

#### LLOYD'S

#### **SOLVENCY II** Pillar III Returns UAT Workshop

16 OCTOBER 2012

#### AGENDA

- Introduction
- UAT testing
- Pillar III returns (CMR) walkthrough
  - Questions
- Next steps

# INTRODUCTION



#### SYNDICATE PILLAR III RETURNS WILL BE...

#### Synchronous

- Annual Solvency Return (ASR)
- Quarterly Solvency Return (QSR)
- Asynchronous
  - Annual Asset Data (AAD)
  - Quarterly Asset Data (QAD)

#### ...BUT PREVIOUSLY KNOWN AS QMC/QAD

#### **SYNCHRONOUS** vs **ASYNCHRONOUS**

- Synchronous (ASR/QSR) similar to QMA
  - Data input via csv upload and/or user interface
  - Data submitted in csv format can be edited via the user interface
  - Validations done as and when the data is input
- Asynchronous similar to PMD/GQD/TPD
  - Data input as a series of zipped csv files
  - Edits to the data are made by updating the csv and reuploading it
  - Validations done when the data is uploaded
  - Summary data can be printed

#### QSR/ASR/QAD/AAD ARE SIMILAR TO EIOPA TEMPLATES...

- Tailored to remove information not relevant to Lloyd's
- Forms have been split to enable development in the CMR
- D4 Investments funds (look-through approach)
  - EIOPA requires this at asset category level, but Lloyd's requires it at security level (for the Lloyd's Internal Model)
  - Additional columns similar to those in D1 (Investment data portfolio list)
  - Allows for look-through types: Standard (S), Mandate (M), Other (O)

#### ...WITH A FEW REFINEMENTS TO MEET LLOYD'S NEEDS



#### KEY DIFFERENCES BETWEEN PILLAR III RETURNS AND QMA

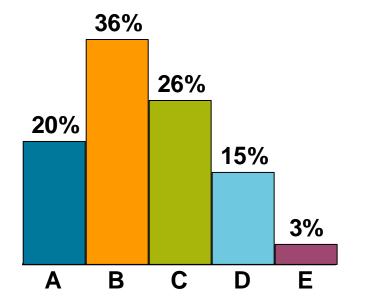
- All figures in GBP
- Control forms currencies, countries and line of business
- Format of validations (presentation)
- Asynchronous return
- Figures input as positive
- Wider range of data types, for example, percentage, standard deviation
- Prospective year for SCR reporting



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#### HAVE YOU PERFORMED A GAP ANALYSIS BASED ON THE LATEST TEMPLATES (ISSUED JULY 2012)?

- A. Yes, but less than 50% done
- B. Yes, 50% 90% done
- C. Yes, 90% 100% done
- D. No, done based on the old templates
- E. Not done much yet



# **UAT TESTING**



#### **KEY THINGS TO CONSIDER...**

- Use realistic data whenever possible, reflecting differing business scenarios
- Check syndicate specific data: e.g. pure years in claims development triangles
- ASR & QSR
  - Use both csv upload and manual data entry / validation
- AAD & QAD
  - Use zipped csv upload
  - Use offline validator
  - Check accuracy and adequacy of the playback summaries
- Test the end-to-end process: upload / validate / lock / signoff / submit
- Are you satisfied with the way your data appears in: csv / onscreen / pdf formats?

#### **...BUT ALSO TRY THESE OTHER CMR FUNCTIONS**

- Analysis cells
- Add/Save/Cancel/Edit/Delete/Reset an Item
- Reset/Recalculate/Print a Form
- Save/Delete/Copy/History/View/Edit a Return
- Extract csv per Form(s) / per Return (ASR & QSR only)
- Comparison Report between editions of a return
- Help, Download Base Element Definition, Extract Reference Data, Download csv Template
- Create / Edit / etc User Profiles

#### ... ENSURING ALL CMR FORMS ARE COVERED



#### **TESTING WILL HELP YOU TO...**

- Gain reassurance that the new returns are fit for an agent's purpose in terms of:
  - Correct implementation of EIOPA / FSA / Lloyd's requirements
  - Data aspects: format, definition, validation, quality
  - Interaction with agent's internal systems (manual and automated) and any third party systems
  - Operational aspects: upload / edit / validate / print / extract etc.
  - Business aspects: signoff / submission / audit
- Familiarise yourselves with the returns and new data requirements



### ... AND WILL COMPLEMENT LLOYD'S UAT

- By using realistic and syndicate specific data
- With hands-on testing by end-users
- Providing feedback on the format, validations, playback summaries etc.



# NEW USER SELECTION AND VALIDATION FEATURES...

- Control Forms allow user selection of...
  - ASR 025 EEA countries for 430/431 Activity by Country
  - ASR 026 currencies for 260 Assets & Liabilities by Currency
  - ASR 027 lines of business and currencies for Technical Provisions forms
- View Validations page
  - A new way of showing Error and Warning messages
  - Navigable tree structure
  - Ability to extract messages to csv for viewing, filtering, printing etc.



#### ...CSV UPLOAD METHOD...

- Zipped csv upload method for AAD and QAD, and asynchronous processing
  - Create individual csvs for all forms in the AAD
  - Zip them into one zip file
  - Upload to AAD
- Return will progress through
  - Pending status
  - Batch validation
  - Validated / Warnings / Failed
- User re-edits csvs if necessary, re-zips and reloads



#### ...WITH AN OFFLINE VALIDATION TOOL

- Offline Validator AAD and QAD only
  - Quick and easy tool to validate individual csv
  - Mirrors CMR validation
  - Works offline and under agent control

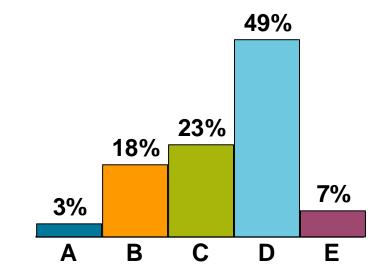


### PILLAR III RETURNS (CMR) WALKTHROUGH



#### **DO YOU HAVE A DEDICATED PERSON(S) FOR** THE UAT?

- A. Yes, more than 2 people
- B. Yes, 2 people
- C. Yes, 1 person
- D. No, UAT will be done whenever there is free resources
- E. No, we do not plan to participate in the UAT



#### **SCREENSHOTS**

- The following 19 slides are screenshots taken from the CMR system. They illustrate some of the features seen in the CMR demonstration seen during the workshop.
  - Control forms, 1 5.
  - View Validations page, 6 7.
  - The AAD csv zip, upload, validate process, 8 19.

