

ISOeSubmSM

User Guide

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Overview

About This User Guide

This user guide provides you with system requirements, installation procedures, and detailed instructions for ISOeSubmSM – an electronic tool for statistical data reporting to ISO.

ISOeSubm utilizes a product called SecureTransport, developed by Tumbleweed Communications Corp., (now Axway) to support both the electronic transfer of statistical data to ISO and the receipt of Submission Analysis Reports via an internet-based connection.

This guide assumes familiarity with statistical reporting requirements (as detailed in ISO's Annual Calls for Statistics, Technical Requirements, and Filing Schedule circulars), a basic working knowledge of your particular internet browser, and a basic working knowledge of Microsoft[®] Windows applications.

Introduction

ISOeSubm provides electronic options for both the reporting of statistical submissions to ISO and the receipt of Submission Analysis Reports, by invoking an Axway product called SecureTransport. SecureTransport employs secure file transfer protocol (FTP) technology to support the electronic transfer of information between parties via the Web. And, perhaps most importantly, it utilizes various security standards to ensure the privacy of that information.

ISOeSubm supports two main client options for connecting to ISO's SecureTransport server:

- The first option allows for the use of a standard browser to connect to ISO's SecureTransport server.
- The second option employs a Windows-based Axway software package to connect to ISO's SecureTransport server.

Both of these options provide the same data security, but the Windows software option provides some additional features not available with the standard browser connection. These features include the option to create profiles and set preferences to expedite your connection, the flexibility of sending multiple files with a single click, the ability to schedule your transfers during non-peak hours, and automatic checkpoint restart to protect against internet interruptions or line disconnects.

Both the browser and software options are detailed in this user guide. This Overview provides information that applies to both the browser and software options for invoking SecureTransport. Sections specific to the browser option and to the Windows software option follow the Overview. If you are a browser user, you will find all the information you need in the Overview together with the Using the Browser section. If you are using the software, you will find all the information you need in the Overview together with the Using the Windows Client Software section.

ISOeSubm supports all types of data submissions (including error corrections) prepared per the reporting instructions in any of ISO's statistical plans as listed below

- Commercial Statistical Plan (CSP/CSP+)
- Commercial Statistical Plan - Intermediate (CSPI)
- Commercial Minimum Statistical Plan (CMSP)
- Commercial Statistical Agent Plan (CSAP)
- Personal Lines Statistical Plan/Personal Lines Statistical Agent Plan (Other than Automobile) (PLSP(OTA)/PLSAP(OTA))
- Personal Automobile Statistical Plan/Personal Automobile Statistical Agent Plan (PASP/PLSAP(Auto))

ISOeSubm also supports data submissions prepared per the Texas Commercial Lines Statistical Plan (TCLSP) and the Surety and Fidelity Association of America (SFAA).

File Transfer Process

ISO will establish an account mailbox on our server for each ISOeSubm subscriber. Whether you are using your browser or the Windows software option for invoking SecureTransport, you will connect to your mailbox to send data submissions to ISO and/or receive SARs from ISO. Only you will be able to access this mailbox, using the User ID/Name and Password assigned to you by ISO.

Note that if you are a client software user, the User ID/Name and Password assigned to you may also be used with a standard browser connection at any time from any internet connected PC.

Data Submission

When you send a statistical data file to ISO per the instructions provided in this user guide, a number of steps are taking place behind the scenes. First, your file is transferred from your location to your account mailbox on the ISO server. Second, your file is moved from your account mailbox to a general directory on our server, and at this point is no longer accessible or viewable by you. Third, a note is populated to your account mailbox, confirming that your data file was received at the ISO server. This submission receipt note simply confirms that the file was successfully sent to the ISO server – it does not indicate anything about the content of the file or the results of our front-end editing of your statistical data.

The steps described above will only occur successfully if your file meets the requirements detailed in the Data Submission Requirements section of this guide. If it does not meet these requirements, your statistical data file will remain in your account mailbox, and consequently a receipt confirmation will not be populated to your mailbox.

If your data file is transferred to the server successfully (as indicated by your receipt note), your file will then be transferred to the ISO mainframe system, where it will be unzipped. If you have not zipped your data file as detailed in the Data Submission Requirements section of this guide, you will be contacted by ISO to resend your file.

Your submission's Transmittal Record is then checked against some basic edits. If there is a problem with the Transmittal Record, you will be contacted by ISO.

If your Transmittal Record is error free, your data file is processed through the applicable front-end edits, generating a Submission Analysis Report (SAR) for your review. SARs show the processing results of company submissions through ISO's receipt and acceptance system.

Note that, for an ISO statistical plan submission, the only change to your processes for creating your actual submission is the addition of an optional field on the Transmittal Record. This field will only apply if you have not separately requested to receive SARs electronically via ISOeSubm. It will indicate your choice of media type for SARs that exceed one box of paper. The media options are detailed in the appendix to this user guide.

If you do not report a media type in this optional Transmittal Record field, your SAR will be returned to you on CD.

A TCLSP submission requires the following changes to your processes for creating your actual submission. All submissions sent via ISOeSubm must be flat, unformatted data files (no Excel files). Unlike other reporting media (cartridge, diskette or CD), ISOeSubm requires that the Transmittal Record be the first record in the submission. In addition, the NAIC Group Number and the Type of Submission are required on the Transmittal Record. These additional requirements are detailed in Appendix A of this user guide.

Submissions for SFAA also require a TL record as the first record and the Submission Control Card must immediately follow the TL. Detailed TL and SC coding requirements for SFAA submissions are found in Appendix B of this user guide.

SAR Return Process

SARs are customarily returned to companies on paper or, less frequently (only for ISO statistical plan submissions), on cartridge or CD when an SAR generates more than a box of paper. If you receive your SARs on paper, CD or cartridge, you should receive them within two weeks of the date of transfer. **If you have not received an SAR within this time, please contact ISO for the status of your submission.**

However, if you elect to receive your SARs via ISOeSubm, you will no longer receive a paper copy of the SAR. Instead, your SAR will automatically be zipped and transferred from the ISO mainframe system to the ISO SecureTransport server. The SAR will then be routed to an OUT folder located in your account mailbox. An email notification will then be sent to inform you that the SAR is available there for you to review. This email will be sent to the main statistical contact at your company as previously designated for all other correspondences. Each SAR will remain in your mailbox for two months before being automatically deleted.

For ISO statistical plan submissions, the electronic return of SARs via ISOeSubm will mimic current procedures. If an SAR is the equivalent of a box of paper or less, you will receive a complete, formatted SAR (including Error Listing Parts A, B and C) as a single zipped text file. This file will look exactly like the printed SAR that you currently receive. If an SAR is equivalent in size to more than a single box of paper, you will receive two files – an unformatted error listing file containing all error records (i.e., a flat file of tagged error records, without report headings or report formatting) and a formatted file containing all other miscellaneous SAR reports. These two files will be zipped together in a single zip archive.

For TCLSP submissions, the electronic return of SARs via ISOeSubm will also mimic current procedures. Unlike SARs for ISO statistical plan submissions, TCLSP SARs will always be returned in the same format, regardless of the size of the SARs. You will receive a complete, formatted SAR (which includes the Cover Page, the Edit Program Summary, the Data Submission Report, Exhibit A, if applicable, TL Records With No Submission Detail Records, if applicable, and the Texas Error Detail Listing) as a single zipped file. This file will look exactly like the printed SAR that you currently receive.

For SFAA submission, the electronic return of SARs via ISOeSubm will mimic current procedures. You will receive all the reports you currently receive on paper.

If you send a submission to ISO via ISOeSubm during regular business hours, the corresponding SAR will usually be available in your account mailbox the following business day. If you send your submission on cartridge or CD, the SAR will not be available as quickly due to the additional time required to receive the submission by mail here at ISO, but will usually be available in your OUT folder within two business days of our receipt.

For ISO statistical plan submissions, if you decide to receive SARs electronically, you will receive all SARs electronically. For example, you cannot request that SARs for certain statistical plans be returned via ISOeSubm while others are returned the standard way. As for TCLSP submissions, you can choose to receive your SARs electronically or on paper, irrespective of how you choose to receive SARs for ISO statistical plan submissions.

Data Security

Whether you use the browser or the software option for invoking Axway Secure Transport, there are a number of data security standards in use to ensure the privacy of your statistical data. For detailed information on the data security provided by Axway SecureTransport, visit:

www.axway.com/products-solutions/mft/gateways/securetransport

Also note that your ISOeSubm account mailbox can only be accessed with the secure ID and password established by ISO and provided to your company for its exclusive use.

System Requirements

Browser

If you opt to use your browser to connect directly to the ISO server (i.e., in lieu of the Axway Windows client software), you will need to check that your particular browser supports 128-bit encryption. You can check this by selecting Help, then About, from your browser menu bar. Check the Cipher Strength specification shown there – if it shows 128-bit, then your browser will support ISOeSubm. If it shows something less than that, you are likely using an older version of the browser and will need to upgrade in order to use ISOeSubm. Note that all recent browser versions support this encryption (e.g., Explorer 5.5 and later).

Windows Software

If you opt to use the Tumbleweed Windows client 4.5.1 software, the following hardware and software requirements apply:

- Hardware
 - 133 MHz (or faster) Pentium-compatible processor
 - 64 MB RAM (or higher)
 - 20 MB of free hard disk space
- Operating System
 - Windows XP Professional
 - Windows 2000 Professional / Server
 - Windows 2003 SE
 - Windows 7

Whether using the browser or the Windows software option, you may need some hard drive space to store your submission file(s) and/or SAR files, if only temporarily. The amount of space required depends on the size of your files and on how you choose to integrate ISOeSubm into your workflow.

Data Submission Requirements

File Zipping

All files submitted to ISO using ISOeSubm, regardless of file size, must be individually compressed using a PKZIP MVS 5.0 or later version compatible compression utility. (Zip archives -- i.e. the zipping of multiple submission files together -- cannot be processed at this time.) This requirement allows ISO to offer ISOeSubm as a data reporting option to nearly all statistical reporting companies regardless of size and ensures the speedy transfer of data.

For mainframe shops, this zipping can be achieved in a number of different ways. For example, you can zip your files using a mainframe zip utility (e.g., PKZIP), and then transfer the zipped files from your mainframe to an internet-connected PC. **Note that it is critical that you do this transfer in binary mode.** Alternatively, you can transfer your files unzipped from your mainframe to your PC and zip them there (using WinZip).

Whether your files originate on a mainframe system or on a PC, if you are using the browser option, you will need to be sure to zip your files before sending. However, if you are using the Windows software option, you can set a default to automatically zip all files just prior to sending. For specific instructions, see the Using the Windows Client Software (Setting Preferences) section of this user guide

File Naming Standards

In order for ISO to successfully process the data submitted using ISOeSubm, files must be named according to our naming standard. File names must be in the format **unira*.zip** for ISO and TCLSP submissions and **sfaa*.zip** for SFAA submissions where the * can be almost any character string you may want to use to identify and track the submissions. There is no byte limit on the file name. Note that embedded spaces and special characters are not permitted in file names: only use A-Z, a-z, 0-9, _, and - characters in your file name. For example, you may want to name the file to reflect the statistical plan, accounting period, and transaction type – unira.csp.lq03.prem.zip. Generally the file name is not case sensitive, but the 'unira', 'sfaa', and 'zip' components of the name must each be all upper case or all lower case. For example, UNIRA*.zip or unira*.ZIP are acceptable formats, but Unira*.Zip is not acceptable. The same is true for SFAA. SFAA*.zip and sfaa*.ZIP are both acceptable, but Sfaa*.Zip is not.

We suggest that you name the files uniquely to make it easier for you to track them, but this is not a requirement. ISO renames each file to ensure its uniqueness.

Please note that if you do not adhere to this minimum unira*.zip or sfaa*.zip naming requirement, the file you send will remain in your account mailbox indefinitely. Please refer to the Sending Data Submissions sections of this guide for more details on what happens with files that meet this requirement and with those that do not.

TCLSP Submission Requirements

A TCLSP submission sent via ISOeSubm requires the following changes to your processes for creating your actual submission. All TCLSP submissions must be flat, unformatted data files (no Excel files). Unlike other reporting media (cartridge, diskette or CD), ISOeSubm requires that a transmittal record be the first record in the submission. The Transmittal Record Code (***** in positions 109-113 is required to identify the record as the transmittal record. In addition, the NAIC Group Number and the Type of Submission are required on the Transmittal Record.

File Restrictions

For files that originate on a mainframe or AS/400 system, we discourage the use of packed hexadecimal values in any of the record field positions. Our front-end edits preclude use of packed values in edited statistical plan fields. However, since Company Use fields are not edited, the possibility exists that packed values will be reported in these fields. Our testing has shown that packed fields will likely cause a problem in the transfer of your data using ISOeSubm.

SAR File Details

If you have elected to receive SARs electronically via ISOeSubm, the following provides you with instructions for viewing your SARs. In order to view returned SARs, you will need to unzip the SAR files using a PKZIP MVS 5.0 or later version compatible utility, run either on your PC or on your mainframe system. Since the

SARs are created as text files here at ISO prior to our zipping, when you unzip them, your system will likely open them with Microsoft WordPad or Notepad (or an equivalent tool) depending on your particular machine defaults.

