if any changes are made by an agent. [01:00 Hour]
☐ Add a View button as well, in the event the user simply wants to view the file but not make any changes. This view should not allow for any changes to be made.
☐ Status dropdown options – active, terminated, 1035 Exch, surrendered, lapse, prospect, under review
☐ Add Case Manager – drop down with Client Services team names – Elizabeth Morgan, Natisha Ward, Kayla Headley, Andreanna Pero, Gavin Brewster, Nikita Gibson [00:15 Hour]
☐ Add a probability likelihood indicator before policy number (i.e. the first column) [What to render (indicator of what data) in first column?]

Case Management

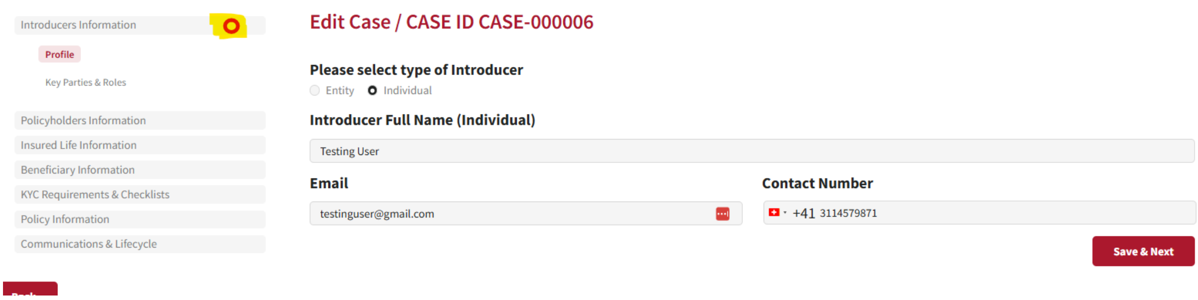
List Cases

Add New

☐ Change List Cases to Policies Overview
☐ Change Add New to Add New Case



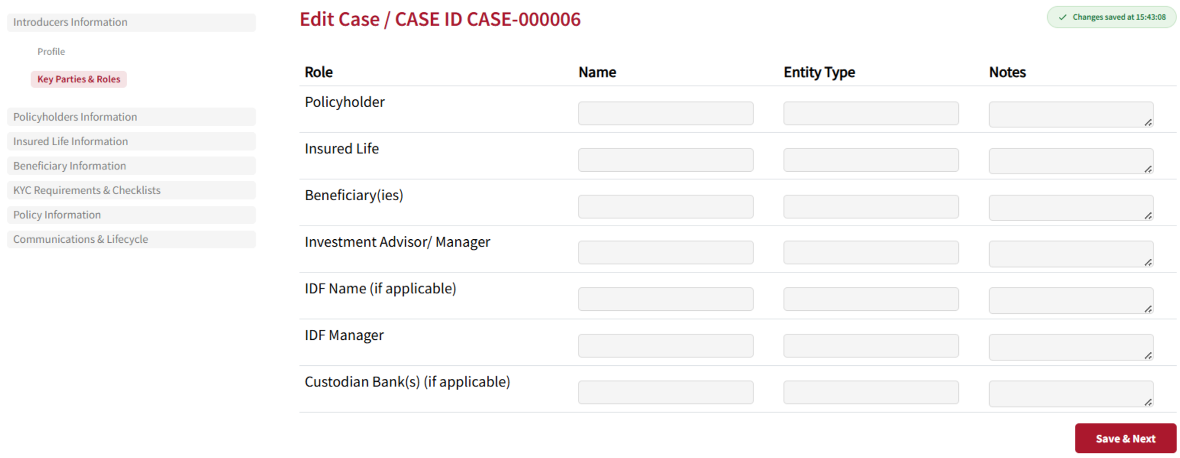
☐ Add Section named Forms (before Communications & Lifecycle)
☐ In Forms add a subsection named Downloadable Forms (List the forms and they can be downloaded by clicking the form they need, namely – application form, source of wealth form, source of funds (for policy), W8 Ben, W9, privacy notice, medical examination form, term sheet, structure chart, 1035 exchange form, personal information authorization [Give list of downloadable forms] **[01:30 Hours]**
☐ In Forms add a subsection named Upload Forms. Have a form named for each of the above, with an upload button.