#### **1. ASR 025 EXTRA COUNTRIES SELECTED ...**

|   | 025 Country (EEA Membe  | er State) Selection   |   |  |
|---|---|---|---|--|
| ndicate 3623  | Print Form  | or orace, ocicetion   |   |  |
| overholder  | spectra and a second | Member States) Excluding UK, Applicable for Syndic  | e |  |
| turn Date 2012  | Selected Countries  |   |   |  |
| 010 Control Page  | Save Selection Reset Form   |   |   |  |
| Extract CSV   |   | 1 Marsayana asara   |   |  |
| Help  | Country Name  | For use in this<br>return on Country  |   |  |
| Print Return  |   | forms 430 and 431   |   |  |
| 025 Country (EEA Member<br>State) Selection                         | Austria   |   |   |  |
| 026 Additional Material Currency                                    | Belgium   |   |   |  |
| Selection   | Bulgaria  | 10 No. |   |  |
| 027 Technical Provisions Non-                                       | Cyprus  | N.  |   |  |
| Life: Line of Business and<br>Currency Selection                    | Czech Republic  |   |   |  |
| 02 Overall Balance Sheet  | Denmark   |   |   |  |
| 210 Off-balance sheet items   | Estonia   |   |   |  |
| 20 Own Funds (Annual)   | Finland   |   |   |  |
| 240 Non-Life Technical Provisions                                   | France  |   |   |  |
| (By Line of Business - Part A)                                      | Germany   |   |   |  |
| 241 Non-Life Technical Provisions                                   | Greece  |   |   |  |
| (By Line of Business - Part B)<br>242 Non-Life Technical Provisions | Hungary   |   |   |  |
| (By Country)  | Iceland   |   |   |  |
| 244 Projection of future cash                                       | Ireland   |   |   |  |
| flows (Best Estimate - Non-Life)                                    | italy   |   |   |  |
| 247 Movements of RBNS Claims<br>248 Loss Distribution Profile Non-  | Latvia  |   |   |  |
| 246 Loss Distribution Profile Non-                                  | Liechtenstein   |   |   |  |
| 249 Underwriting Risks Non-Life                                     | Lithuania   |   |   |  |
| 250 Underwriting Risks (Mass  | Luxembourg<br>Maita   |   |   |  |
| Risks)  | 1.5.2   |   |   |  |
| 50 Assets and liabilities by<br>irrency                             | Netherlands   |   |   |  |
| 430 Activity (by country)   | Poland  |   |   |  |
| 430s Activity (totals)  | Fig. (M. 16)  |   |   |  |
| 440 Premiums, claims and  | Portugal<br>Romania   |   |   |  |
| expenses (by line of business)                                      | Slovakia  |   |   |  |
| 41 Premiums, claims and   |   | 0   |   |  |
| expenses (by country)   | Slovenia<br>Spain   |   |   |  |
| 510 Minimum Capital   | Sweden  |   |   |  |
| Requirement - Non-life  | sweden  |   |   |  |
| 520 Solvency Capital<br>Requirement - for syndicates on             |   |   |   |  |
| standard formula or partial   |   |   |   |  |
| internal models   |   |   |   |  |
| 521 Solvency Capital<br>Requirement - for syndicates on             |   |   |   |  |
| partial internal models   |   |   |   |  |
| 522 Solvency Capital  |   |   |   |  |

#### 2. ... ASR 430 EXTRA COUNTRIES APPEAR

|   | ng.lloydsdev:12600/ASR/gen/ActivityRCTYNonLife.aspx?CountryR |                 |   |                     |   |  |  |  |
|---|--|-----------------|---|---------------------|---|--|--|--|
| e Edit View Favorites Tools   |  |                 |   |                     |   |  |  |  |
| Syndicate 3623  | 430 Activity (by country)                                    |                 |   |                     |   |  |  |  |
| Coverholder   | Period: All Years of Account Combined                        |                 |   |                     |   |  |  |  |
| Return Date 2012  | Save Return Recalculate                                      | Reset Form Prin | t Form  |                     |   |  |  |  |
| 010 Control Page<br>Extract CSV<br>Help   | United States of United Kingdom Canada                       | Australia Japan | Worldwide exc<br>US, GB, CA, AU,<br>JP and EEA<br>countries | Cyprus Finland Fran | æ |  |  |  |
| Print Return<br>025 Country (EEA Member State)<br>Selection<br>026 Additional Material Currency       |  | Branch          | FPS   |                     |   |  |  |  |
| Selection   |  |                 |   |                     |   |  |  |  |
| 027 Technical Provisions Non-<br>Life: Line of Business and<br>Currency Selection                     | Accident and Sickness  | <b>A</b> ∂:     | в   |                     |   |  |  |  |
| 002 Overall Balance Sheet<br>210 Off-balance sheet items  | 1 Gross Premiums written                                     | 0               | 0   |                     |   |  |  |  |
| 220 Own Funds (Annual)<br>240 Non-Life Technical Provisions   | 2 Gross Claims paid  | 0               | 0   |                     |   |  |  |  |
| (By Line of Business - Part A)<br>241 Non-Life Technical Provisions<br>(By Line of Business - Part B) | and active.  | 0               | 0   |                     |   |  |  |  |
| 242 Non-Life Technical Provisions   | Motor  |                 |   |                     |   |  |  |  |
| (By Country)<br>244 Projection of future cash<br>flows (Best Estimate - Non-Life)                     | 4 Gross Premiums written                                     | 0               | 0   |                     |   |  |  |  |
| 247 Movements of RBNS Claims  | 5 Gross Claims paid  | 0               | 0   |                     |   |  |  |  |
| 248 Loss Distribution Profile Non-<br>Life  | 6 Gross Commissions  | 0               | 0   |                     |   |  |  |  |
| 249 Underwriting Risks Non-Life<br>250 Underwriting Risks (Mass<br>Risks)                             | Fire and other damage to property                            |                 |   |                     |   |  |  |  |
| 260 Assets and liabilities by   | 7 Gross Premiums written                                     | 0               | 0   |                     |   |  |  |  |
| 430 Activity (by country)<br>430s Activity (totals)   | 8 Gross Claims paid  | 0               | 0   |                     |   |  |  |  |
| 440 Premiums, claims and<br>expenses (by line of business)  | 9 Gross Commissions  | 0               | 0   |                     |   |  |  |  |
| expenses (by line of business)<br>441 Premiums, claims and<br>expenses (by country)                   | Aviation, marine and transport                               |                 |   |                     |   |  |  |  |
| 510 Minimum Capital   | 10 Gross Premiums written                                    | 0               | 0   |                     |   |  |  |  |
| Requirement - Non-life<br>520 Solvency Capital  | 11 Gross Claims paid   | 0               | 0   |                     |   |  |  |  |
| Requirement - for syndicates on<br>standard formula or partial<br>internal models                     | 12 Gross Commissions   | 0               | 0   |                     |   |  |  |  |
| 521 Solvency Capital<br>Requirement - for syndicates on   | General Liability  |                 |   |                     |   |  |  |  |
| partial internal models   | 13 Gross Premiums written                                    | 0               | 0   |                     |   |  |  |  |
| 522 Solvency Capital  | 1963 Contractor Statements and a second statements           |                 |   |                     |   |  |  |  |