If you prefer reviewing or storing a paper copy of the SAR, there are a few options for printing. To print from your PC, open the file in Microsoft Word (or an equivalent tool) and set the font to Courier New (8 point) to achieve optimal formatting. Carriage control features (i.e., page breaks) will be lost – all other formatting will be maintained. Mainframe users might want to consider transferring the SAR to their mainframe system and printing from there. This might be the preferred option when printing some of the larger formatted reports. Carriage controls will be recognized by your mainframe system/printer as long as you write the SAR out to an FBA formatted dataset.

File Transfer Speeds

ISOeSubm requires the use of a personal computer with an Internet connection. While a modem connection is sufficient, we suggest a high-speed connection (comparable to a T1 line) to help ensure optimal performance.

In addition, we recommend that you consult with your network support group. They may be able to increase the speed of the file transfers by modifying a number of items on your end, one being your network card setting.

System Availability

You can use ISOeSubm to connect to ISO 24 hours a day, seven days a week, with one exception -- transfers will not be possible on Saturdays between 12:00 PM and 4:00 PM Eastern Standard Time. In addition to this planned downtime, there may be other isolated times during which the server is not available. In both of these cases, you will receive a standard browser message indicating that the site is unavailable or cannot be displayed.

Product Support

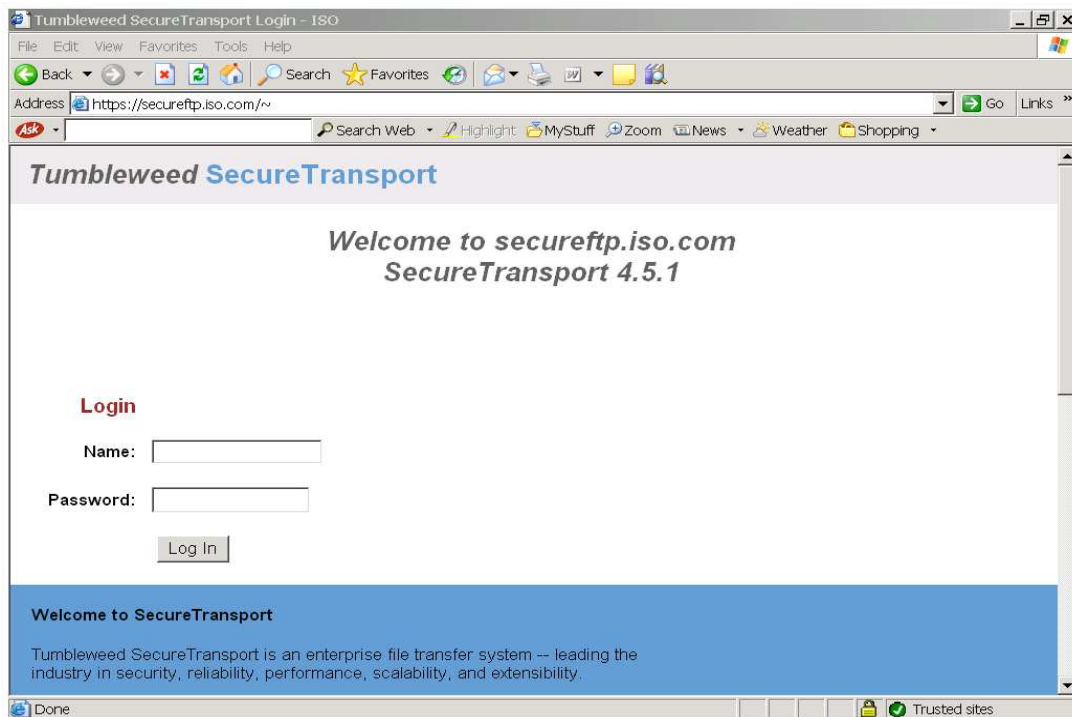
Customer support is provided by the ISO User Help Desk. The User Help Desk is available to answer any questions you may have regarding ISOeSubm. Support is available Monday through Friday from 7:30 AM to midnight Eastern Standard Time. The telephone number is (800) 888-4476.

Using the Browser Option

Getting Started

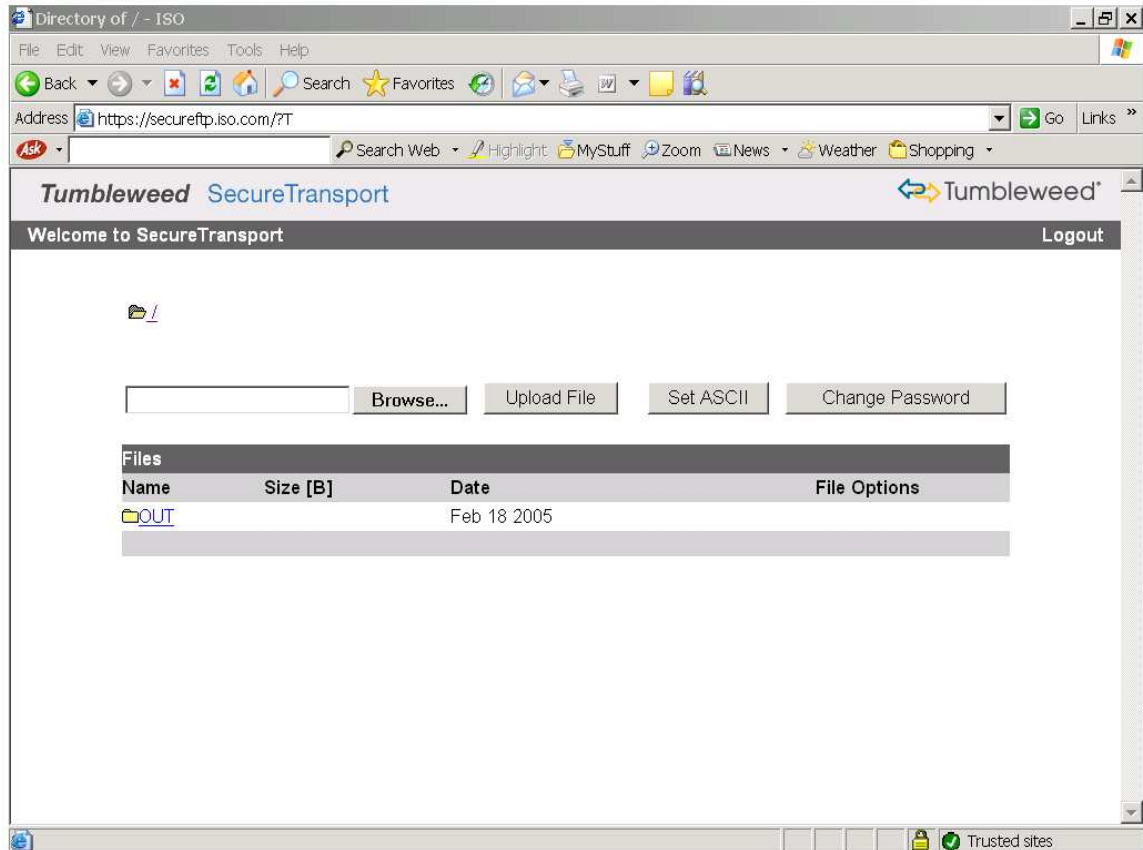
ISOeSubm provides you with two main client options for invoking SecureTransport. The first of these is a browser option. If you choose to use a standard browser as your client connection then there is no software to install. Just follow the steps below to connect to your ISO mailbox:

1. Type the following address into your web browser: <https://secureftp.iso.com>
2. Type in your ISO-assigned User ID/Name and Password. **Please note that the Name and Password fields are case sensitive.** You will have the option of having the Name and associated Password saved for subsequent sessions.
3. Click on <Log In> to connect to your account mailbox.



Main Browser Screen

If your login is successful, you will see the screen below. This is the way the screen will appear if there are no files in your mailbox.



The OUT folder is the first item listed in your mailbox. If you are set up to receive SARs via ISOeSubm, your SARs will be sent to this OUT folder. Otherwise, the OUT folder will remain empty.

The following command buttons are displayed:

Browse: The <Browse> button allows you to browse your directories to find and select a file that you would like to send to ISO. After a file is selected, the file name will appear in the box to the left of the Browse button.

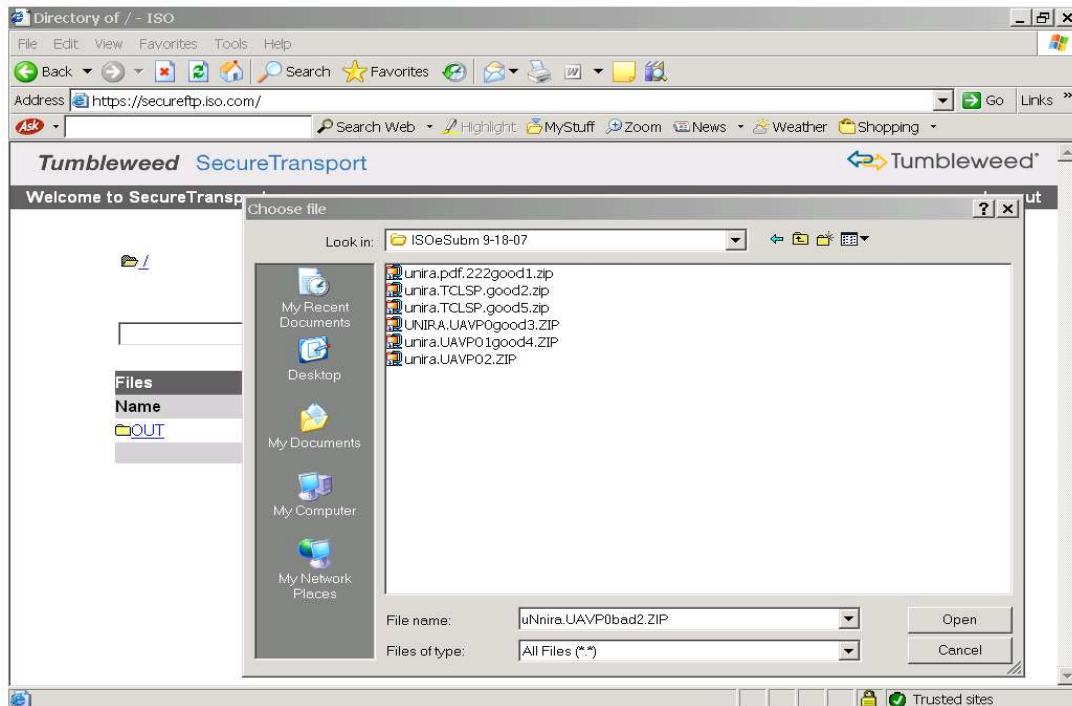
Upload File: After specifying a file, the <Upload File> button will initiate the transfer of the file to ISO.

Set ASCII: When you log onto your mailbox for the first time, this third command button will read <Set ASCII>. This button must read 'Set ASCII' in order for your zipped files to be transferred in binary mode as required. If you inadvertently click on this command button, you will see that it changes to <Set Binary>. Do not send files to ISO with 'Set Binary' displayed – click the button again to return to 'Set ASCII'.

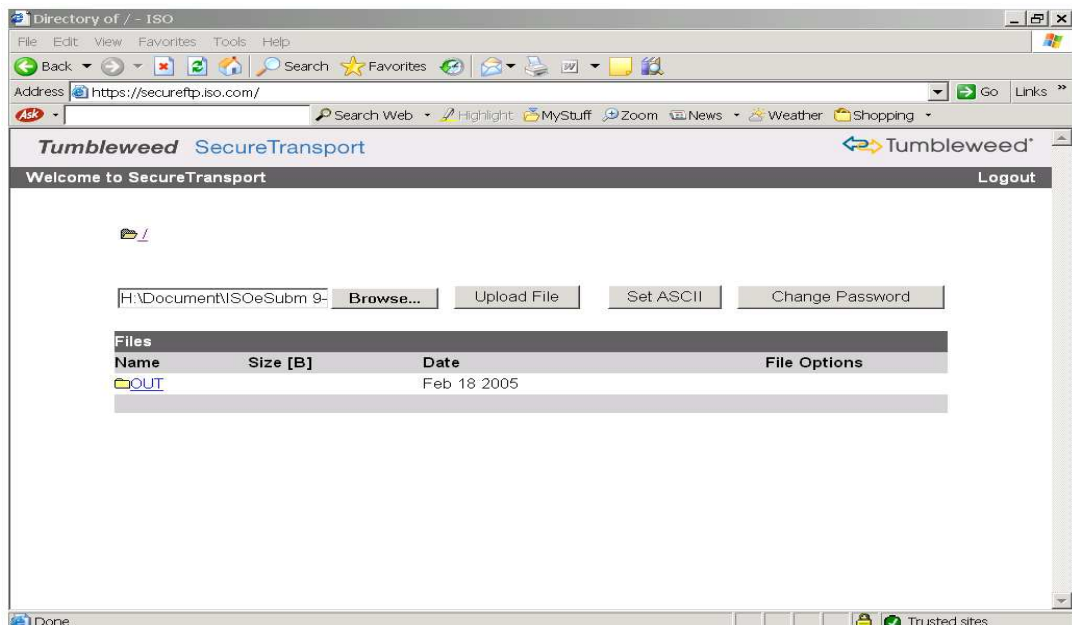
Change Password: The fourth command button is the <Change Password> button. Some companies have experienced problems attempting to change their Password in this way. If you would like to change your Password, you need to call the ISO Help Desk at (800) 888 – 4476 and they will handle that for you.