☐ Include Completion Status pie chart to reflect how far along the category in the policy is on mandatory sections within the category. All sections are mandatory except Communications & Lifecycle. The pie chart should use a count of the starred (*) individual information slots in each subsection divided by the total number of slots in the subsection. For example, Introducers Information -> Profile, for an individual it requires Name*, Email* and Contact Number* all 3 are required fields, therefore once this section is completed and saved, the indicator should show 100%. [**02:00 Hours**]
☐ Allow to add additional Introducers, requiring the same information whether for an individual or entity [Introducers Information -> Profile = Can add multiple profiles of introducers] [**01:00 Hour**]
☐ Change subsection name from Profile to Introducer Profile
☐ Allow introducers to populate information as received in any order.
☐ Default Contact Number can be set to USA, all others will scroll/search accordingly. If possible, let's have a priority country list pinned above the alphabetic list. Priority listing includes USA, UK, Canada, Hong Kong, Switzerland, UAE. [**00:15 Hour**]
☐ For the selection Entity, the name block still states **Introducer Full Name (Individual)** this will need to be updated to remove Individual or to state Entity.
☐ When Entity is selected, let's also add a field for Contact Person 1, Contact Person 2, with 1 being (*) mandatory. The email address and contact number would then fall under each of the Contact Persons. Give the option to add additional contact persons. [**00:45 Hour**]

☐ Change Full Legal Name of individuals to First Name, Middle Name (s) and Last Name. 3 separate boxes. This is applicable to everywhere a name of an individual is input. [**01:30 Hours**]

☐ Change name of section from Introducers Information to Introductory Information



☐ Change Name of individuals to First Name, Middle Name (s) and Last Name. 3 separate boxes. This is applicable to everywhere a name of an individual is input. If under Introducers Information -> Key Parties & Roles, the policyholder is an individual, this would apply. Same for beneficiaries. Insured life, IDF Manager & Investment Manager will always be an individual. If it is selected to be an Entity, just 1 Name box. [**00:30 Hour**]

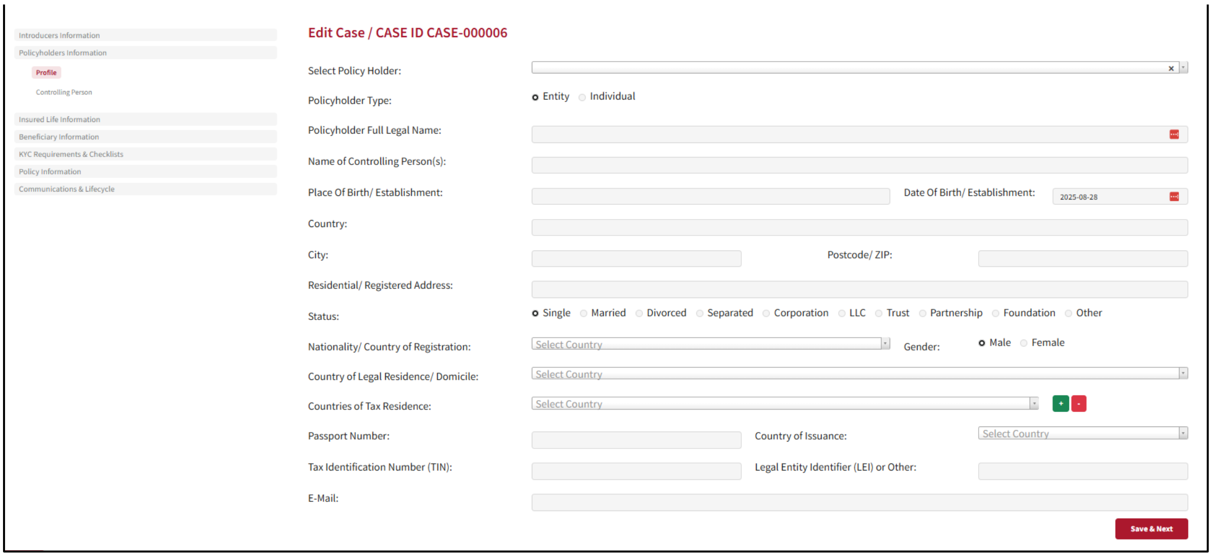
☐ Each role should have an option to add and additional. For example, Policyholder add button would allow them to add more than one Policyholder. With each Policyholder, the name should change to Policyholder 1, Policyholder 2 etc. [**02:00 Hours**]