#### **3. ASR 026 EXTRA CURRENCIES SELECTED ...**

| 🖉 💮 http://testcmr.systest.testir                                 | , lloydsdev:12600/ASR/gen/AdditionalMaterialCurrencySelection 🔎 = 🖒 🗙  🦉 testing.                              | ydsdev ×                      |  |
|---|--|-------------------------------|--|
| le Edit View Favorites Tools                                      |  |                               |  |
| lyndicate 3623<br>Coverholder                                     | 026 Additional Material Currency Selection<br>Material currencies for the syndicate additional to the Lloyds n | terial currencies on form 260 |  |
| teturn Date 2012  | Selected Currencies  |                               |  |
| 010 Control Page  | Save Return Recalculate Reset Form   | Print Form                    |  |
| Extract CSV   | Add New Item   |                               |  |
| Help  |  |                               |  |
| Print Return  | Currency Order of mate   | lity for syndicate            |  |
| 25 Country (EEA Member State)<br>Selection                        | CHF  | 1 Edit Delete                 |  |
| 26 Additional Material  | ZAR  | 2 Edit Delete                 |  |
| Currency Selection  | Save Return Recalculate Reset Form   | Print Form                    |  |
| 027 Technical Provisions Non-<br>Life: Line of Business and       |  | 1 DB CVDL                     |  |
| Currency Selection  |  |                               |  |
| 2 Overall Balance Sheet<br>0 Off-balance sheet items              |  |                               |  |
| 0 Ott-balance sheet items<br>0 Own Funds (Annual)                 |  |                               |  |
| 40 Non-Life Technical Provisions                                  |  |                               |  |
| ly Line of Business - Part A)                                     |  |                               |  |
| 41 Non-Life Technical Provisions<br>By Line of Business - Part B) |  |                               |  |
| 42 Non-Life Technical Provisions<br>By Country)                   |  |                               |  |
| 244 Projection of future cash                                     |  |                               |  |
| flows (Best Estimate - Non-Life)<br>247 Movements of RBNS Claims  |  |                               |  |
| 248 Loss Distribution Profile Non-                                |  |                               |  |
| Life  |  |                               |  |
| 249 Underwriting Risks Non-Life                                   |  |                               |  |
| 250 Underwriting Risks (Mass<br>Risks)                            |  |                               |  |
| 60 Assets and liabilities by                                      |  |                               |  |
| irrency.  |  |                               |  |
| 30 Activity (by country)<br>30s Activity (totals)                 |  |                               |  |
| 0 Premiums, claims and<br>cpenses (by line of business)           |  |                               |  |
| 1 Premiums, claims and  |  |                               |  |
| openses (by country)  |  |                               |  |
| 10 Minimum Capital<br>equirement - Non-life                       |  |                               |  |
| 20 Solvency Capital   |  |                               |  |
| Requirement - for syndicates on<br>standard formula or partial    |  |                               |  |
| nternal models  |  |                               |  |
| 521 Solvency Capital  |  |                               |  |
| Requirement - for syndicates on<br>partial internal models        |  |                               |  |
| 522 Solvency Capital  |  |                               |  |
|   |  |                               |  |
|   |  |                               |  |

#### 4. ... ASR 260 CHF & ZAR APPEAR

| sw Favorites Tools Help  |   | × 🧐 testi                       |               |               |     |     |     |     |     |     |       |  |
|--|---|---------------------------------|---------------|---------------|-----|-----|-----|-----|-----|-----|-------|--|
| 260 Assets and liabili   | ies by currenc  | зy                              |               |               |     |     |     |     |     |     |       |  |
| er Validation Errors   |   |                                 |               |               |     |     |     |     |     |     |       |  |
| e 2012 Error: BR0081 S2AssetInvNotAssetFundLink  | ed_CUR_LTOTAL' should be ed                                       | ual to 'ASR002                  | (A26)         |               |     |     |     |     |     |     |       |  |
| Error: BR0081 'S20therAssetD1NotFundLink<br>Page Error: BR0081 'S2AssetsFundLinked2_CUR_   | d_CUR_LTOTAL' should be equ<br>TOTAL' should be equal to 'AS      | ual to "ASR002<br>R002 (A27)".  | (A6+A41)      |               |     |     |     |     |     |     |       |  |
| V Error BR0081 S2AssetRRecovb_CUR_LTO<br>Error BR0081 S2AssetDepCedantsandinsRi  | AL' should be equal to 'ASR000                                    | 2 (A29+A30+A                    | 31+A32+A33)". |               |     |     |     |     |     |     |       |  |
| Error: BR0081 S2Asset0epLedantsandrisH<br>Error: BR0081 S2Asset0therAsset_CUR_LT   | STAL' should be equal to 'ASRI                                    | be equal to AS<br>)02 (A1+A3+A4 | 4+A5+A28+A38  | +A39+A40+A42/ |     |     |     |     |     |     |       |  |
| Error: BR0081 'S2TotAssiet_CUR_LCALC_LT<br>Error: BR0081 'S2LabTPExcFundLinked_CUI   | STAL' should be equal to 'ASR0                                    | 02 (A43)                        |               |               |     |     |     |     |     |     |       |  |
| v (EEA Member State) Error BR0081 S2LiabTPFundLinked CUR LT  | OTAL' should be equal to 'ASRI                                    | 002 (A63T                       |               |               |     |     |     |     |     |     |       |  |
| Error: BR0081 S2LiabDepRinsRiPayable_CU  | LTOTAL' should be equal to 'A                                     | ASR002 (A88+                    | A73+A74)      |               |     |     |     |     |     |     |       |  |
| nal Material Currency Error: BR0081 'S2LabDerv_CUR_LTOTAL's<br>Error: BR0081 'S2LabFinLab_CUR_LTOTAL'  | should be equal to 'ASR002 (A70<br>should be equal to 'ASR002 (A' | 71=A727.                        |               |               |     |     |     |     |     |     |       |  |
| Error: BR0081 S2LiabContLiab_CUR_LTOTA   | should be equal to 'ASR002 (A                                     | A65).                           |               |               |     |     |     |     |     |     |       |  |
| al Provisions Non-<br>Business and Error BR0081 S2LabOtherLiab_CUR_LTOT/<br>Error BR0081 S2TotLiab_CUR_LCALC_LTOT  | L' should be equal to 'ASR002 i<br>'AL' should be equal to 'ASR00 | (A66+A67+A6)<br>2 (A79)'.       | 9*A75*A76*A7  | 7+A/8).       |     |     |     |     |     |     |       |  |
| election   |   | 64 - X4                         |               |               |     |     |     |     |     |     |       |  |
| Balance Sheet  |   |                                 |               |               |     |     |     |     |     |     |       |  |
|  |   |                                 |               |               |     |     |     |     |     |     |       |  |
| Period: All Years of Account C   | ombined   |                                 |               |               |     |     |     |     |     |     |       |  |
| nus (winda)  |   | -                               | 1             |               |     |     |     |     |     |     |       |  |
| e Technical Provisions Save Return Recal<br>Business - Part A)   | ulate Reset   | t Form                          | Pnn           | t Form        |     |     |     |     |     |     |       |  |
| e Technical Provisions Currency code   | USD   | G                               | 8P:           | EUR           | CAD | AUD | JPY | OTH | CHF | ZAR | Total |  |
| Business - Part B)   | A   |                                 | 8             | C             | D   |     |     | G   | н   | 1   | 4     |  |
| Technical Provisions   |   | _                               |               |               |     |     |     |     |     |     |       |  |
| Assets   |   |                                 |               |               |     |     |     |     |     |     |       |  |
| on of future cash  |   |                                 |               |               |     |     |     |     |     |     | Serve |  |
| Estimate - Non-Life) 1 Investments (other than assets held that and unit-linked funds)   | ar index-linked   | 8                               | 8             | 8             | 8   | 8   | 8   | 8   | 0   | 0   | 56    |  |
| ents of KBNS Claims  |   |                                 |               |               |     |     |     |     |     |     |       |  |
| istribution Profile Non-<br>2 Other assets within scope of Assets<br>index-linked and unit-linked funds)   | D1 (other than  | 8                               | 8             | 8             | 8   | 8   | 8   | 8   | 0   | 0   | 56    |  |
| uting Disks Mag Life   |   |                                 |               |               |     |     |     |     |     |     |       |  |
| writing Risks (Mass 3 Assets held for index-linked and unit-   | inked funds   | 8                               | 8             | 8             | 8   | 8   | 8   | 8   | 0   | 0   | 56    |  |
| mung rusks (mass   |   |                                 |               |               |     |     |     |     |     |     |       |  |
| and liabilities by   |   | 8                               | 8             | 8             | 8   | 8   | 8   | 8   | 0   | 0   | 56    |  |
| Deposits to cedants and insurance a  | d reneutance  |                                 |               |               |     |     |     |     |     |     |       |  |
| (by country) 5 receivables   | a residente   | 8                               | 8             | 8             | 8   | 8   | 8   | 8   | 0   | 0   | 56    |  |
| ty (totals)  |   |                                 |               |               |     |     |     | -   | -   | -   |       |  |
| 6 Any other assets   |   | 8                               | 8             | 8             | 8   | 8   | 8   | 8   | 0   | 0   | 56    |  |
| by line of business) 7 Total assets  |   | 48                              | 48            | 48            |     | 48  | 48  | 48  | 0   | 0   | Dad.  |  |
|  |   | 46                              | 46            | 48            | 48  | 48  | 48  | 48  | 0   | 0   | 336   |  |
|  |   |                                 |               |               |     |     |     |     |     |     |       |  |
|  |   |                                 |               |               |     |     |     |     |     |     |       |  |
| country) Liabilities   | -linked and   | 8                               | 8             | 8             | 8   | 8   | 8   | 8   | 0   | 0   | 56    |  |
| Capital s Technical provisions (excluding index  |   | 22.56                           | 22.52         | •             | 0   | 0   |     |     |     | 1   |       |  |
| Country Liabilities Capital Non-life 8 Technical provisions (excluding index Capital Capital   |   |                                 |               |               |     | 8   | 8   | 8   | 0   | 0   | 56    |  |
| Country         Liabilities           Capital<br>- Non-life         8         Technical provisions (excluding index<br>unt-linked funds)           (Capital<br>- for syndicates on         9         Technical provisions - index-linked and   |   | 8                               | 8             | 8             | 8   |     |     |     |     |     |       |  |
| Im Capital<br>t - Non-life Technical provisions (excluding index<br>cy Capital<br>t - for syndicates on<br>mula or partial Surve Between Deced   | d unit-linked   | 8<br>t Form                     | 8<br>Prin     | 8<br>It Form  | 8   |     |     |     |     |     |       |  |
| op country)         Liabilities           Im Capital<br>nt - Non-life         8 Technical provisions (excluding index<br>unt-linked funds)           yc Capital         9 Technical provisions - index-linked an<br>mmula or partial           gate         Save Return           Recal         Save Return  | d unit-linked   | 8<br>t Form                     | 8<br>Prin     | 8<br>It Form  | 8   |     |     |     |     |     |       |  |
| y country) Liabilities In Capital I - Non-life Ugapital I - Non-life I - Solution I - for synchronia provisions - index-linked an I - Solution I - S       | d unit-linked   | 8<br>t Form                     | 8<br>Prin     | 8<br>It Form  | 8   |     |     |     |     |     |       |  |
| Capital<br>for syndicates on<br>ula or partial<br>s Capital Save Return Capital Save Return Capital Save Return Capital Capi | d unit-linked   | 8<br>I Form                     | 8<br>Prin     | 8<br>It Form  | 8   |     |     |     |     |     |       |  |