Sending Data Submissions

Click on <Browse> to choose the file that you will be sending to ISO. **You can only select one file at a time (and send only one file at a time), and the file must be zipped before selecting it here.** This file can be stored anywhere on your PC, Local Area Network (LAN), CD or diskette.



Select the file you want to send, and click <Open>. This file will now be displayed on the screen in the list box to the left of the Browse command button as shown below.

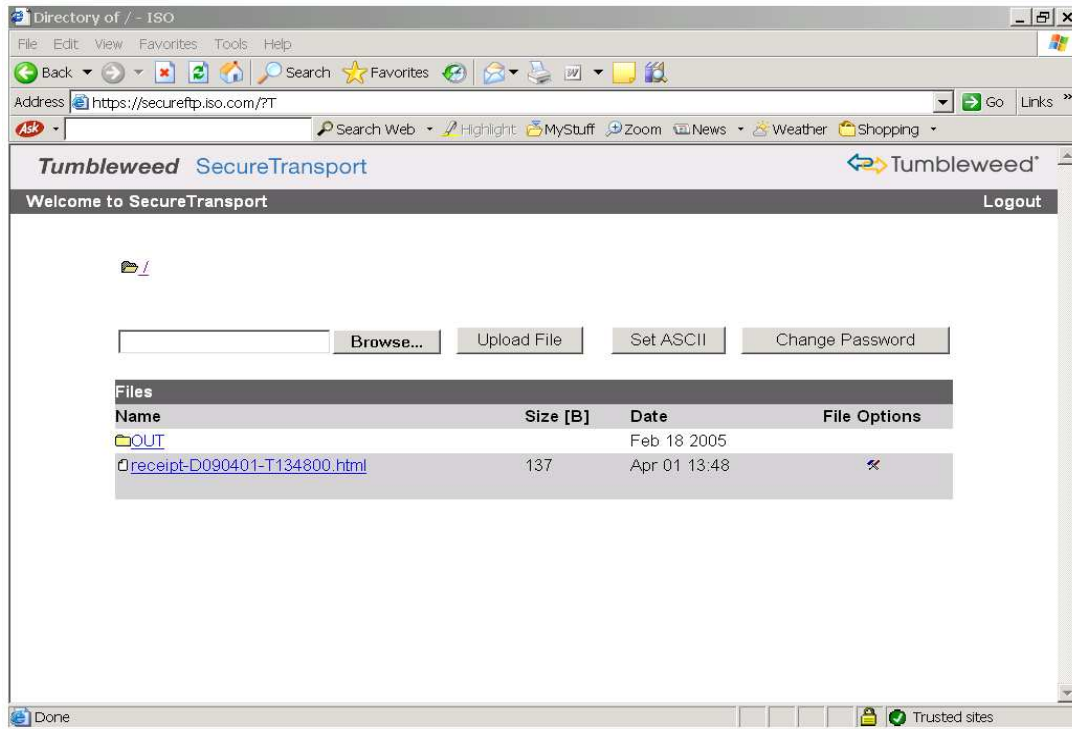


Your zipped files must be sent in binary mode. To ensure that you are in binary mode, the command button must display <Set ASCII> (suggesting binary transfer).

Click <Upload File> to transmit the file to ISO.

Your browser's progress bar will be displayed at the bottom of the screen, indicating the progress of your transfer. Most files will transfer in a matter of minutes. Actual transfer speeds, however, will depend on the size of your file, your connection, and day/time of transfer (e.g., relative to stat reporting deadlines). You are able to work on other applications while the transfer is in progress as long as the connection is maintained.

If your file transfer is successful, the file will no longer be displayed on your screen, but a note will be populated to your mailbox confirming its receipt here at ISO, as shown below.



You need to maintain your connection in order to see the receipt note in your mailbox, or you can log in again at a later time. Generally, you will see the receipt notification in your mailbox within seconds of the completion of your transfer. Please note that this receipt simply confirms that your file made it successfully to the ISO server. It does not tell you anything about the results of its processing through our front-end edits.

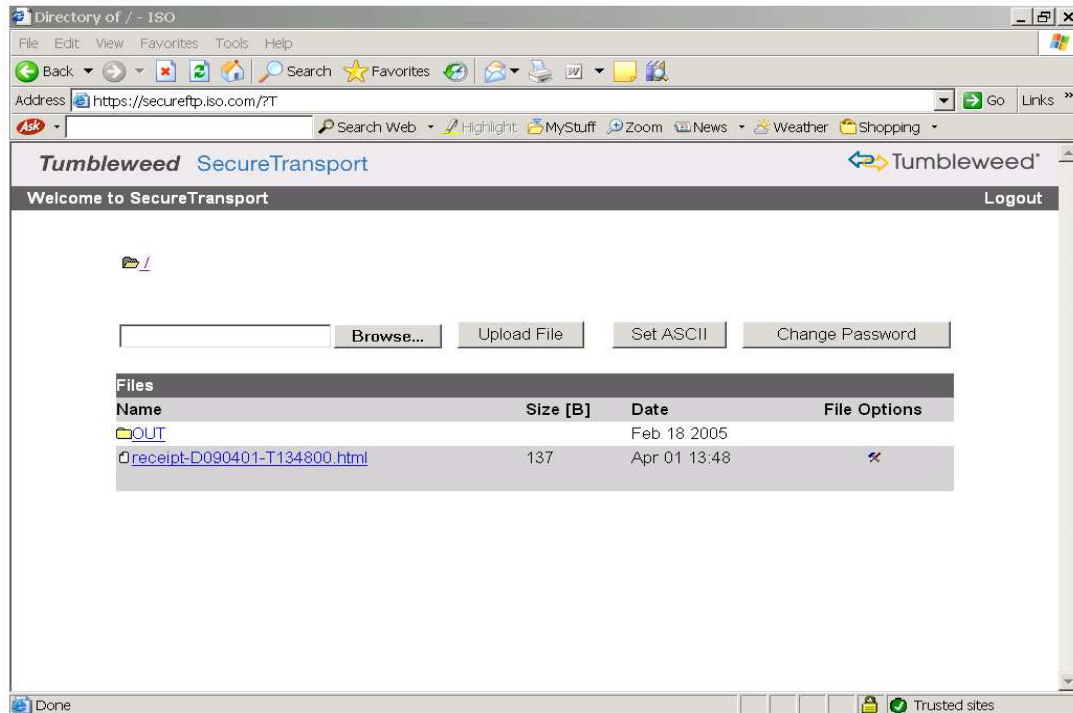
If your file transfer is not successful, you will not receive a receipt note from us, and your data file will remain in your mailbox until you delete it. This may occur for one of the following reasons:

- You incorrectly name the file (i.e., your file name was not in the required unira*.zip or sfaa*.zip format). In this case, the file will remain in your account mailbox until you delete it.
- Something went wrong with your connection to our server.
- Your browser does not support the required 128-bit encryption.

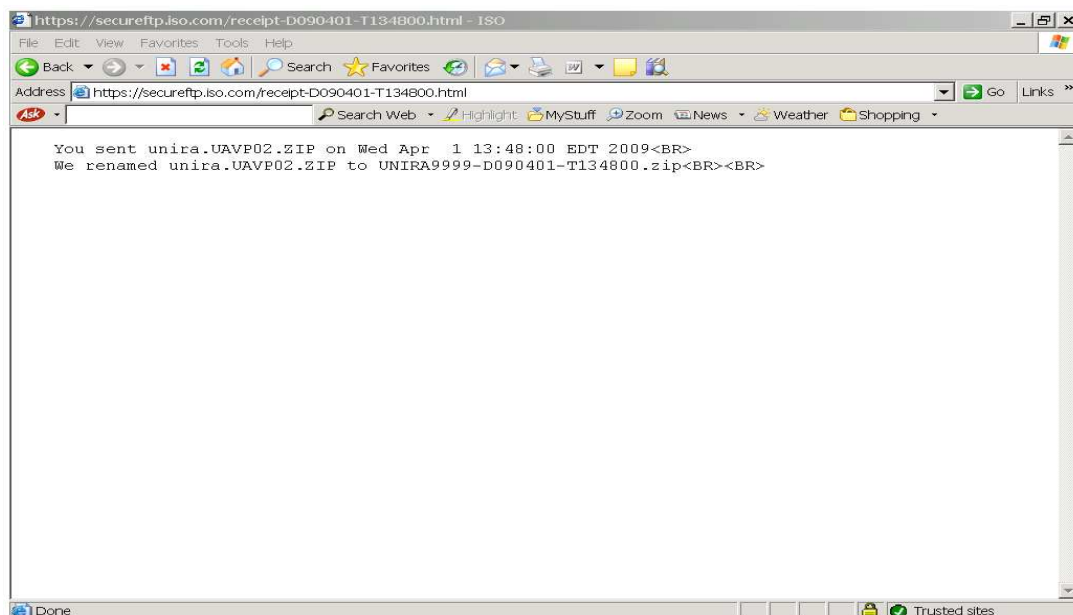
Please note that the browser option for invoking SecureTransport does not have checkpoint restart capabilities. If your transmission of a file is unsuccessful due to line failures or disconnects, you will need to resend it.

Viewing and Downloading Files

This section describes how to view and download any file in your mailbox, including submission receipt files and/or Submission Analysis Reports (SARs). Below is an example of an account mailbox containing a receipt file:



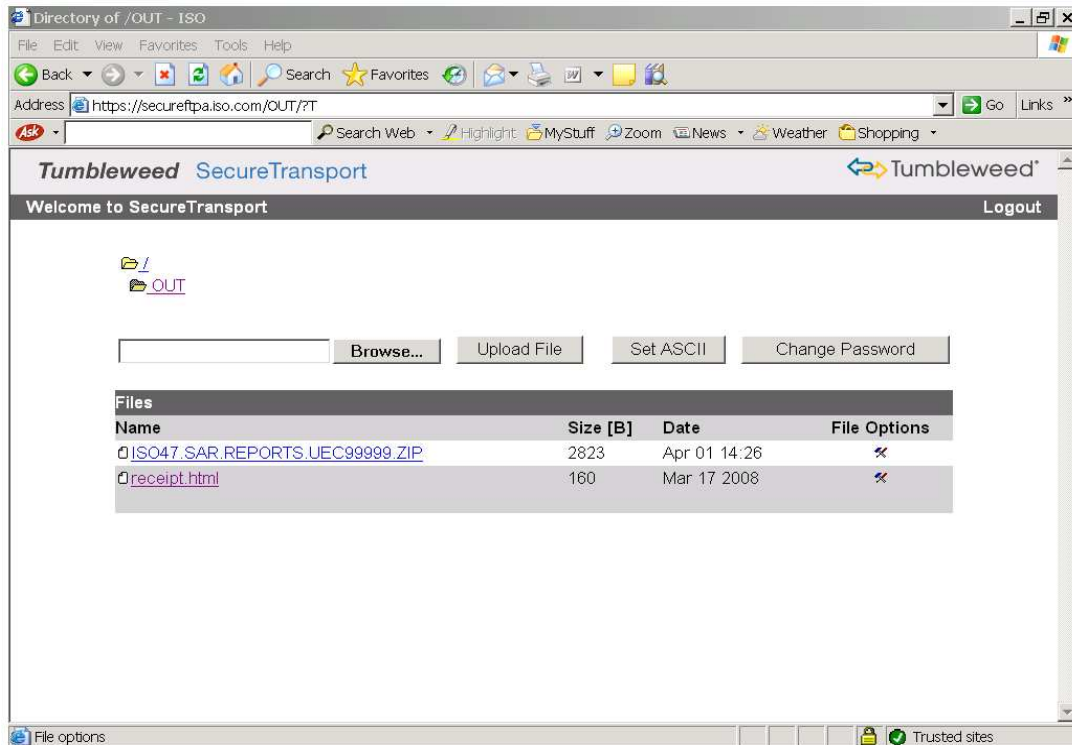
Submission receipt files are named `receipt-DYYMMDD-THHMMSS.html` where YYMMDD is the date stamp and HHMMSS is the time stamp. You can view receipt files in your account mailbox by single clicking on the file name displayed on this screen. Below is a sample submission receipt file.



This receipt displays the name of the submission file as you sent it, the time it was received at ISO, and the ISO-assigned file name (which incorporates a date/time stamp). If you have any problems or questions that prompt you to call the ISO Help Desk, you may be asked for the ISO-assigned file name for tracking purposes.

Once you have viewed the file, use your browser's Back arrow to return to the main browser screen. **If you close the note instead of using Back, you will be disconnected from our server and your account mailbox.**

If you have elected to receive your Submission Analysis Reports via ISOeSubm, and would like to view a returned SAR, single click on the OUT folder. Below is an example of an OUT folder containing an SAR file.