☐ Entity type should be a dropdown with selections – Individual, Corporate, Trust, Foundation [**00:30 Hour**]

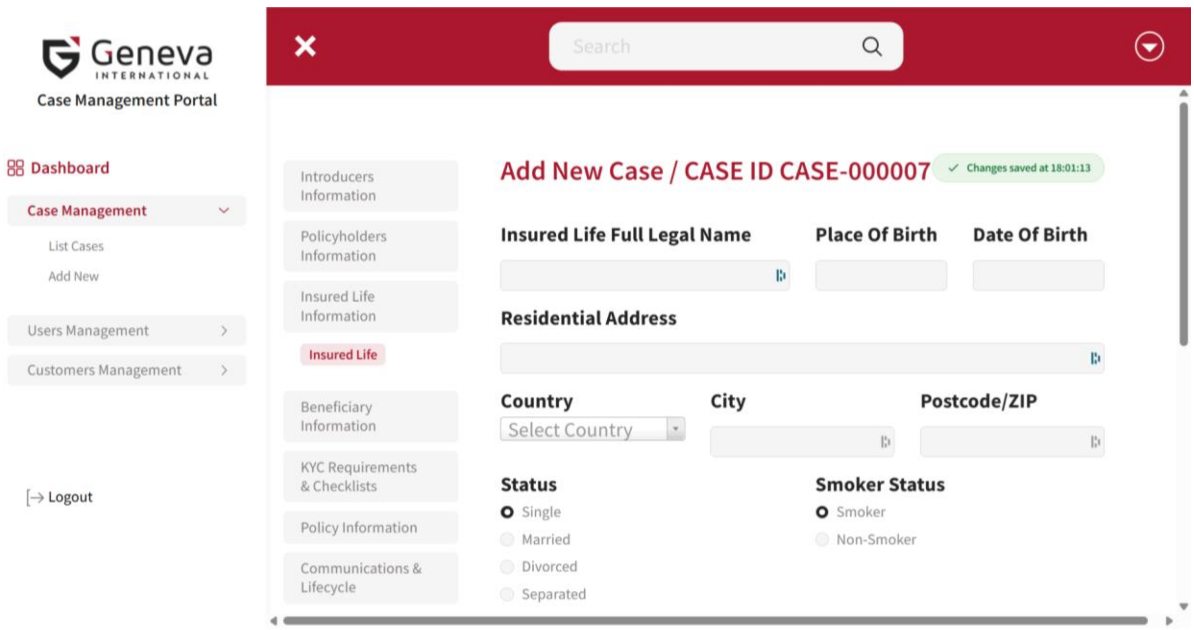
☐ Change Beneficiary(ies) to Beneficiary and the same would apply where there is a button to add more Beneficiaries.

☐ Add a button Applicable or Not Applicable for Investment Advisor, IDF Name, IDF Manager, Custodian. For the [**00:30 Hour**] completion status indicator, it would not include fields not filled. If Not Applicable, the fill in fields can be greyed out.