#### **5. ASR 027 LINES OF BUS. & CURRENCIES FOR TP FORMS**

| 🗲 🛞 🏉 http://testcmr.systest.testing.lloydsdev.12600/ASR/ElobCurrencySelection.aspx 👂 - C X 🦉 testing.lloydsdev 🗙 |  |              |              |              |     |     |     |     |  |
|---|--|--------------|--------------|--------------|-----|-----|-----|-----|--|
| File Edit View Favorites Tools H  | lelp   |              |              |              |     |     |     |     |  |
| Syndicate 3623<br>Coverholder   | 027 Technical Provisions Non-Life: Line o<br>Print Form Line of Business Selections made here affect all Technical |              |              | cy Selectior | ı   |     |     |     |  |
| Return Date 2012  | Currency selections made here affect all Technical Provision   |              |              |              |     |     |     |     |  |
| 010 Control Page  | Save Selection Reset Form  |              |              |              |     |     |     |     |  |
| Extract CSV   |  |              |              |              |     |     |     |     |  |
| Help  | Line of Business   | USD          | GBP          | EUR          | CAD | AUD | JPY | ОТН |  |
| Print Return  | Medical expense  | $\checkmark$ | V            |              |     |     |     |     |  |
| 025 Country (EEA Member State)  | Income protection  |              | V            |              |     |     |     |     |  |
| Selection   | Workers' compensation  |              |              |              |     |     | V   |     |  |
| 026 Additional Material Currency<br>Selection   | Motor vehicle liability  |              | $\checkmark$ |              |     |     |     |     |  |
| 027 Technical Provisions Non-   | Other motor  |              |              |              |     |     |     |     |  |
| Life: Line of Business and  | Marine, aviation and transport   |              |              |              |     |     |     |     |  |
| Currency Selection  | Fire and other damage to property  |              |              |              |     |     |     |     |  |
| 002 Overall Balance Sheet   | General liability  |              |              |              |     |     |     |     |  |
| 210 Off-balance sheet items   | Credit and suretyship  |              |              |              |     |     |     |     |  |
| 220 Own Funds (Annual)  | Legal expenses   |              |              |              |     |     |     |     |  |
| 240 Non-Life Technical Provisions<br>(By Line of Business - Part A)   | Assistance   |              | <b>V</b>     |              |     |     |     |     |  |
| 241 Non-Life Technical Provisions   | Miscellaneous financial loss   |              | 7            |              |     |     |     |     |  |
| (By Line of Business - Part B)  | Non-proportional reinsurance - Health  |              | <b>V</b>     |              |     |     |     |     |  |
| 242 Non-Life Technical Provisions   | Non-proportional reinsurance - Property  |              |              |              |     |     |     |     |  |
| (By Country)  | Non-proportional reinsurance - Casualty  |              | 7            |              |     |     |     |     |  |
| 244 Projection of future cash<br>flows (Best Estimate - Non-Life)   | Non-proportional reinsurance - Marine, aviation and transport  |              |              |              |     |     |     |     |  |
| 247 Movements of RBNS Claims  |  |              |              |              |     |     |     |     |  |
| 248 Loss Distribution Profile Non-<br>Life  |  |              |              |              |     |     |     |     |  |
| 249 Underwriting Risks Non-Life   |  |              |              |              |     |     |     |     |  |
| 250 Underwriting Risks (Mass  |  |              |              |              |     |     |     |     |  |
| Risks)  |  |              |              |              |     |     |     |     |  |
| 260 Assets and liabilities by<br>currency   |  |              |              |              |     |     |     |     |  |
| 430 Activity (by country)   |  |              |              |              |     |     |     |     |  |
| 430s Activity (totals)  |  |              |              |              |     |     |     |     |  |
| 440 Premiums, claims and<br>expenses (by line of business)  |  |              |              |              |     |     |     |     |  |