SAR files are named 'ISO47.SAR.REPORTS.*.ZIP' for ISO and TCLSP where * is the unique JOB ID assigned for this particular SAR. For SFAA, the SAR files are named 'ISO88.SAR.REPORTS.SFAAnnnn*.SAR.ZIP' for SFAA where 'nnnn' is your group number and * is the cycle number for this SAR. You can view any of the SAR files in your OUT folder by single clicking on the file name displayed on this screen. You will then be asked to open or save the file. Click on 'Open' to display the zip archive. Double click on the file(s) contained within the zip archive to view the SAR.

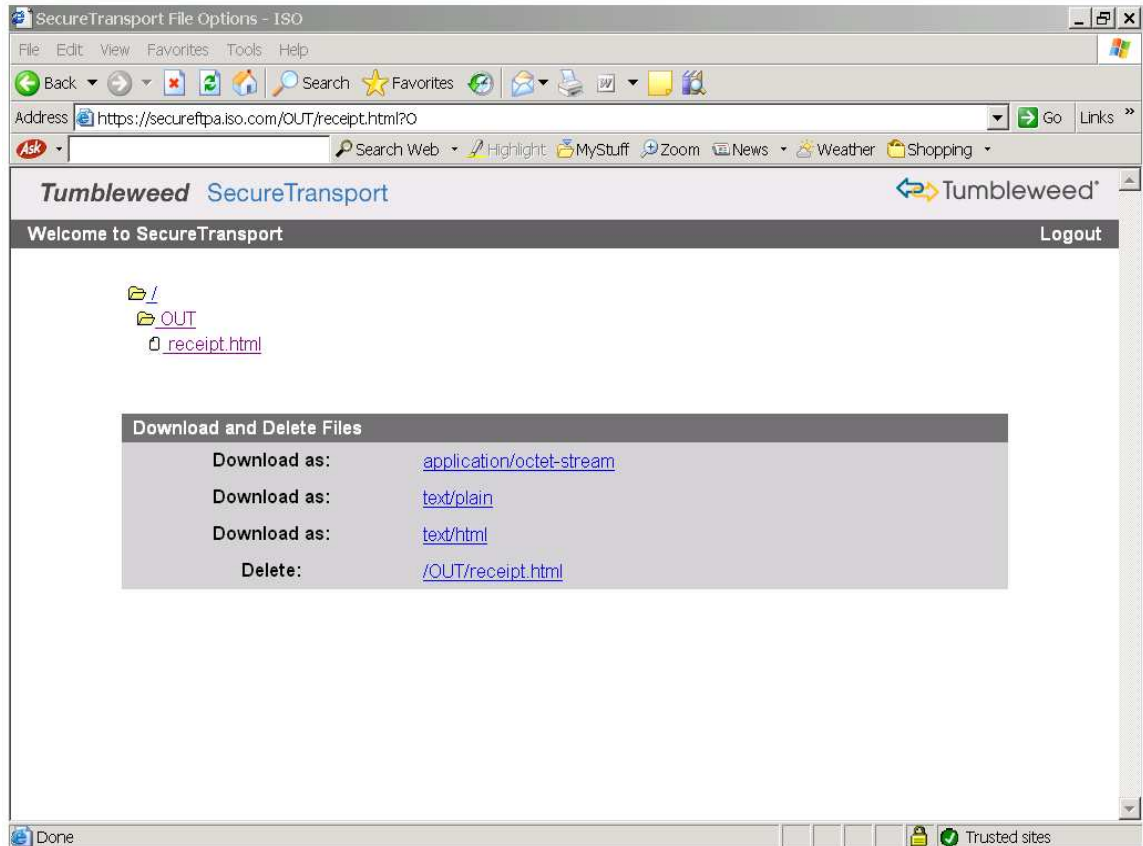
After viewing the SAR file, close the SAR file and the zip archive to return to the OUT folder. To return to the main browser screen, click on the folder icon in the upper left hand corner of the screen. When you click on the icon, the OUT folder icon below it will disappear.

The OUT folder also contains a file named receipt.html. This file contains a list of all the SAR files sent to your account mailbox.

In addition to viewing the submission receipt and SAR files listed in your mailbox, you can download a copy to a location that you specify. You may find it helpful to download these files for your records.

You can download receipt files or SAR files in one of two ways:

- For a receipt file, single-click on the file name. Select File and Save As from your browser menu bar, and specify the folder and file name. For an SAR file, single click on the file name. Click on ‘Save’, then specify the folder and file name.
- Alternatively, you can click on the tools icon displayed under the File Options heading for the file you are trying to download. The available formatting options for the downloaded file are now displayed on the screen, as shown below. To download a copy of a submission receipt note or an SAR file, click on the hypertext ‘text/plain’ or ‘text/html’.



When you download a file (submission receipt or SAR), you are downloading a copy – the file remains in your account mailbox. SecureTransport does NOT automatically delete old files. You must delete them manually by clicking on the hypertext to the right of ‘Delete’ on the screen above.

Note that SARs will only remain in your mailbox for up to two months, at which point they will be deleted automatically by ISO from our server (in the interest of space). Please be sure to either review or download the SAR within this timeframe.

Using the Windows Client Software

Getting Started

A second way to invoke SecureTransport is to purchase Axway's SecureTransport Windows client software and install it on your PC. Use of this software and the instructions provided here assume a basic knowledge of Microsoft Windows applications.

Please follow the steps listed below if this is the option you have chosen. These instructions describe how to download the software from your account mailbox and install it on your PC:

1. Type the following address into your web browser: <https://secureftp.iso.com>
2. Type in the User ID/Name and Password assigned to your company by ISO. **Please note that the User ID and Password are case sensitive.**
3. Click <Log In> to proceed to the next screen.
4. If you have purchased the Windows version of the SecureTransport client to install on your own PC, you will be able to download the software from your mailbox on the ISO server. To do this, double click on the following file in your mailbox: **STWin32Client_451_EN.exe**.
5. A Save As window will appear after you double click on the executable file. Use the Save As window to select the location on your local system to save to. Click OK to save.
6. To install the software, double click on the exe file after it has been saved to your system.
7. Follow the instructions for installation that appear on your screen. Axway's software licensing agreement will be displayed during installation. **You are responsible for accepting the terms and conditions of this agreement at that time.**

Once installed, you can start the software by selecting **Start > Programs > Axway > SecureTransport Client > SecureTransport**. The Remote Site Explorer screen will appear, and an icon will be added to the system tray of the taskbar at the bottom of your screen. This icon indicates that the software is active. Right clicking on this icon will give you a number of options. You can connect to a server, check the progress of any files you are currently transmitting, check your transfer queue, or set preferences. Selecting Exit from this menu will allow you to shut down the application.

The SecureTransport Windows client software allows you to select from and to set a number of different options. The software's Online Help utility details these options. The sections that follow here highlight a few options that may be particularly useful to ISOeSubm users – setting profile information and setting preferences.

Setting Your Profile

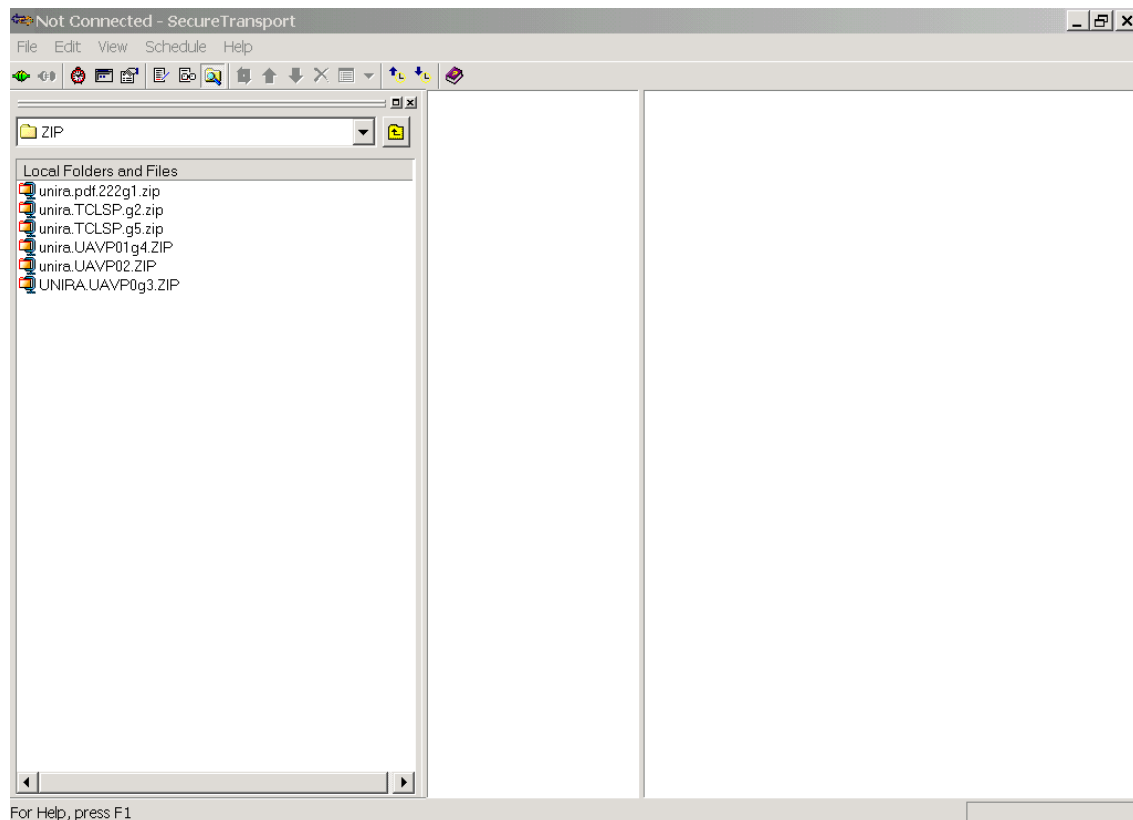
This section describes how to create a profile for connecting to ISO's server using the Remote Sites dialog.

The Remote Sites dialog can be used to create, modify, copy, or delete connection profiles. A connection profile is information about a connection that is stored for frequent use. Profiles make it easier to connect to commonly used servers without having to retype information.

The Remote Sites dialog is accessible through the Remote Site Explorer screen. To access the Remote Site Explorer, do any one of the following:

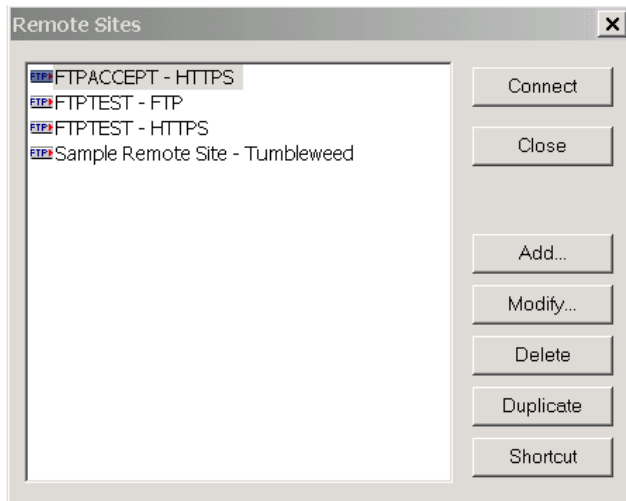
- Select Start > Programs > Axway > SecureTransport Client > Secure Transport.
- Right-click the **SecureTransport Client** icon in the system tray of the taskbar. From the shortcut menu, choose Connect.
- From the Transfer Queue, either click the Connect icon on the toolbar or click on File and then select Connect.

The Remote Site Explorer screen appears:

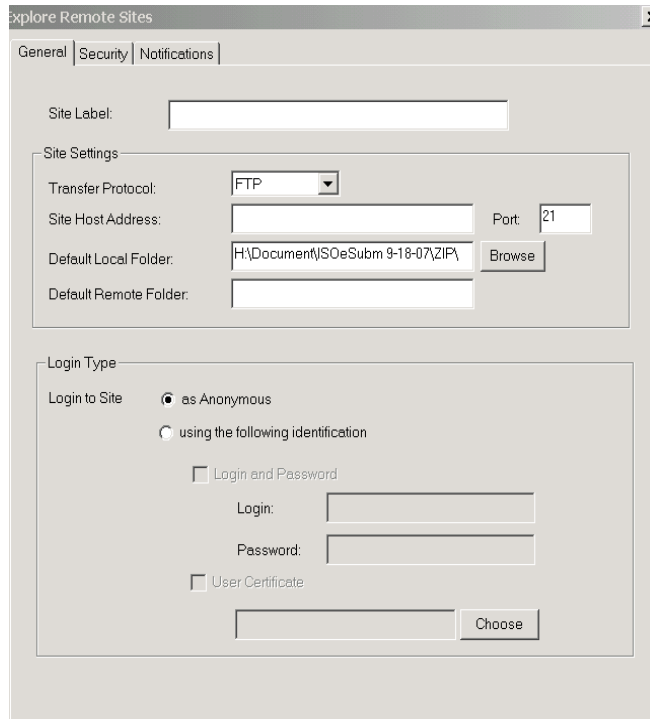


The Remote Site Explorer will generally also display the Remote Sites dialog, similar to the one displayed below. If the Remote Sites dialog does not appear, click on File and then Connect to bring it up.

