Systems Summary Grid

For each primary hardware platform, list the application software products used in each of the insurance business cycles.

<table>
<thead>
<tr>
<th>Hardware Platform (manufacturer/model)</th>
<th>Operating System*</th>
<th>Access Control Software**</th>
<th>Program Management Software</th>
<th>Database Management Software</th>
<th>Hardware Location</th>
<th>Business User Location(s)</th>
<th>Individual Responsible</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Process/Application</th>
<th>Product Name and Version</th>
<th>Software Source: Developed Internally Purchased – Not Modified Purchased – Customized Outsourced/Service Center</th>
<th>Developer/Vendor</th>
<th>Application Support: Internal/External (Provider Name)</th>
<th>Date of Initial Implementation</th>
<th>Date of Last Significant Update</th>
<th>Is the data stored in an accessible and readily transferable format? (Y/N/NA)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Policy Management (including premium-transaction processing and policy record management)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Claim Management (including claim-transaction processing and record management, and reserving)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Financial Reporting (general ledger and accounting)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>N/A</td>
</tr>
<tr>
<td>Investment and Fund Management (including investment-transaction processing and record management)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>N/A</td>
</tr>
<tr>
<td>Reinsurance Management</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Producer Management (including commissions-transaction processing and agent record management)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Data Warehouse / Data Mart</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

NOTE: Make as many copies as necessary to represent every primary hardware platform being used. These might include mainframe, minicomputer and/or network server systems. Additional financially significant applications should be inserted as needed.

* e.g., z/OS, z/VM, Clearpath, OS/400, i5/OS, Windows Server 20XX, Open Enterprise Server, Linux, Unix, AIX, Open Solaris, etc.
** e.g., RACF, Top Secret, ACF2, BSafe, Active Directory, eDirectory, Solaris.
**Systems Summary Grid — Sample**

*For each primary hardware platform, list the application software products used in each of the insurance business cycles.*

<table>
<thead>
<tr>
<th>Hardware Platform (manufacturer/model)</th>
<th>IBM AS/400 Model 840</th>
</tr>
</thead>
<tbody>
<tr>
<td>Operating System</td>
<td>OS/400 v4r3</td>
</tr>
<tr>
<td>Access Control Software</td>
<td>OS/400 and Client Access/400</td>
</tr>
<tr>
<td>Program Management Software</td>
<td>Job Scheduler for AS/400</td>
</tr>
<tr>
<td>Database Management Software</td>
<td>DB2 Universal Database for AS/400</td>
</tr>
<tr>
<td>Hardware Location</td>
<td>Company's home office</td>
</tr>
<tr>
<td>Business User Location(s)</td>
<td>Company's home office</td>
</tr>
<tr>
<td>Individual Responsible</td>
<td>John Smith, VP - Underwriting</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Process/Application</th>
<th>Product Name and Version</th>
<th>Software Source: Developed Internally Purchased – Not modified Purchased – Customized Outsourced/Service Center</th>
<th>Developer/Vendor</th>
<th>Application Support: Internal / External (Provider Name)</th>
<th>Date of Initial Implementation</th>
<th>Date of Last Significant Update</th>
<th>Is the data stored in an accessible and readily transferable format? (Y/N/NA)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Policy Management (including premium-transaction processing and policy record management)</td>
<td>PMS v6r2</td>
<td>Developed internally</td>
<td>By company, using Cobol, C++</td>
<td>Internal</td>
<td>09/1987</td>
<td>10/1999</td>
<td>Y</td>
</tr>
<tr>
<td>Claim Management (including claim-transaction processing and record management, and reserving)</td>
<td>Not on this platform</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>N/A</td>
</tr>
<tr>
<td>Financial Reporting (general ledger and accounting)</td>
<td>Not on this platform</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>N/A</td>
</tr>
<tr>
<td>Investment and Fund Management (including investment-transaction processing and record management)</td>
<td>Not on this platform</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>N/A</td>
</tr>
<tr>
<td>Reinsurance Management</td>
<td>Not on this platform</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>N/A</td>
</tr>
<tr>
<td>Producer Management (including commissions-transaction processing and agent record management)</td>
<td>PMS v6r2</td>
<td>Developed internally</td>
<td>By company, using Cobol, C++</td>
<td>Internal</td>
<td>09/1987</td>
<td>10/1999</td>
<td>Y</td>
</tr>
<tr>
<td>Data Warehouse / Data Mart</td>
<td>Oracle Database</td>
<td>Developed internally</td>
<td>Internal</td>
<td></td>
<td>09/1987</td>
<td>10/1999</td>
<td>Y</td>
</tr>
</tbody>
</table>

**NOTE:** This page is for informational purposes only — it does not have to be returned.