441 Premiums, claims and expenses (by country)

510 Minimum Capital Requirement - Non-life

520 Solvency Capital Requirement - for syndicates on standard formula or partial internal models 521 Solvency Capital

Requirement - for syndicates on partial internal models 522 Solvency Capital



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#### 6. "VIEW VALIDATIONS" PAGE

| e Edit View Favo  | orites Tools I            | Help   |                             |
|---|---------------------------|--|-----------------------------|
| ANNUAL SO   | LVENCY F                  | RETURN   | 0064H Admin Agent: 0064H    |
|   |                           | Return Information   |                             |
| /ndicate<br>overholder  | 3623                      | Name: RH 12.10.01.1 ASR A<br>Syndicate Number: 3623  |                             |
| eturn Date  | 2012                      | synutation monitories and a second |                             |
| 010 Control Page  |                           | Return Period: 2012  |                             |
| Extract CSV   |                           | Submission:<br>Status: Failed  |                             |
| Help  |                           | Edition: 01  |                             |
| Print Return  |                           |  |                             |
| 025 Country (EEA N<br>Selection   |                           | Validations  |                             |
| 026 Additional Mate<br>Selection  | erial Currency            | The return has encountered errors during processing which must be corrected before it can be submitted   |                             |
| 027 Technical Provi<br>Life: Line of Busines<br>Currency Selection                    | ss and                    | The return has encountered errors during processing which has be confected before it can be submitted  |                             |
| 02 Overall Balance  |                           | Extract Messages   |                             |
| 210 Off-balance shee  | et items                  |  |                             |
| 220 Own Funds (Ann<br>240 Non-Life Techni   | ical Provisions           | + Error (19)   |                             |
| (By Line of Busines   |                           | + 002 Overall Balance Sheet (1)  |                             |
| 241 Non-Life Techni<br>(By Line of Busines  |                           | + s2corpbond (1)   |                             |
| 242 Non-Life Techni<br>(By Country)   |                           | Line Message<br>Error: BR0025 'S2CorpBond' should be greater than or equal to zero.  | Attempted Value<br>676.0000 |
| 244 Projection of fut<br>flows (Best Estimat  |                           | + 210 Off-balance sheet items (1)  |                             |
| 247 Movements of F<br>248 Loss Distributio  |                           | + 220 Own Funds (Annual) (1)   |                             |
| Life  |                           | + 260 Assets and liabilities by currency (15)  |                             |
| 249 Underwriting Ri:<br>250 Underwriting Ri:  |                           | + 441 Premiums, claims and expenses (by country) (1)   |                             |
| Risks)  |                           | + Warning (12)   |                             |
| 260 Assets and liabi<br>currency  | alities by                | + 002 Overall Balance Sheet (2)  |                             |
| 430 Activity (by cou  |                           | s2subordliabinbof (2)  |                             |
| 430s Activity (totals   |                           | Line Message   | Attempted Value             |
| 440 Premiums, clair<br>expenses (by line of   |                           | Warning: BR0080 S2SubordLabinBOF should be 0.  | 55.0000                     |
| 41 Premiums, clain  |                           | Warning: BR0080 'S2SubordLiabinBOF' should be 0.<br>+ 430 Activity (by country) (7)  | 55.0000                     |
| expenses (by countr   | 322                       | + 441 Premiums, claims and expenses (by country) (1)   |                             |
| 510 Minimum Capit:<br>Requirement - Non-I   |                           | + 510 Minimum Capital Requirement - Non-life (2)   |                             |
| 520 Solvency Capita<br>Requirement - for sy<br>standard formula or<br>internal models | yndicates on<br>r partial |  |                             |
| 521 Solvency Capita<br>Requirement - for sy   | tal<br>vodicates on       |  |                             |
| ALL AND TRANSPORT - ALL AND   | a construction and        |  | <b>%</b> 1                  |