The Remote Sites dialog lists profiles that are already set up on your computer. If you do not have any profiles set, the Remote Sites dialog will only display a sample.



To create a profile, click on the <Add> button. A profile screen appears, consisting of three tabs, as shown below.



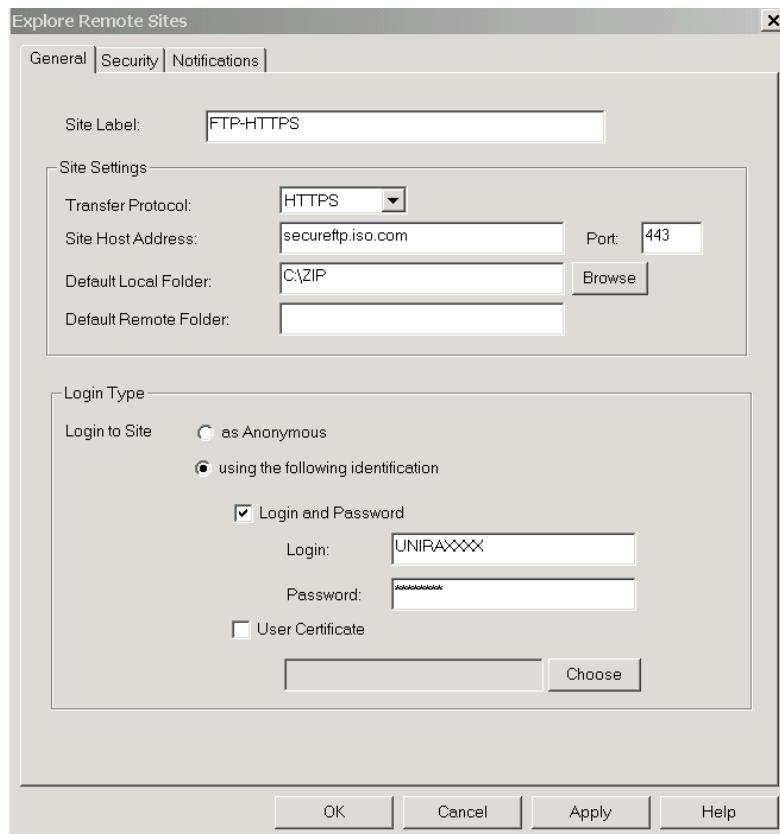
Select the General Tab on the Remote Sites dialog screen.

Enter the following values on the General tab:

Site Label: Select a name to identify this profile – perhaps ISOeSubm.
Transfer Protocol: HTTPS
Site Host Address: secureftp.iso.com
Port: 443
Default Local Folder: Specify your local directory where the data resides.
Default Remote Folder: Leave blank.

Login to Site: Select "using the following identification".
Login: Your User ID – Case sensitive so enter it exactly as it was given to you.
Password: Your Password – Case sensitive so enter it exactly as it was given to you.
User Certificate: Leave blank.

The Remote Sites dialog screen will now look like this:



Click the <Apply> and then <OK> button to add this profile. Your new connection profile will now be listed in the Remote Sites dialog. You will be able to click on it here to quickly connect to the ISO server.

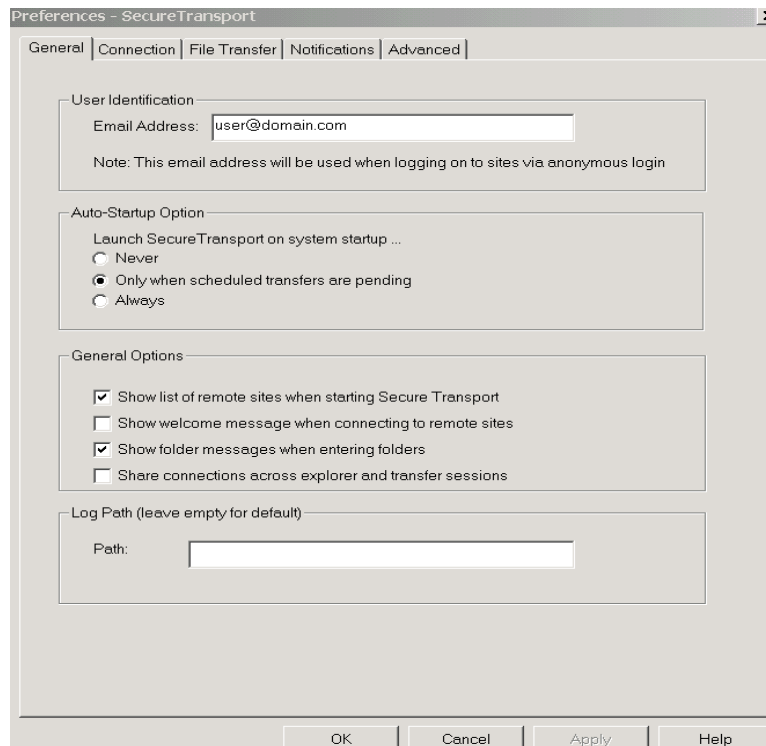
Setting Preferences

The Preferences dialog allows you to create your own business and security settings for using SecureTransport.

To access the Preferences screen, do any one of the following:

- From the Remote Site Explorer screen click on Edit, and then Preferences.
- From the Transfer Queue click on Edit, and then Preferences.
- Right click on the SecureTransport icon on the taskbar. From the shortcut menu, select Preferences.

The Preferences screen then appears as below:



The screenshot shows the 'Preferences - SecureTransport' dialog box with the 'General' tab selected. The dialog has a title bar with a close button (X) and a tabbed interface with 'General', 'Connection', 'File Transfer', 'Notifications', and 'Advanced' tabs. The 'General' tab contains the following sections:

- User Identification:** An 'Email Address' field containing 'user@domain.com'. Below it is a note: 'Note: This email address will be used when logging on to sites via anonymous login'.
- Auto-Startup Option:** A section titled 'Launch SecureTransport on system startup ...' with three radio button options: 'Never', 'Only when scheduled transfers are pending' (which is selected), and 'Always'.
- General Options:** A section with four checkboxes: 'Show list of remote sites when starting Secure Transport' (checked), 'Show welcome message when connecting to remote sites' (unchecked), 'Show folder messages when entering folders' (checked), and 'Share connections across explorer and transfer sessions' (unchecked).
- Log Path (leave empty for default):** A 'Path' field that is currently empty.

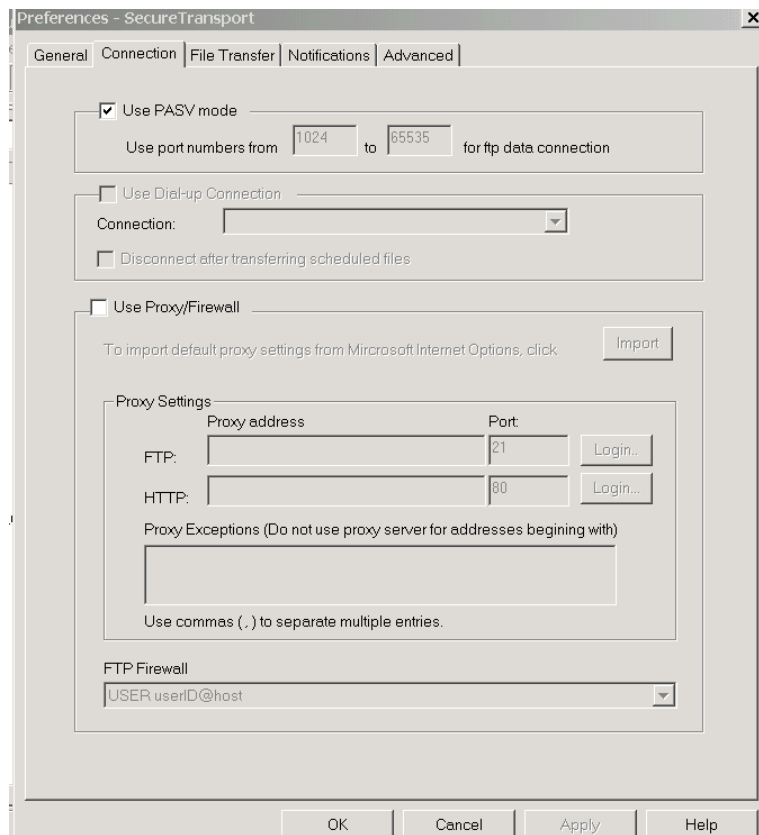
At the bottom of the dialog are four buttons: 'OK', 'Cancel', 'Apply', and 'Help'.

Preference settings are contained of five tabs within this main Preference screen. The tabs are:

- General
- Connection
- File Transfer
- Notifications
- Advanced

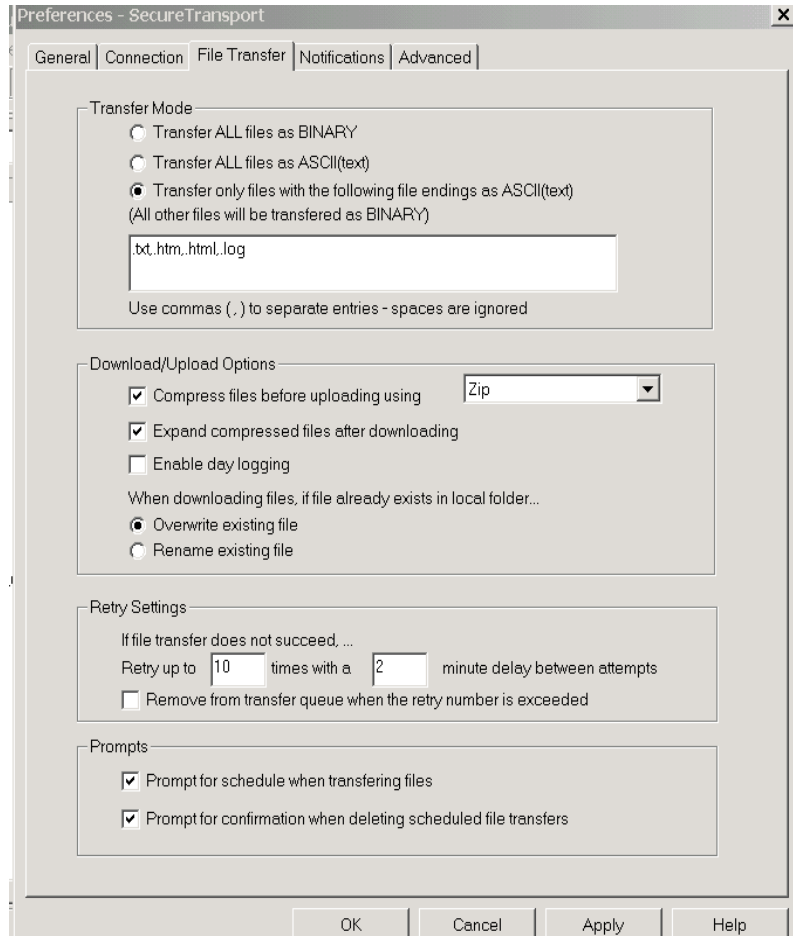
You can use any or all of these features to suit your own business needs. For details on these preferences, please refer to the software's Help utility.

Please check Passive Mode on Connection Tab.



For transfers of statistical data to ISO, you may find the File Transfer tab particularly useful.

As noted in the Data Submission Requirements section of this user guide, all files submitted to ISO must be zipped. SecureTransport has an option that automatically zips files before they are sent (i.e. you do not have to manually zip your files). On the Preferences screen, select the File Transfer tab.



Click the check box for “Compress files before uploading using” and select any PKZIP MVS 5.0 or later version compatible software that you may have on your machine. Then click the <Apply> and then <OK> button to save the settings.

Please note that the Transfer Mode setting displayed on this tab needs to be set so that all zipped files are sent in binary mode to ISO. The default setting is displayed above. This is sufficient for files that are zipped – no change is required. However, if you are using this software to send only zipped files, then you can instead elect to send all files in binary mode by clicking the first radio button under Transfer Mode (“Transfer ALL files as BINARY”).

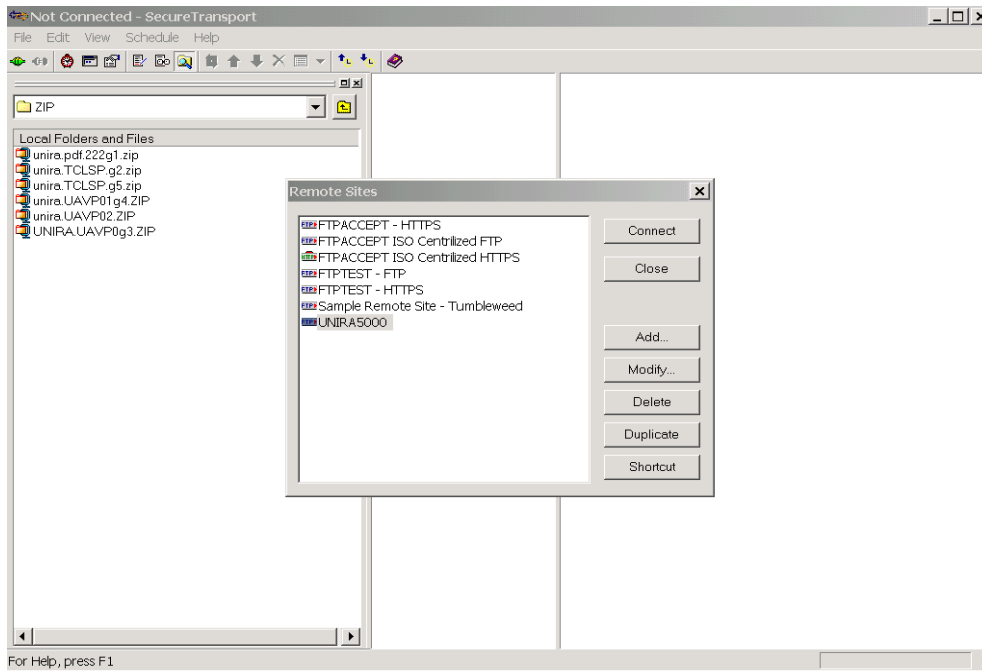
Also note that an unzipped file must not already contain a zip extension in the file name, otherwise the software will not zip the file. The software assumes that a file containing a zip extension is already zipped even if that is not the case. The zip extension is added to the file name after the file is zipped.

