

NAILBA Standard Documents Types for Imaging Life New Business			
Type of Document	Definition	Examples of Information Included	DocType
<ul style="list-style-type: none"> Application <p>Always keep forms in page number order</p>	<p>Part I</p> <p>The Temporary Insurance Application and Agreement (TIAA) is not scanned under the APPI document type</p> <p>Agent's checklist is not scanned – may be discarded.</p>	<ul style="list-style-type: none"> Application for Life Insurance – Part I (pages 1 – 3) Overflow page or information Licensed Insurance Agent's Report 	APPI
<ul style="list-style-type: none"> Application Part II <p>Submit the Application – Part II Medical History that is signed by proposed insured(s) only separate from medical history information forms signed by medical provider and proposed insured(s).</p>	<p>Medical Information-Exam</p> <p>It is required that if sending a non-med or other company's medical exam along with a Genworth exam, they must be sent as separate APPII DocTypes.</p>	<ul style="list-style-type: none"> Application – Part II Medical History Application – Part II Medical History, Overflow Form Examiner's Report Non-Medical Other Company Medical Form 	APPII
<ul style="list-style-type: none"> Illustration 	<p>Proposal of plan sold and signed in states where NAIC regulations apply</p>	<ul style="list-style-type: none"> Illustration Non-illustration Forms 	ILLUS
<ul style="list-style-type: none"> Administrative Forms <p>Placement order: Non-barcoded forms and accompanying pages, then embedded barcode forms and their accompanying pages.</p> <p>Always keep forms together in page number order.</p> <p>Embedded barcoded forms include the actual embedded barcode page and the balance of pages referenced in the same form.</p>	<p>Forms required by some states, as well as company required forms in order to process new business</p>	<ul style="list-style-type: none"> Temporary Insurance Application and Agreement (TIAA) regardless of when received Replacement Forms HIV Consent Forms Mortgage Certificate Preliminary Cost Statement Certificate of Trustee's Powers Authorization Forms Disclosure Statements Collateral Assignments Accidental Death Benefit HIPPA form 	NBFORM

Type of Document	Definition	Examples of Information Included	DocType
Correspondence	Various documents from agent, GA, proposed insured or provider to aid in the issue of a life insurance policy	<ul style="list-style-type: none"> • Initial Cover Letter/Transmittal • Correspondence from Agent • Correspondence from Provider • Correspondence from Proposed Insured • Correspondence from GA • Trust Agreements • Any attached notes • Altered Document Form 	CORRESP
Checks/Money Sheets	<p>Any money documents, checks, authorization for check withdrawal (PAC/PAW), and correspondence related to premium payment</p> <p>This does not include credit card and electronic funds transfer. Voided checks for EFT should be scanned behind the EFT form under the CCAUTH document type.</p>	<ul style="list-style-type: none"> • CWA and COD checks • PAW Card/Voided Check Copy 	MONEYDOC
Miscellaneous Subsequent Mail/Delivery Requirements	<p>Correspondence received after policy issue.</p> <p>Exceptions:</p> <p>Money documents received after policy issue must still be imaged under the MONEYDOC document type</p> <p>This does not include correspondence from a proposed insured requesting the release of medical information</p> <p>This does not include 1035 documents</p>	<ul style="list-style-type: none"> • Delivery Requirement Cover Letter • Policy Delivery Acknowledgement (PDA) • Backdate Notice • Returned Original Policy Schedule (page 3 only, rest can be destroyed) • Good Health Statement • Amendment to Application • 1925 Policy Receipt • Requests for NTO <p>Order of pages for typed forms are required (Part I and Part II)</p>	DELIVREQ

Type of Document	Definition	Examples of Information Included	DocType
Financial Information	Additional financial information requested by the underwriter	<ul style="list-style-type: none"> • Income Statements • Financial Reports – Personal and Business 	FINAN
Questionnaires and Supplemental Applications other than Child Riders	Information required based upon underwriting guidelines	<ul style="list-style-type: none"> • Coronary Artery Disease • Applicant Chest Pain • Seizure Disorder • Applicant Diabetic • Alcohol Abuse • Aviation • Financial Questionnaire • Tobacco Use Statement • Underwater/Sky Sports • Racing • Business Insurance • Foreign Resident/Travel • Mountain/Rock/Ice Climbing • Resident Alien • Confidential Personal Financial • Life Style 	QUEST
1035/Tax	<p>Correspondence related to a 1035 exchange transaction to transfer cash value from one carrier to another</p> <p>All 1035 documents must be scanned as 1035, even if sent during delivery</p>	<ul style="list-style-type: none"> • 1035 Exchange Agreement: 1035A-02 • 1035 Exchange Agreement: GE-1035-02 • Beneficiary Designation and Assignment of Ownership: 1035B and GE-1035B • Lost Policy Statements • Surrender forms 	1035
Supplemental Applications	<p>Child Rider</p> <p>Use parent's index values and scan multiple riders individually. Application Part II documents for children should still be scanned under the APPII document type</p>	<ul style="list-style-type: none"> • Supplemental Application for Children's Term Insurance 	SUPPAPP