#### **7. EXTRACTED VALIDATION MESSAGES**

| X 4 9 - (**                  | 0.14       |               |             |                          |   |   |           |   |   |           | validationen   | ors.csv - Microsol   | t Excel   |   |   |             |          |          |           |          |         |                        |        |               |           |                   |               |
|------------------------------|------------|---------------|-------------|--------------------------|---|---|-----------|---|---|-----------|--|--|---|---|---|-------------|----------|----------|-----------|----------|---------|------------------------|--------|---------------|-----------|-------------------|---------------|
| File Home                    | Insert     | Page Layout   | Formulas    | Data Revie               | w View  | v Lloyds  |           |   |   |           |  |  |   |   |   |             |          |          |           |          |         |                        |        |               |           | ۵ 🕜 د             | - @           |
| 👸 🐰 Cut                      | c          | + indila      | 11 · A A    | = = =                    | \$-   | Wrap Text   | General   |   |   |           | Normal   | Bad  | Good  | Neutral   | Calcula   | ation       |          | - 7      | *         | 1 1620   | AutoSum | 77 4                   | 6      |               |           |                   |               |
| Paste Format                 |            | a / y -   🖽   | - 3 - A -   |                          | -   | Merge & Center  | - 2 - %   | . 14 .2   | Conditional   |           | Check Cell   | Explanatory .  | Input   | Linked Cell   | Note  |             | Inse     |          | lete Form | at of    |         | Sort & Fin             | nd &   |               |           |                   |               |
| <ul> <li>Oipboard</li> </ul> | Painter    | Font          |             | 1.000.000                | Alianme   |   |           | mber  | Formatting * a  | s Table • |  |  | Styles  | -   | A CONTRACTOR  |             |          |          | ells      | 20       | Clear * | Filter * Sel<br>Siting | lect = |               |           |                   |               |
| E35                          | - (n       | f.            |             |                          | Autom   |   |           |   |   |           |  |  | 2due:   |   |   |             | -        |          |           |          |         | cong                   |        |               |           |                   | -             |
| A                            | B          | , c           | D           |                          |   |   |           | -   |   |           |  |  |   |   |   |             |          |          |           |          |         |                        |        | Ġ             | н         |                   | C.            |
|                              | -          | e Form Number |             | Base Fleme               | nt  | e   |           | Error Messag  | 20  |           |  |  |   |   |   |             |          |          |           |          |         |                        |        | ttempted Valu |           |                   | 1             |
| 2 ASR                        | Error      | eronnoer      | Line Homoer | S2CorpBond               |   |   |           |   |   | l'shou    | d be greater than  | or equal to zer  | o.  |   |   |             |          |          |           |          |         |                        | -      |               | 76        |                   |               |
| 3 ASR                        | Warning    |               |             | S2SubordLia              |   |   |           |   |   |           | BOF' should be 0   |  |   |   |   |             |          |          |           |          |         |                        |        |               | 55        |                   |               |
| 4 ASR                        | Warning    |               |             | 52SubordLia              | abinBOF   |   |           | Warning: BR   | 0080 '525ubor   | dLiabin   | BOF' should be 0   | ).   |   |   |   |             |          |          |           |          |         |                        |        |               | 55        |                   |               |
| 5 ASR                        | Warning    |               |             | Commission               | nsAccSick_  | _RCTY_REF   |           | Warning: BR   | 0089 'Commis  | sionsA    | ccSick_RCTY_REF  | should be less   | than 'GrPremW   | rittenAccSick_RCTY  | _REF' for 'U  | nited State | es of Am | nerica   | - Branch' | <u>.</u> |         |                        |        |               | 5         |                   |               |
| 6 ASR                        | Warning    |               |             | Commission               | nsMotor_F   | RCTY_REF  |           | Warning: BR   | 0089 'Commis  | sionsN    | lotor_RCTY_REF'  | should be less th  | han 'GrPremWr   | rittenMotor_RCTY_R  | EF' for 'Uni  | ted States  | of Amer  | rica - E | Branch'.  |          |         |                        |        |               | 5         |                   |               |
| 7 ASR                        | Warning    |               |             | Commission               | And a second second second  |   |           |   |   |           |  |  |   | tenFire_RCTY_REF' f   |   |             |          |          |           |          |         |                        |        |               | 5         |                   |               |
| 8 ASR                        | Warning    |               |             |                          |   | nMarineTrans_RCT  | Y_REF     |   |   |           |  |  |   | han 'GrPremWritter  |   |             | _        |          |           |          | of Amer | ica - Branch           | 15     |               | 5         |                   |               |
| 9 ASR                        | Warning    |               |             | Commission               |   |   |           | and the second second second second   |   |           | the second s   |  |   | WrittenGenLiab_RCI  | and the second se |             |          |          |           |          |         |                        |        |               | 5         |                   |               |
| 10 ASR                       | Warning    |               |             |                          |   | ur_RCTY_REF   |           |   |   |           |  |  |   | WrittenCreditSur_F  |   |             |          |          |           | inch'.   |         |                        |        |               | 5         |                   |               |
| 11 ASR                       | Warning    |               |             | Commission               | Contraction of the second second  |   |           |   |   |           |  |  |   | ittenOther_RCTY_R   |   |             |          |          |           |          |         |                        |        |               | 5         |                   |               |
| 12 ASR                       | Warning    |               |             | PremWritte               |   | - COV (0)   |           |   |   |           |  |  |   | PremWrittenDirBus   | RCTY for  | United Sta  | tes of A | meric    | a'.       |          |         |                        |        |               | 7         |                   |               |
| 13 ASR<br>14 ASR             | Error      |               |             | ContLiabS28              | and the second se |   | TOTAL     |   |   |           | alue' should be e  |  |   | 14 6 0 0 0 1 4 0 6 1  |   |             |          |          |           |          |         |                        |        |               | 4         |                   |               |
| 14 ASR<br>15 ASR             |            |               |             |                          |   | undLinked_CUR_L   |           |   |   |           | etFundLinked_CL  | and the state of the state of the  | and the second second second second second  | and account of the second second second   |   |             |          |          |           |          |         |                        |        |               | 56        |                   |               |
| 15 ASR<br>16 ASR             | Error      |               |             |                          |   | undLinked_CUR_LT<br>2_CUR_LTOTAL  | IUTAL     |   |   |           | ed2_CUR_LTOTAL   |  |   | 'ASR002 (A6+A41)'.  |   |             |          |          |           |          |         |                        |        |               | 56        |                   |               |
| 17 ASR                       | Error      |               |             | SZASSetSPU<br>SZAssetRIR |   |   |           |   |   |           |  |  |   | 427).<br>A30+A31+A32+A33)'.   |   |             |          |          |           |          |         |                        |        |               | 56        |                   |               |
| 17 ASR<br>18 ASR             | Error      |               |             |                          | and the second second second  | A CONTRACTOR OF | IR LTOTAL |   |   | 1         | والمراجعة والمراجعة والمراجعة والمحتول المراجع والمراجع والمراجع والمراجع والمراجع والمراجع والمراجع   | and the second   | and the second second second second   | al to 'ASR002 (A35+)  | 436+437\'   |             |          |          |           |          |         |                        |        |               | 56        |                   |               |
| 19 ASR                       | Error      |               |             | S2AssetOth               |   |   |           |   | All and the second property in  |           |  | and the second   | and the second se | A3+A4+A5+A28+A3   | the well-well-backer in the second  | A42)'.      |          |          |           |          |         |                        |        |               | 56        |                   |               |