Sending Data Submissions

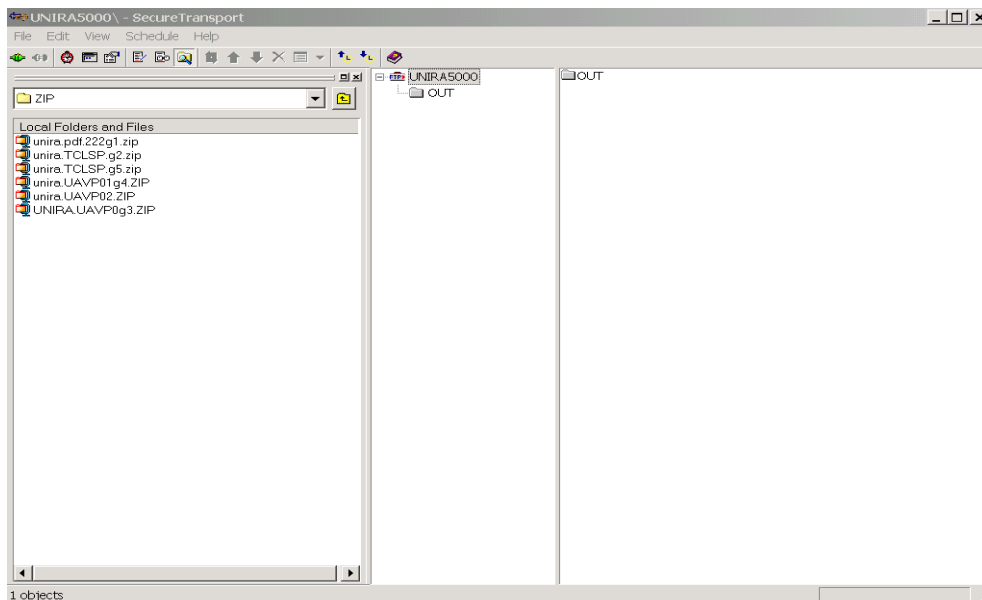
This section describes how to send files to ISO using the SecureTransport client. (See the Scheduling Transfers section for information on how to schedule transfers.)

From the Remote Site Explorer screen click on File, and then Connect or press PF10 key.

In the pop-up window select the profile you just added, and then click Connect.




A new window will open up, listing all the files in your account mailbox in the rightmost column. This is the way the screen will appear if there are no files in your mailbox.

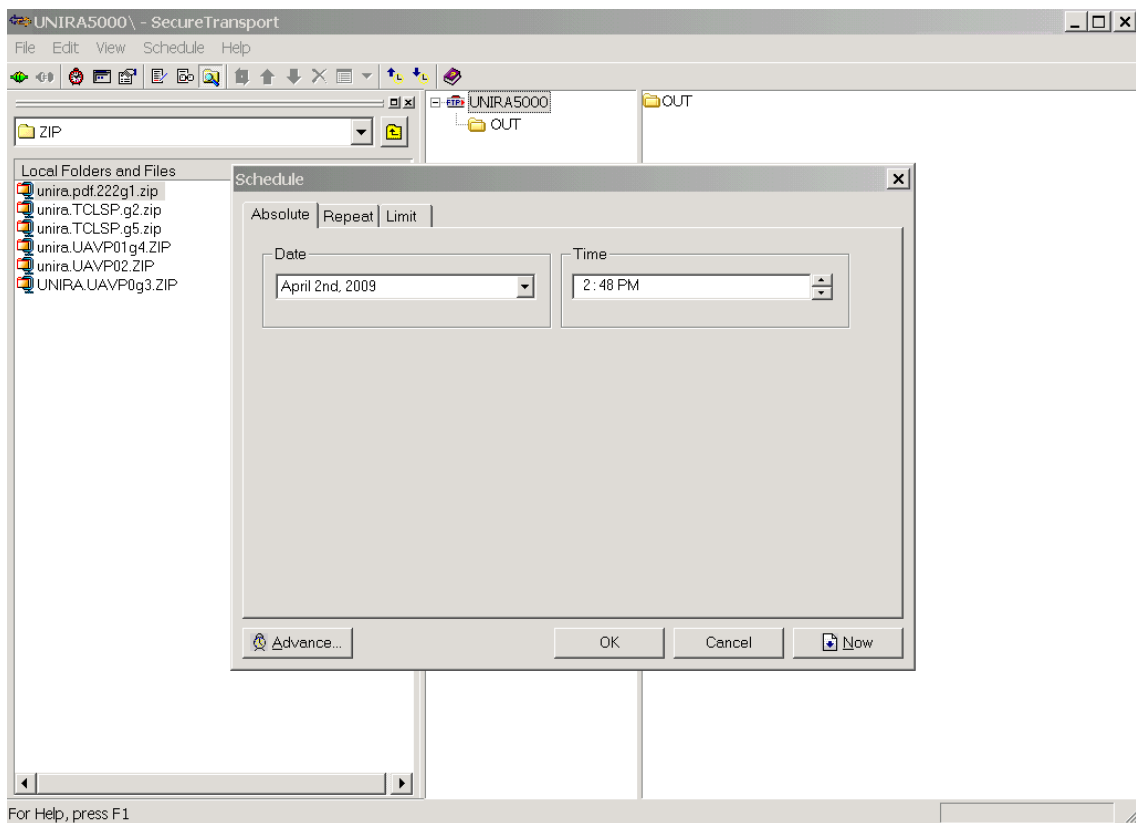


The OUT folder is the first item listed in your mailbox. If you are set up to receive SARs via ISOeSubm, your SARs will be sent to the OUT folder. Otherwise, the OUT folder will remain empty.

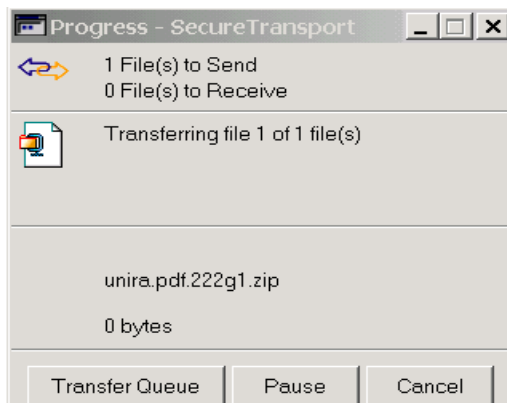
You can transfer submission files in several ways from the Remote Site Explorer. First, click on your user ID in the middle column of the screen to highlight it. This ensures that the file is being uploaded from your account folder, not the OUT subfolder. Then select the file in the Local Resources Browser (in the left column). Note that you can select/send multiple files by using standard keyboard functions. Start the upload using any one of these options:

- Right click on the file and from the shortcut menu select Upload.
- Select File and Upload.
- Click the Upload button () on the Remote Site Explorer toolbar.

The Schedule dialog appears. To send a file immediately, click on the <Now> button.

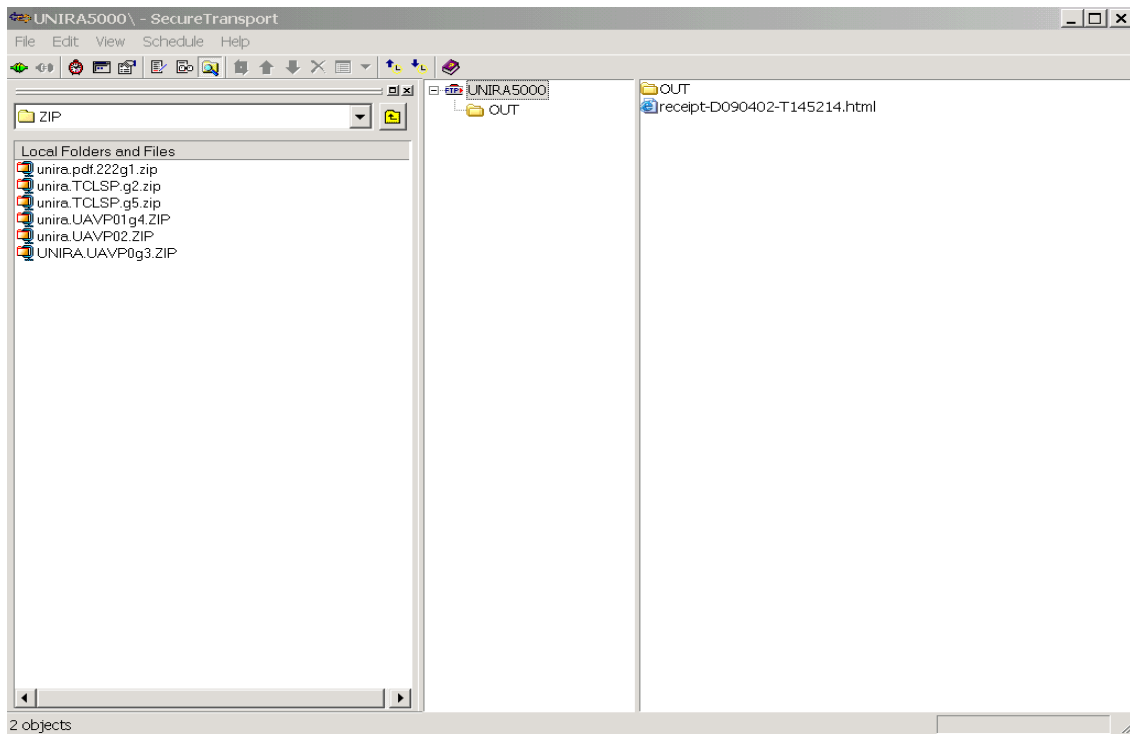


A Progress pop-up will appear. The Progress screen shows the status of any files that are waiting to be transferred and the progress of files that are transferring. If a file is being transferred, you can pause it from this screen.



Most files will transfer in a matter of minutes. Actual transfer speeds, however, will depend on the size of your file, your connection, and day/time of transfer (e.g., relative to stat reporting deadlines). You are able to work on other applications while the transfer is in progress as long as the connection is maintained.

If your file transfer is successful a note will be populated to your mailbox confirming its receipt here at ISO.



You need to maintain your connection in order to see the note in your mailbox, or you can log in again at a later time. Generally, you will see the receipt notification in your mailbox within seconds of the completion of your transfer. Please note that this receipt simply confirms that your file made it successfully to the ISO server. It does not tell you anything about the results of its processing through our front-end edits.

If your file transfer is not successful, you will not receive a confirmation note from us, and your data file will remain in your mailbox until you delete it. This may be for one of the following reasons:

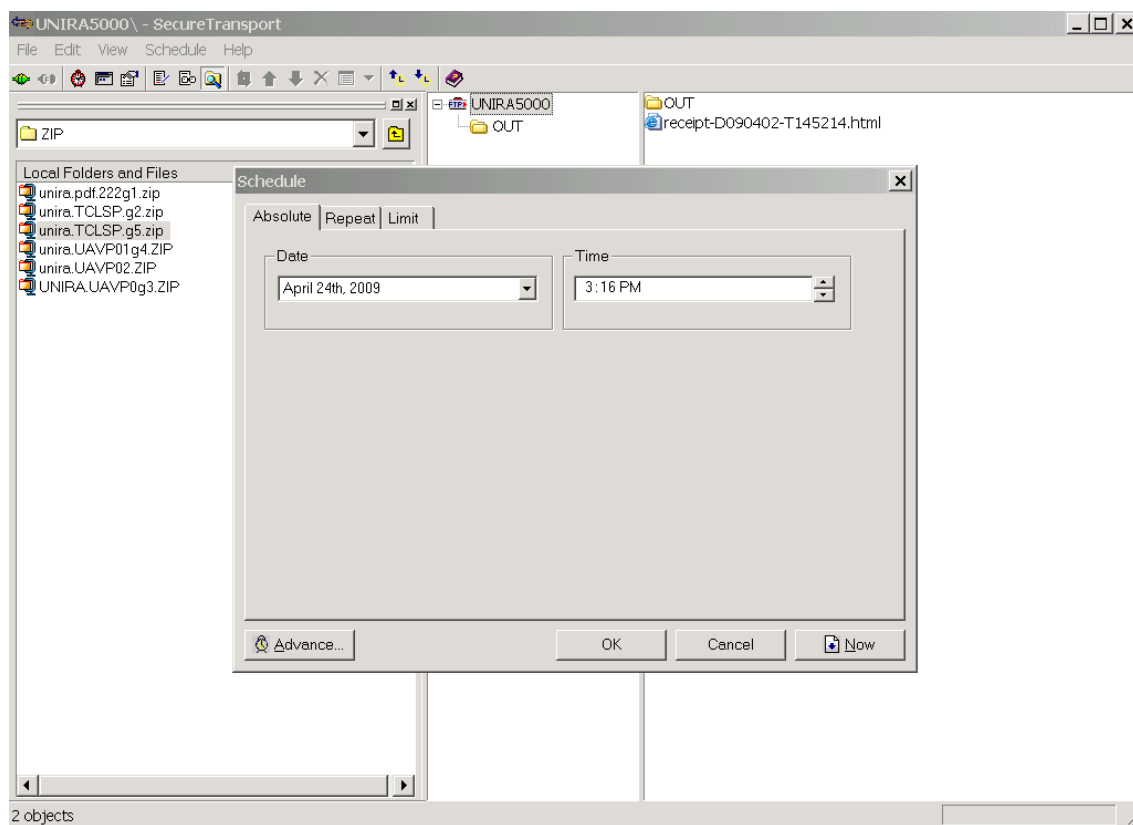
- You incorrectly name the file (i.e., your file name was not in the required unira*.zip or sfaa*.zip format). In this case, the file will remain in your account mailbox until you delete it.
- Something went wrong with your connection to our server.