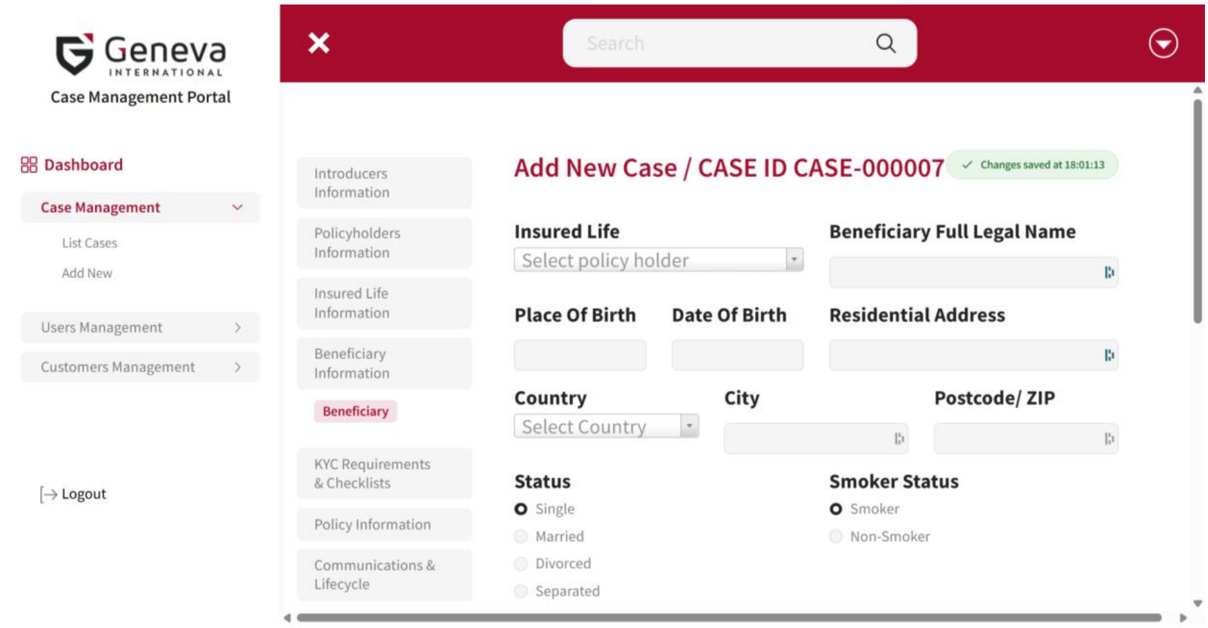
☐ Some of the information populated in this area should generate a subsection/subpage. Investment Advisor info should populate another section called Investment Advisor in the left panel (this section is not editable; it simply separates the investment advisor information from the Key Parties & Roles. We will eventually add some additional subcategories under the section which will be editable. The categories which need to be added in the left pane are Investment Advisor, IDF Manager, Insurance Dedicated Fund and Custodian Bank. All of which will pull the info populated in Key Parties & Roles. If the policy has multiple of any of the categories, all should be captured here. [**01:30 Hours**]



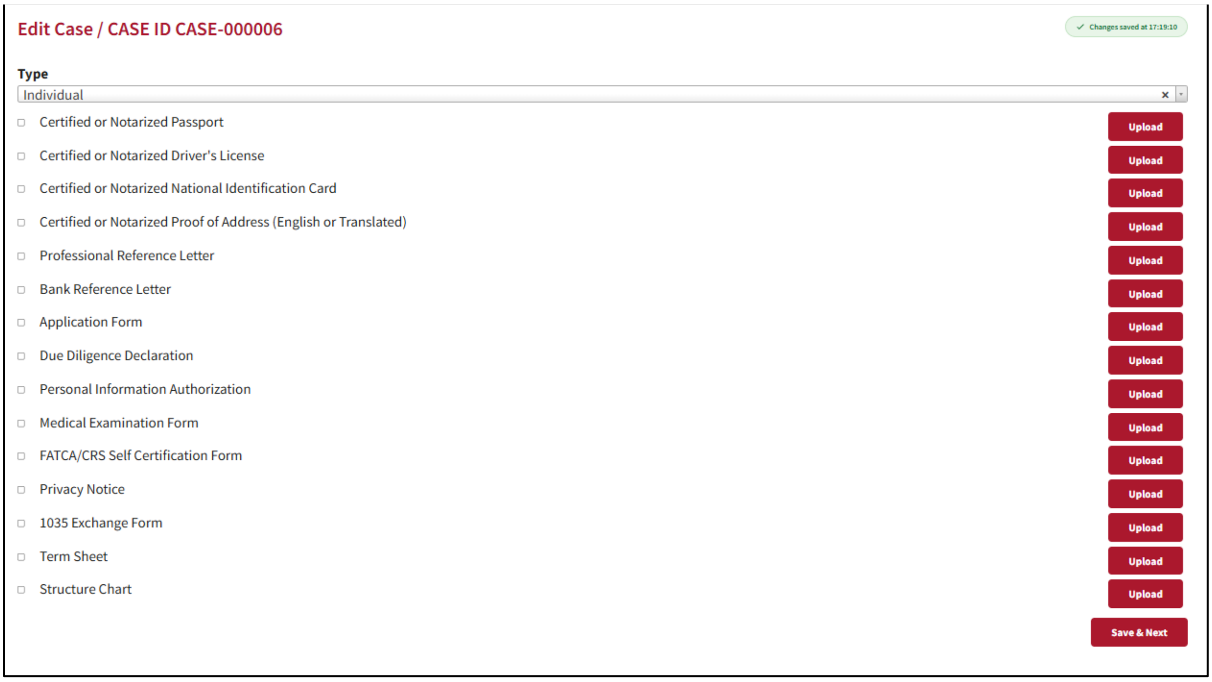
☐ Remove Name of Controlling Person(s) from Policyholders Information -> Profile, since this will be captured in the subsection Controlling Person
☐ Assuming that selecting the Policyholder from the dropdown list allows you to choose the Policyholder based on the Policyholder 1, policyholder 2 etc. Listing which was created in Introducers Information -> Key Parties & roles. This would then allow the information to be entered for each policyholder. Keep the option to Add a new policyholder as well but this should take them back to Ley Parties & Roles so it can be added there first, or if they Select Add new, it should add to the listing in Key Parties & Roles, whichever method is easier.
☐ Add an option to add more than one passport number and country of issuance
☐ Add an option to add more than one Tax Identification Number (TIN) **[00:30 Hour above one is included]**
☐ Add Contact Number
☐ For Policyholders Information -> Controlling Person, add contact number, the option to add more than one passport number and country of issuance. **[00:30 Hour]**
☐ Change subsection from Profile to Policyholder(s) Profile
☐ Change subsection name from Controlling Person to Controlling Person(s) Profile
☐ Change Full Legal Name of individuals to First Name, Middle Name (s) and Last Name. 3 separate boxes. This is applicable to everywhere a name of an individual is input.
☐ Let's be consistent, either the Save and Add New Button at the bottom, similar to the Insured Life subsection or have it in the drop down box at the top of the page to add a new policyholder