| 20 ASR                       | Error      |               |             | S2TotAsset               |   | and the second second   |           |   |   |           | CALC LTOTAL' sh  | Company's statement in the second second   |   |   |   |             |          |          |           |          |         |                        |        |               | 36        |                   | _             |
| 21 ASR                       | Error      |               |             |                          | Contraction of the second second  | ked_CUR_LTOTAL  |           |   | a distant shares a bit to be a second   |           | and the second se  | and the second se  |   | 2 (A47+A51+A55+A55  | 9)".  |             |          |          |           |          |         |                        |        |               | 56        |                   |               |
| 22 ASR                       | Error      |               |             |                          |   | CUR_LTOTAL  |           |   |   |           | d_CUR_LTOTAL   |  |   |   |   |             |          |          |           |          |         |                        |        |               | 56        |                   | 3             |
| 23 ASR                       | Error      |               |             |                          | and the second second second second   | able_CUR_LTOTAL   |           |   |   |           | and the second se  | and the state of t | and the second  | 2 (A68+A73+A74)'.   |   |             |          |          |           |          |         |                        |        |               | 56        |                   |               |
| 24 ASR                       | Error      |               |             | S2LiabDeriv              | CUR_LTO   | DTAL  |           | Error: BR008  | 1 'S2LiabDeriv  | CUR       | TOTAL' should be   | e equal to 'ASR0   | 02 (A70)'.  |   |   |             |          |          |           |          |         |                        |        |               | 56        |                   |               |
| 25 ASR                       | Error      |               |             | S2LiabFinLia             | ab_CUR_LT   | TOTAL   |           | Error: BR008  | 1 'S2LiabFinLia   | b_CUF     | LTOTAL' should   | be equal to 'ASF   | 002 (A71+A72)   | )"-   |   |             |          |          |           |          |         |                        |        |               | 56        |                   |               |
| 26 ASR                       | Error      |               |             | S2LiabContl              |   |   |           |   |   |           | JR_LTOTAL' shoul   |  |   |   |   |             |          |          |           |          |         |                        |        |               | 56        |                   |               |
| 27 ASR                       | Error      |               |             | S2LiabOthe               | and the second se |   |           |   |   | 0-11-1-T  | which is the second sec | the state of an of an other state and a set  |   | 67+A69+A75+A76+A  | 77+A78)'.   |             |          |          |           |          |         |                        |        |               | 56        |                   |               |
| 28 ASR                       | Error      |               |             | S2TotLiab_C              | the second s  | 27 - 20 - C   |           |   | Contract of the second s | 1000      | ALC_LTOTAL' sho  |  | the state of the second se  |   |   |             |          |          |           |          |         |                        |        |               | 92        |                   |               |
| 29 ASR                       | Error      |               |             | BofValidCh               |   |   |           |   |   |           | al_LCALC' should   |  |   |   |   |             |          |          |           |          |         |                        |        |               | 57        |                   |               |
| 30 ASR                       | Warning    |               |             | MCRNetBEF                |   |   | TOTA      | and the second start of the second start of   |   |           | ELOB_LTOTAL'S  | and the second second second second second second  |   | and a local sector in the sector of the sector is a sector of the sector is a sector of the sector of the sector is a sector of the sector of |   |             |          |          |           |          |         |                        |        |               | 12        |                   |               |
| 31 ASR                       | Warning    |               |             |                          |   | Last12Mth_ELOB_L  | TOTAL     | and the state of the second |   |           |  | Contraction (Contraction of the Contraction of the  |   | al to 'ASR440 (Q4)'.  |   |             |          |          |           |          |         |                        |        | 1             | 12        |                   | $\rightarrow$ |
| 32 ASR<br>33                 | Error      |               |             | TotalExpRC               | IT_LCALC  |   |           | ELLOL: RK008  | 1 TOTAIEXPRC  | T_LCA     | LC' should be equ  | Jai to 'ASK440, O  |   |   |   |             |          |          |           |          |         |                        |        |               | 0         |                   | $\rightarrow$ |
| 33                           |            |               |             |                          |   |   |           |   |   |           |  |  |   |   |   |             |          |          |           |          |         |                        |        |               |           |                   |               |
| 35                           |            |               |             | <u> </u>                 |   |   |           | 1   |   |           |  |  |   |   |   |             |          |          |           |          |         |                        |        |               |           |                   |               |
| 36                           |            |               |             |                          |   |   |           | •   |   |           |  |  |   |   |   |             |          |          |           |          |         |                        |        |               |           |                   |               |
| 37                           |            |               |             |                          |   |   |           |   |   |           |  |  |   |   |   |             |          |          |           |          |         |                        |        |               |           |                   |               |
| 38                           |            |               |             |                          |   |   |           |   |   |           |  |  |   |   |   |             |          |          |           |          |         |                        |        |               |           |                   |               |
| 39                           |            |               |             |                          |   |   |           |   |   |           |  |  |   |   |   |             |          |          |           |          |         |                        |        |               |           |                   |               |
| 40                           |            |               |             |                          |   |   |           |   |   |           |  |  |   |   |   |             |          |          |           |          |         |                        |        |               |           |                   |               |
| 41                           |            |               |             |                          |   |   |           |   |   |           |  |  |   |   |   |             |          |          |           |          |         |                        |        |               |           |                   |               |
| 42                           |            |               |             |                          |   |   |           |   |   |           |  |  |   |   |   |             |          |          |           |          |         |                        |        |               |           |                   |               |
| 43                           |            |               |             |                          |   |   |           |   |   |           |  |  |   |   |   |             |          |          |           |          |         |                        |        |               |           |                   | 1             |
| 44                           |            |               |             |                          |   |   |           |   |   |           |  |  |   |   |   |             |          |          |           |          |         |                        |        |               |           |                   |               |
| IN A P PI valida             | tionerrors | 193/          |             |                          |   |   |           |   |   |           |  |  |   | Dec   |   |             |          |          |           |          |         |                        |        |               | 10        |                   | -             |
| Ready                        |            |               |             |                          |   |   |           |   |   |           |  |  |   | U.S.L   |   |             |          |          |           |          |         |                        |        |               | 100% (-)- |                   | 6             |
|                              |            | <b>W</b> 2    | 6           | 05                       |   |   |           |   |   |           |  |  |   |   |   |             |          |          |           | -        |         | -                      |        |               | 100% 🕞    | 0<br>14:<br>04/10 |               |