Scheduling Transfers

SecureTransport has a scheduling feature that allows you to specify when you want to transfer files. This is especially useful if you are moving large files and want to perform the transfer during off-hours (e.g., at the end of the business day).

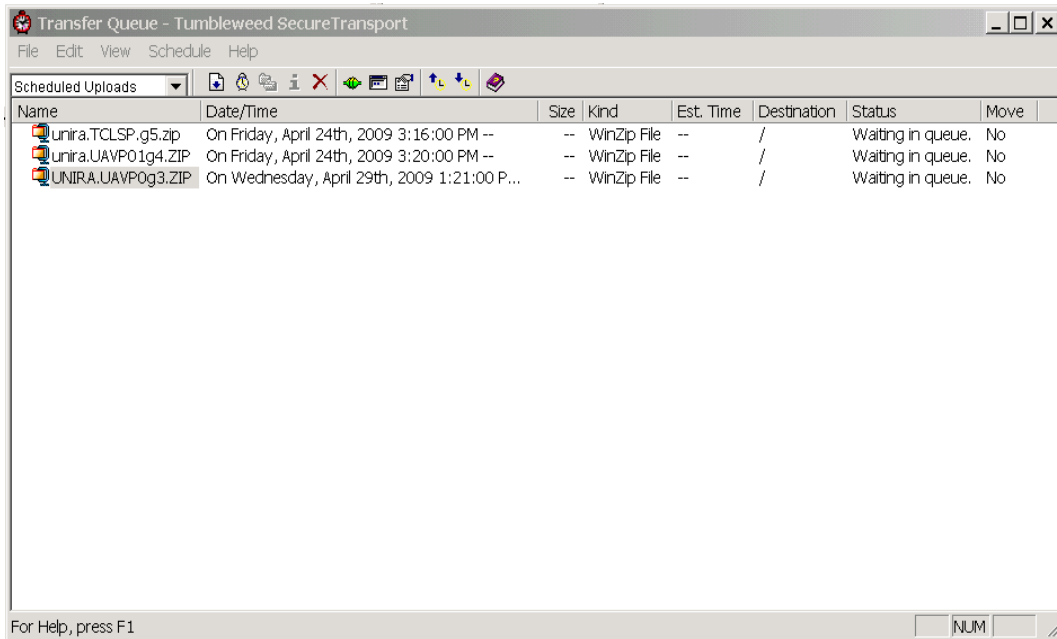
When the Schedule pop-up window appears, instead of clicking on the <Now> button, you can schedule the file(s) to be transferred at some future time.

To schedule a one-time transfer at a specific time, click on the Absolute Tab. Use the drop down lists to schedule the day and time of the transfer. Click OK.



A Progress pop-up will appear.

To view your scheduled uploads, go to the Transfer Queue screen by clicking on View on the Remote Site Explorer screen, and then selecting Transfer Queue. Scroll to Scheduled Uploads. Your submission files will be displayed along with their scheduled times for transfer to ISO. In order for these files to be transferred at the scheduled time, your computer must remain on and the SecureTransport client icon must be present in the system tray of the taskbar. If you turn off your machine or even just exit from the SecureTransport application, the files will automatically start to transfer when you next access the application if after the scheduled time.



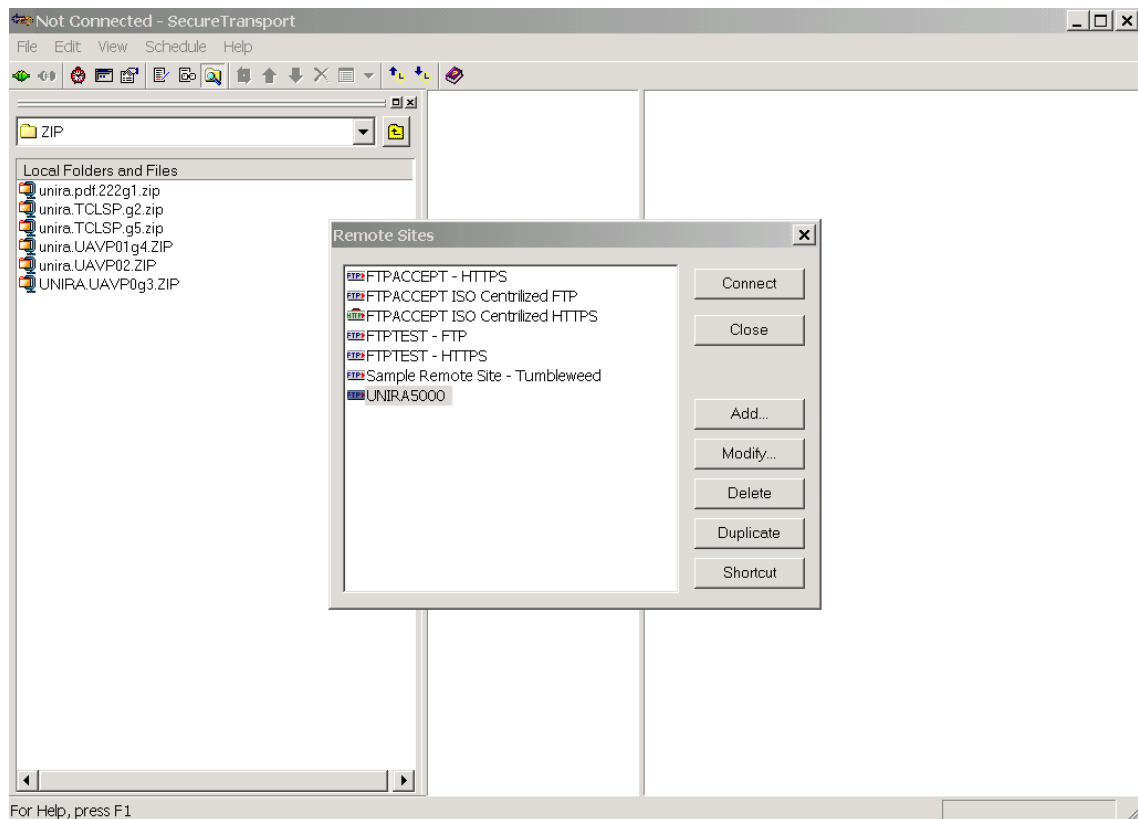
Upon the successful transfer of a file to ISO, a submission receipt file will be placed into your account mailbox viewable on the Remote Site Explorer screen. Even if you select multiple files for transfer at one time, you will receive a receipt note for each individual file. The receipt file can also be viewed in the Transfer Queue in the Files Received window with the date and time of the transfer. The next section details how to download these submission receipt files as well as SAR files.

Downloading Files

This chapter describes how to download submission receipt files and SAR files from ISO using SecureTransport.

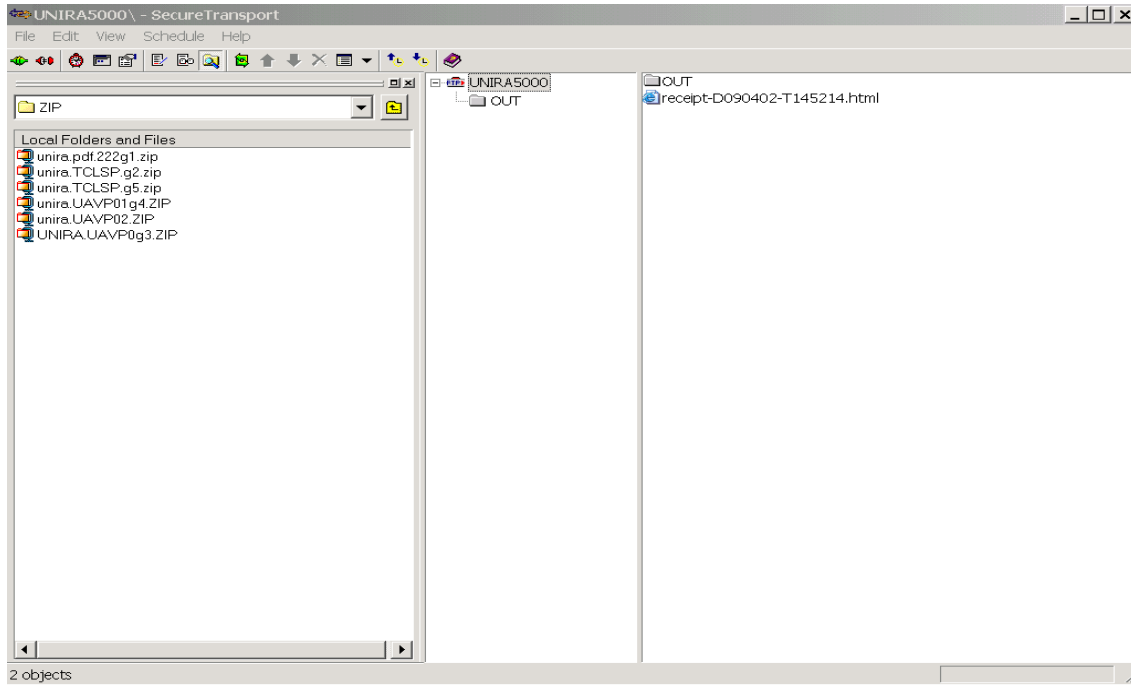
From the Remote Site Explorer screen click on File, and then Connect.

In the pop-up window select the ISOeSubm profile, and then click Connect.

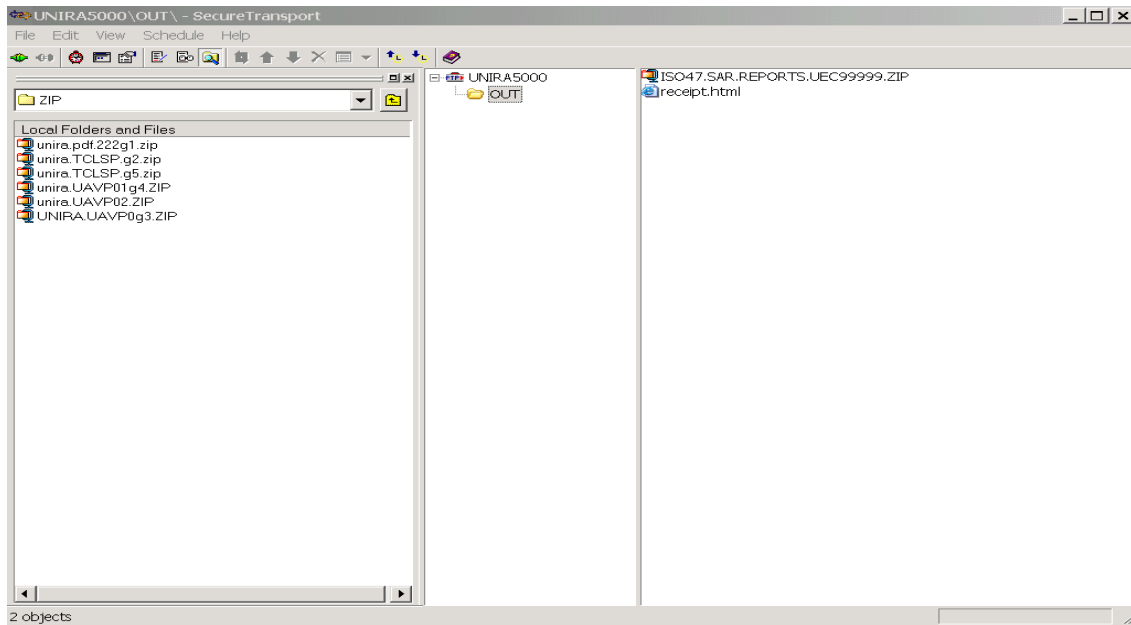


A new window will open up, listing all the files in your account mailbox in the rightmost column.