☐ Allow for more than one passport number and country of issuance to be added. . **[00:30 Hour]**
☐ Add contact number
☐ Mimic Policyholder, have a drop down which allows the selection of the Insured Life based on the information found in Introducers Information -> Key Parties & Roles and it allows the user to input the information per each policyholder. . **[00:30 Hour]**
☐ Let's be consistent, either the Save and Add New Button at the bottom, similar to the Insured Life subsection or have it in the drop-down box at the top of the page to add a new policyholder similarly to the Policyholder subsection
☐ Change subsection name from Insured Life to Insured Life Profile
☐ Remove smoker status (this will be added in otherwise)



☐ Change subsection name from Beneficiary to Beneficiary Profile
☐ Change Insured Life to Beneficiary (above dropdown box) . [00:30 Hour]
☐ Remove smoker status
☐ Allow for additional passport numbers and country of issuance
☐ Add Contact Number . [00:30 Hour]

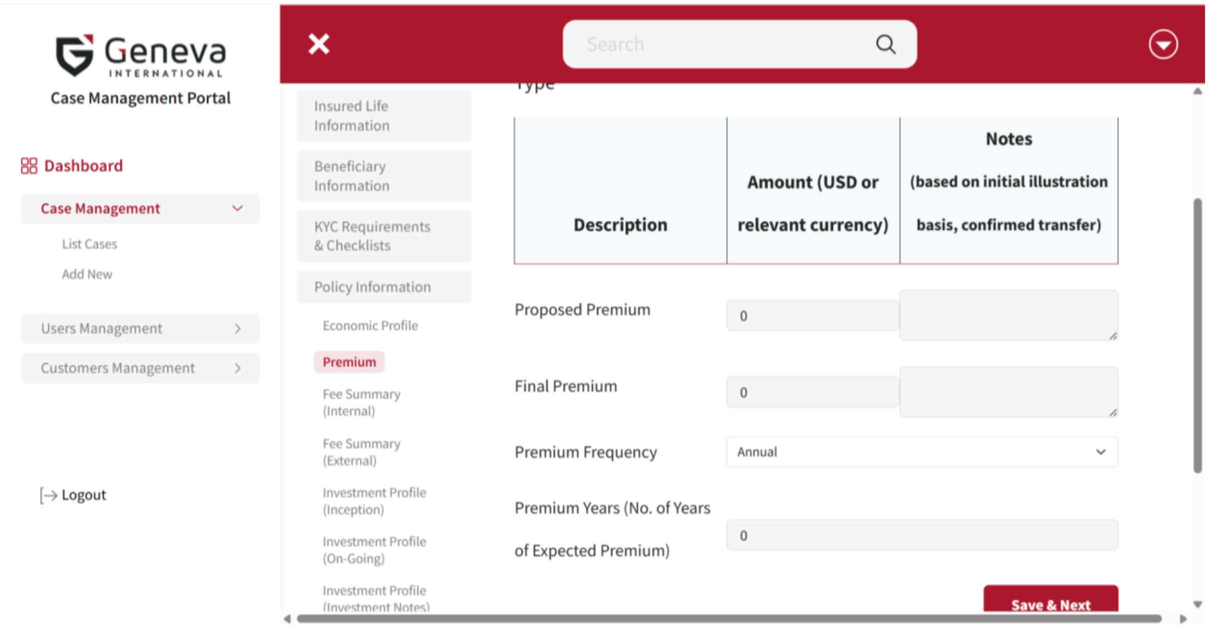


☐ Add additional documents and upload feature. Tax Returns
☐ Remove Medical examination form and Personal Information Authorization
☐ The listing should be any two (2) of the IDs are required. Can be added in a small note.
☐ Add a selection under passport which says passport expiry date and space to fill the date
☐ Add a selection under driver's license which says license expiry date and space to fill the date

☐ Add a selection under national ID which says ID expiry date and a space to fill the date. Add the opt if no expiry date and by clicking it, the date field is greyed out
☐ Add a selection under proof of address which says POA as at date and space to fill the date

NB the above 4 selections are how we will generate the compliance report which speaks to expired KYC documentation in general requests section

☐ Remove all forms, these will now be housed in the Form section (from application form down)
☐ Controlling Person Required Documents will mirror Policyholder, except for bank reference letter
☐ Insured Life Required Documents will match the current policyholders list – including medical information and personal information authorization forms, does not include bank reference or personal reference letter.
☐ Can we add a sub-subsection of each of the required lists which will indicate Policyholder 1, Policyholder 2 and the ability to upload the documents for the policyholder based on the number of policyholders indicated in the earlier sections? Alternatively, a dropdown box allowing selection of a specific person/entity for the information to be uploaded.
☐ Beneficiaries Required Documents to match Controlling Person (as corrected above)
[03:00 Hours]



☐ Premium subsection – Create a double list: **[03:00 Hours]**

- Recurring
    - Monthly
    - Quarterly
    - Semi-Annual
    - Annual
- Limited-Pay
    - 2-Pay 9over 2 years)
    - 3-Pay (over 3 years)
    - 4-Pay (over 4 years)
    - 5-Pay (over 5 years)
    - 6-Pay (over 6 years)
    - 7-Pay (over 7 years)

☐ Remove Premium Years
☐ Fee Summary (Internal) -> Change Controlling Person to Fee Approved by Policyholder
☐ Fee Summary (Internal) – table of fee information. Separate Amount and Rate, Commission Split separate into Introducer 1, Introducer 2, Introducer 3 and Introducer 4 and commission rates would be applied to each category, even if the split is 0% because there is only one Introducer.

☐ Set-up & DAC Fee Frequency Options to be updated to:
- One-time payment
- Flat Fee
- Single Fee (on all premiums paid)

☐ Setup Fee Limits
- None
- > $5,000 p.a.
- > $10,000 p.a.
- > $12,500 p.a.
- > $25,000 p.a.

☐ Surrender Fee Frequency Options to be updated to: One-time payment

☐ COI Fee Frequency Options: Quarterly, Semi-Annually or Annually

☐ Administration Fee Frequency Options: Remains unchanged

☐ Add Administration type: We need to provide you with the various nuances of the fee to be built in this section, such as: (Selection to be made)
- Single Fee
- Flat Fee
- Step Fee by Amount
- Step Fee by Year
- Step Flat Fee
- Layered Fee

☐ Add Administration Value to be Applied to: (Selection to be made)
- Net Asset Value
- Gross Policy Value

☐ Add Administration Fee Limits (Selection to be made)
- None
- > $5,000 p.a.
- > $7,500 p.a.
- > $10,000 p.a.
- > $12,500 p.a.
- > $15,000 p.a.
- > $20,000 p.a.
- > $25,000 p.a.

☐ COI Fee
- Minimum
- YRT per 1,000
- Premium from Policy Assignment
- Other (specify)

☐ Investment Profile (Inception) -> Valuation Support, not sure how this would be designed but we need them to see the list of required valuation support by asset type and then upload the support as applicable.