Type of Document	Definition	Examples of Information Included	DocType
Attending Physician's Statement	<p>Doctor notes related to history of proposed insured's medical condition and care</p> <p>If the EKG comes in with the Attending Physician's Statement, it should be kept with it</p>	<ul style="list-style-type: none"> Attending Physician's Statement(s) Reports – Office and Hospital Records Pulmonary Function Tests Blood Pressure Recheck 	APS
Electrocardiogram	Required at Underwriter's request based upon information that is reflected on the application	<ul style="list-style-type: none"> Tracings Interpretations X-ray copies, reports, and/or interpretations Holter Monitor 	EKG
Lab Ticket	Lab receipt(s)	<ul style="list-style-type: none"> Lab receipt(s) for urine and/or blood tests 	LABTICK
Laboratory Tests	Blood and Urine specimens taken at time of Paramedical examination	<ul style="list-style-type: none"> HOS/SMAC – Electronic Receipt of Urine/Blood Test HOS – Paper Urine Test Results SMAC – Paper Blood Test Results 	HOSMAC HOS SMAC
Motor Vehicle Report	Required at Underwriter's request based upon information reflected on application	<ul style="list-style-type: none"> Motor Vehicle Report 	MVR
Inspection Reports	Required at Underwriter's request based upon information reflected on application	<ul style="list-style-type: none"> Reports and Credit Reports Business/Beneficiary Inspection Reports 	INSP

Genworth-specific Document Types for Imaging			
Resubmitted Applications	Application submitted upon request when the pending record is no longer available on the legacy system	<ul style="list-style-type: none"> • Application for Life Insurance – Part I (pages 1 – 3) • Overflow page of a form only • Licensed Insurance Agent's Report 	RESUBMIT
Initial Premium Payment by Credit Card	Submitting premium paid by credit card or electronic funds transfer (EFT)	<ul style="list-style-type: none"> • Authorization for Payment of Premium by Credit Card and /or EFT 	CCAUTH
Release of Medical Information Requests	Correspondence for a Proposed Insured requesting the release of medical information	<ul style="list-style-type: none"> • Correspondence from proposed insured requesting release of medical information. 	COMPLI
Conversion Documents	<p>Initial Conversion documents and subsequent forms transmitted after the initial request, but prior to issue</p> <p>Conversion delivery requirements must be scanned under the DELIVREQ document type</p>	<ul style="list-style-type: none"> • New Conversion Documents • Subsequent Mail <ul style="list-style-type: none"> • Signed Illustrations • Signed forms 	CONV

NAILBA Standard Documents Types for Imaging of Licensing Documents			
Type of Document	Definition	Examples of Information Included	DocType
Agent Appointment Information	Required to submit request for appointment with state, and to satisfy carrier compliance guidelines	<ul style="list-style-type: none"> • License copy in non pre-appointment states • Brokerage authorization • Authorization to disclose • Producer Information Form (PIF) • General Correspondence – including notes to pay • Commission Schedule • W-9 (not a required form) • E and O forms (no longer a required form) 	LIC
Assignment of Commissions	Required to process assignment or release of an assignment of commissions	<ul style="list-style-type: none"> • Assignment of commissions • Release of assignment • Correspondence for assignment specific 	ASSIGN
Agent Address Changes	Required to process agent address changes or updates	<ul style="list-style-type: none"> • Agent address updates • Correspondence for address updates specific – Make sure you specify if change is for home or mailing address. 	ADDRESS
Priority Agent Appointment	Required to give priority status to agents in pre-appointment states	<ul style="list-style-type: none"> • Route appointment documents for pre-appointment states • Route appointment for cases already submitted • Correspondence for Priority Licensing specific 	PRILIC

**** Licensing Correspondence must be scanned with the licensing paperwork.**

Do not use CORRESP for licensing correspondence.