Submission receipt files are named receipt-DYYMMDD-THHMMSS where YYMMDD is the date stamp and HHMMSS is the time stamp. Receipt files are loaded to your root directory and listed below the OUT folder.



Submission Analysis Reports are sent to the OUT folder. To view the SAR files listed in the OUT folder, single-click on the OUT folder. Below is an example of an OUT folder containing an SAR file.



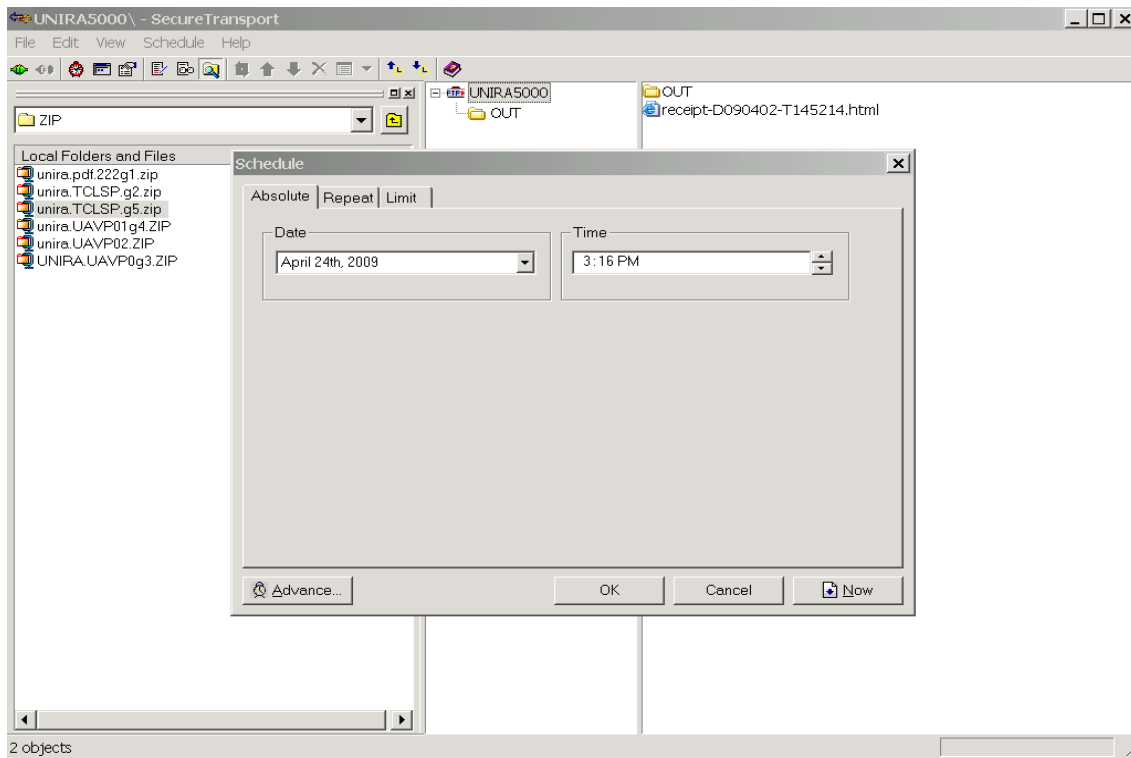
The OUT folder also contains a file named receipt.html. This file contains a list of all the SARs sent to your account mailbox.

The drop down box at the top left of the screen (i.e., the Local Resources Browser) indicates the folder to which the file(s) will be saved on your PC. If you have already designated a download path in your profiles, it will be displayed here. If you have not designated a download path in your profiles, then use the Local Resources Browser to locate the directory into which you want to download a file.

Select the file(s) in your account mailbox to be downloaded (either a submission receipt file or an SAR file) and do any one of the following:

- Right-click and from the shortcut menu, select Download.
- Select File and Download.
- Click the Download button (↓) on the Remote Site Explorer toolbar.

The Schedule dialog appears.



Note: The Local Resources Browser displays the download path specified in the Remote Sites dialog. If the download path is not specified, then the files being downloaded will be written to the system's default path/folder.

To download the file(s) immediately, click on the <Now> button.

When you download a file (receipt or SAR), you are downloading a copy – the file remains in your account mailbox. SecureTransport does NOT automatically delete old submission receipt files. You must delete them manually. Right click on the files, and select delete.

Note that SARs will only remain in your mailbox for up to two months, at which point they will be deleted automatically from our server. Please be sure to either review or download the SAR within this timeframe.

Appendix A

Transmittal Record Information

A valid Transmittal Record is essential for your statistical data submission to be processed correctly upon receipt at ISO. Refer to the ISO Annual Calls for Statistics and/or the ISO Texas Operating Procedures Manual for detailed reporting instructions for the Transmittal Record.

ISO Statistical Plan Submission

Below is a brief summary of the required Transmittal Record fields:

TL (Positions 1 – 2): TL is the required value for first two positions of the Transmittal Record (which must be the first record in the submission).

TR Group (Positions 3 – 6): This is the four-digit identification number assigned to your company by ISO.

Statistical Plan (Positions 7 – 8): This is a two-digit numeric field identifying the particular statistical plan.

- 01 -- Commercial Statistical Plan and (CSP/CSP+)
- 01 -- Commercial Statistical Plan - Intermediate (CSPI)
- 02 -- Commercial Minimum Statistical Plan (CMSP)
- 02 -- Commercial Special Agent Plan (CSAP)
- 11 -- Personal Lines Statistical Plan/Personal Lines Statistical Agent Plan (Other than Automobile)
(PLSP(OTA)/PLSAP(OTA))
- 41 -- Personal Automobile Statistical Plan/Personal Automobile Statistical Agent Plan
(PASP/PLSAP(Auto))

Accounting Date (Positions 9 – 12): The Accounting Date consists of a two-byte month followed by a two-byte year:

Month (Positions 9 – 10) – Valid values are 01-12.

Year (Positions 11 – 12) – This refers to the last two positions of the submission's Accounting Year.

Type of Statistic (Position 13): The valid codes representing the three types of statistics are:

- 1 -- Premiums
- 2 -- Paid Losses
- 3 -- Outstanding Losses

Type of Submission (Position 14): The valid codes representing the five types of submissions are:

- 1 -- Original
- 2 -- Partial Original
- 3 -- Resubmission
- 5 -- Error Correction
- 6 -- Supplemental

Count of Submission (Positions 15 – 16): This is the count of the submission. Valid values are 01-99. If the Submission Type is a Full Original, then the Submission Count must be 01.

Final Partial Indicator (Position 17): An “X” in this position indicates that the submission is the Final Partial to be submitted. The Type of Submission must be a Partial Original in this case.

Type of Submission to be Corrected (Position 18): If the Type of Submission code is 3 or 5, then valid values for this Type of Submission to be Corrected field are 1 (Full Original), 2 (Partial Original), or 6 (Supplemental).

Count of Submission to be Corrected (Positions 19 – 20): Valid values are 01-99. If the Type of Submission to be Corrected is a Full Original, then the Count of the Submission to be Corrected must be 01.

SAR Media Type (Positions 33 – 34): This code specifies the media type for the return of large SARs. This field does not apply if you have requested to receive SARs electronically via ISOeSubm. Valid codes are:

- R – CD ROM (R in position 33, followed by a blank in position 34)
- CC – 18 track compressed cartridge
- CN – 18 track non-compressed cartridge
- CP – 36 track compressed cartridge
- CZ – 36 track non-compressed cartridge

If you leave the SAR Media Type field blank, it will default to R, for CD ROM.

TCLSP Submission

There are some requirements associated with ISOeSubm that may require a change to your current procedures for creating Transmittal Records for TCLSP submissions. Unlike other reporting media (cartridge, diskette or CD), ISOeSubm requires that the Transmittal Record be the first record in the submission. In addition, the NAIC Group Number and the Type of Submission are required on the Transmittal Record.

Below is a brief summary of the required Transmittal Record fields:

Plan (Positions 1-2): This is a two digit numeric field identifying the particular plan code.

Plan Codes (Full Reporting)

- 01: Liability
- 02: Property
- 03: Businessowners
- 04: Miscellaneous Commercial
- 05: Miscellaneous Personal
- 06: Fidelity and Surety
- 26: Commercial Automobile

Plan Codes (Minimum Reporting)

- 81: Liability
- 82: Property
- 83: Businessowners
- 86: Commercial Automobile
- 87: Fidelity and Surety

NAIC Company Number (Positions 4-8): This is a five-digit identification number assigned to your company by the NAIC.

Accounting Date (Positions 14-17): The Accounting Date consists of a two-byte year followed by a two-byte month:

- Year (Positions 14-15) – This refers to the last two positions of the submission’s Accounting Year.
- Month (Positions 16-17) – Valid values are 01-12.

Record Count (Positions 23 – 34): This is a twelve digit numeric field. Report with leading zeros.

Premium Amount (Positions 36 – 47): This is a twelve digit numeric field. Report with leading zeros.

Paid Loss Amount (Positions 49 – 60): This is a twelve digit numeric field. Report with leading zeros.

O/S Loss Amount (Positions 62 – 73): This is a twelve digit numeric field. Report with leading zeros.

Paid ALAE Amount (Positions 75 – 84): This is a ten digit numeric field. Report with leading zeros.

O/S Loss ALAE Amount (Positions 86 – 95): This is a ten digit numeric field. Report with leading zeros.

Type of Submission (Position 97): The valid codes representing the two types of submission are:

- 1 – Original
- 3 – Resubmission

NAIC Group (Positions 105-107): This is the three-digit identification number assigned to your company by the NAIC or by ISO.

Transmittal Record Code (Positions 109-113): Report five asterisks (*****).

Appendix B

SFAA Transmittal Record (TL) Information

A valid Transmittal Record is essential for your SFAA data submission to be processed correctly upon receipt at ISO. The Transmittal Record (TL) must be the first record in the data submission.

Below is summary of the required Transmittal Record fields:

TL (Positions 1 - 2): TL is the required value for the first two positions of the Transmittal Record (which must be the first record in the submission).

TR Group (Positions 3 - 6): This is your four-digit group number.

Statistical Plan (Positions 7 - 8): This is the two-digit numeric field identifying the particular statistical plan.

- 03 -- SFAA Full Plan
- 04 -- SFAA Minimum Plan

Accounting Date (Positions 9 - 12): The Accounting Date consists of a two-byte month followed by a two-byte year:

- Month (Positions 9 - 10) -- Valid values are 01 - 12.
- Year (Positions 11 - 12) -- This refers to the last two positions of the submission's Accounting Year.

Type of Statistic (Position 13): The valid codes representing the three types of submissions are:

- 1 -- Premiums
- 2 -- Paid Losses
- 3 -- Outstanding Losses

Type of Submission (Position 14): The valid codes representing the five types of submissions are:

- 1 -- Full Original
- 2 -- Partial Original
- 3 -- Resubmission
- 5 -- Error Correction
- 6 -- Supplemental

Count of Submission (Positions 15 - 16): This is the count of the submission. Valid values are 01 - 99. If the Submission Type is a Full Original, then the Submission Count must be 01.

Final Partial Indicator (Position 17): An 'X' in this position indicates that the submission is the Final Partial to be submitted. The Type of Submission must be a Partial Original in this case.

Type of Submission to be Corrected (Position 18): If the Type of Submission code is 3 or 5, then valid values for this Type of Submission to be Corrected are 1 (Full Original), 2 (Partial Original) or 6 (Supplemental).

Count of Submission to be Corrected (Positions 19 - 20): Valid values are 01 - 99. If the Type of Submission to be Corrected is a Full Original, then the Count of the Submission to be Corrected must be 01.

Filler (Positions 21 - 80 or 150): Leave Blank.

Submission Control Record (SC) Information

A valid Submission Control Record for SFAA must be included immediately following the TL Record, except for Error Correction Submissions which do not require SC Records.

Below is a summary of required Submission Control Record fields:

SC (Positions 1 - 2): SC is required in the first two positions of the Submission Control Record (which must be immediately following the TL in the submission).

Module Identification (Positions 3 - 4): Use 18.

TR Group (Positions 5 - 8): This is your four-digit group number.

Accounting Month (Position 9): The Accounting Month consists of a one-byte month:

Valid values are 1 - 9, for January through September
O = October
- = November
& = December

Accounting Year (Position 10): The Accounting Year consists of the last digit of the submission's Accounting Year.

Type of Statistic (Position 11): The valid codes representing the three types of statistics are:

1 -- Premiums
2 -- Paid Losses
3 -- Outstanding Losses

Type of Submission (Position 12): The valid codes representing the five types of submission are:

1 -- Original
2 -- Partial Original
3 -- Resubmission
5 -- Error Correction
6 -- Supplemental

Count of Submission (Positions 13 -14): This is the count of the submission. Valid values are 01 - 99. If the Submission Type is a Full Original, then the Submission Count must be 01.

Dollar Amount (Positions 15 - 24): The dollar amount with leading zeroes.

Record Count (Positions 25 -33): The number of detail records with leading zeroes.

Filler (Positions 34 - 80 or 150): Leave Blank.