#### 8. EDIT AN AAD CSV IN EXCEL

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|  | e Home Insert                    |                    |                    |              | Lloyds              |             |          |               |          |              |           |               |      |         |      |            |          |     |   |           |               |          |   |         | ~ (?) | - 🖶 🔀            |
|  | Cut Cali                         | bri * 11 *         | A* A* = = =        | ≫ <b>≣</b> v | Vrap Text Ger       | eral *      | <3       |               | Norm     | al           | Bad       | C             | Good | Neutral | l -  | Calculatio | n 🔶      | -   | × | Σ AutoSun | `` <b>2</b> 7 | ñ 👘      |   |         |       |                  |
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|  | 114 🔹 🤄                          | $f_{x}$            |                    |              |                     |             |          |               |          |              |           |               |      |         |      |            |          |     |   |           |               |          |   |         |       | ~                |
|  | А                                | В                  | С                  | D            | E                   | F           | G        | Н             | 1        | J            | К         | L             | м    | N       | 0    | Р          | Q        | R   | S | Т         | U             | V        | W | Х       | Y     | Z 🚊              |
| 1                                      | HEADER                           | AAD                | 1                  | 3623         | 2012                | 236         |          |               |          |              |           |               |      |         |      |            |          |     |   |           |               |          |   |         |       |                  |
| 2                                      | ABCDEF123456                     | ISIN               | С                  | ISIN         | SecurityTitle       | IssuerGroup | AA       | SandP         | 2        | XL39         | 3         | ROW           | GBP  | 4123    | 0    |            |          |     |   |           |               |          |   |         |       |                  |
| 3                                      | ABCDEF123456                     | ISIN               | С                  | ISIN         | SecurityTitle       | IssuerGroup | AA       | SandP         | 2        | XL39         | 3         | ROW           | GBP  | 6000    | 0    |            |          |     |   |           |               |          |   |         |       |                  |
| 4                                      | ABCDEF1                          | SEDOL              | С                  | ISIN         | SecurityTitle       | IssuerGroup | AA       | SandP         | 2        | XL39         | 3         | ROW           | GBP  | 5123    | М    |            |          |     |   |           |               |          |   |         |       |                  |
| 5                                      | ABCDEF1                          | SEDOL              | С                  | ISIN         | SecurityTitle       | IssuerGroup | AA       | SandP         | 2        | XL39         | 3         | ROW           | GBP  | 15000   | М    |            |          |     |   |           |               |          |   |         |       |                  |
| 6                                      | ABCDEF123                        | CUSIP              | ABCDEF123          | ISIN         | SecurityTitle       | IssuerGroup | AA       | SandP         | 2        | XL39         | 3         | ROW           | GBP  | 14123   | S    |            |          |     |   |           |               |          |   |         |       |                  |
| 7                                      | ABCDEF123                        | CUSIP              | ABCDEF123          | ISIN         | SecurityTitle       | IssuerGroup | AA       | SandP         | 2        | XL39         | 3         | ROW           | GBP  | 16000   | S    |            |          |     |   |           |               |          |   |         |       |                  |
| 8                                      |                                  |                    |                    |              |                     |             |          |               |          |              |           |               |      |         |      |            |          |     |   |           |               |          |   |         |       |                  |
| 9<br>10                                |                                  |                    |                    |              |                     |             |          |               |          |              |           |               |      |         |      |            |          |     |   |           |               |          |   |         |       |                  |
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| 13<br>14                               |                                  |                    |                    |              |                     |             |          |               |          |              |           |               |      |         |      |            |          |     |   |           |               |          |   |         |       |                  |
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| 16                                     |                                  |                    |                    |              |                     |             |          |               |          |              |           |               |      |         |      |            |          |     |   |           |               |          |   |         |       |                  |
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| 20                                     |                                  |                    |                    |              |                     |             |          |               |          |              |           |               |      |         |      |            |          |     |   |           |               |          |   |         |       |                  |
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| 23<br>24<br>25<br>26<br>27<br>28<br>29 |                                  |                    |                    |              |                     |             |          |               |          |              |           |               |      |         |      |            |          |     |   |           |               |          |   |         |       |                  |
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| 26                                     |                                  |                    |                    |              |                     |             |          |               |          |              |           |               |      |         |      |            |          |     |   |           |               |          |   |         |       |                  |
| 28                                     |                                  |                    |                    |              |                     |             |          |               |          |              |           |               |      |         |      |            |          |     |   |           |               |          |   |         |       |                  |
| 29                                     |                                  |                    |                    |              |                     |             |          |               |          |              |           |               |      |         |      |            |          |     |   |           |               |          |   |         |       |                  |
| 30<br>31                               |                                  |                    |                    |              |                     |             |          |               |          |              |           |               |      |         |      |            |          |     |   |           |               |          |   |         |       |                  |
| 32                                     |                                  |                    |                    |              |                     |             |          |               |          |              |           |               |      |         |      |            |          |     |   |           |               |          |   |         |       |                  |
| 32<br>33                               |                                  |                    |                    |              |                     |             |          |               |          |              |           |               |      |         |      |            |          |     |   |           |               |          |   |         |       |                  |
| 34<br>35<br>36<br>37                   |                                  |                    |                    |              |                     |             |          |               |          |              |           |               |      |         |      |            |          |     |   |           |               |          |   |         |       |                  |
| 36                                     |                                  |                    |                    |              |                     |             |          |               |          |              |           |               |      |         |      |            |          |     |   |           |               |          |   |         |       |                  |
| 37                                     |                                  |                    |                    |              |                     |             |          |               |          |              |           |               |      |         |      |            |          |     |   |           |               |          |   |         |       |                  |
| 38<br>39                               |                                  |                    |                    |              |                     |             |          |               |          |              |           |               |      |         |      |            |          |     |   |           |               |          |   |         |       |                  |
| 39<br>40                               |                                  |                    |                    |              |                     |             |          |               |          |              |           |               |      |         |      |            |          |     |   |           |               |          |   |         |       | U                |
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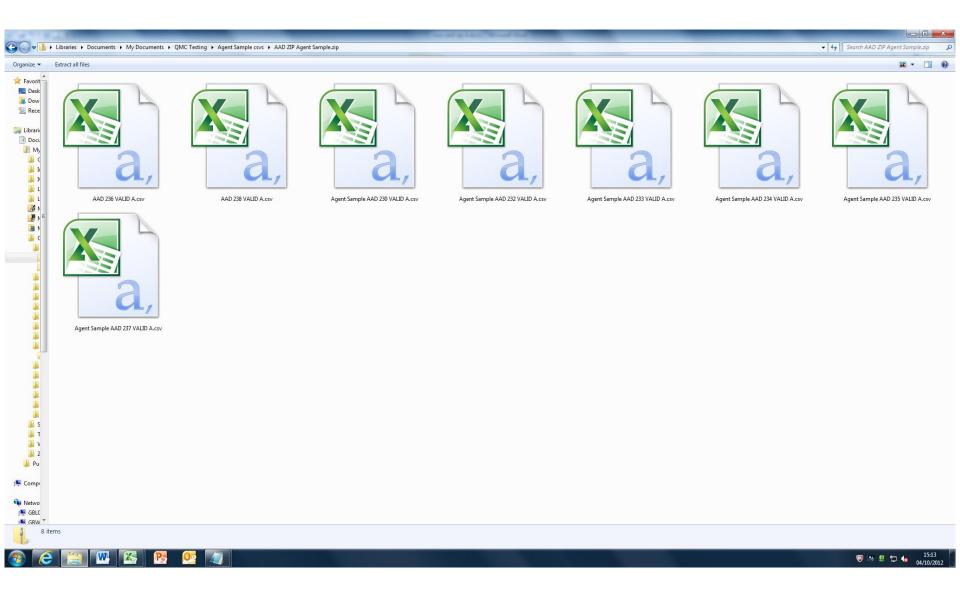
#### 9. EDIT AN AAD CSV IN NOTEPAD

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#### 10. AAD/QAD CSVs & ZIP FILES ...

| Documents library<br>Agent sample cos       Company for the sample constraints of the | $\begin{array}{c} \begin{tabular}{l l} \hline \begin{tabular}{l l l l l l l l l l l l l l l l l l l $   |   | Documents → QMC Testing → Agen                   | t Sample CSVS              |                                   |                                   |                                   |                                   |                                   | ▼  * <del>y</del>    Searc        | h Agent Sample csvs          |
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| Agent Sample AAD 230 VALID       AD 21P Agent Sample.zip       AD 238 VALID A.csv       AD 238 VALID A.csv       AD 238 VALID A.csv   | Agent Sample AAD 230 VALID       AD 239 VALID.csy       AD 238 VALID.csy       AD 238 VALID.csy       AD 238 VALID.csy  | Agent Sample AAD 237 VALID                                    | Agent Sample AAD 235<br>VALID.csv                | Agent Sample AAD 235 VALID | Agent Sample AAD 234              | Agent Sample AAD 224 VALID        | Agent Sample AAD 233              | Agent Sample AAD 223 VALID        | Agent Sample AAD 232              | Agent Sample AAD 222 VALID<br>Acc | Agent Sample AAD<br>VALID.cv |
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#### **11. ... AND THE CONTENTS OF AN AAD ZIP FILE**



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#### 12. UPLOADING AN AAD ZIP FILE ...

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#### 13. ... UPLOAD CONFIRMATION MESSAGE ...

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#### 14. ... AAD IN "PENDING" STATUS ...

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| Help<br>Archive  | 3623  | 2012  | 02                          | RH 12.10.04.1 AAD a | 0064HAdmin@test.com | Pending                                      |        | History                               |                 |
| AAD Return Instructions<br>AAD FAQ's<br>AAD Return Specifications  | 3623<br>showing page 1 of 1 1   | 2012  | 01                          | RH 12.10.03.1 ASR a | 0064HAdmin@test.com | Warnings                                     |        | History View Edit Delete              | 2               |
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#### 15. ... AAD IS "VALID" BUT HAS "WARNINGS" ...

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#### 16. ... AAD "VIEW VALIDATIONS" PAGE ...

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| turn Date 2012   | Syndicate Number: 3623   |   |
| 10 Control Page  | Return Type: AAD<br>Return Period: 2012  |   |
| lelp   | Submission:  |   |
| rint Return  | Status: Warnings   |   |
| 30s Investment Data Portfolio                                      | Edition: 02  |   |
| st and Derivatives Open<br>ositions Summary                        | Validations  |   |
| 33s Derivatives Data Open<br>lositions Summary                     |  |   |
| 234s Derivatives Data - Historical<br>Derivatives Trades Summary   | The return has encountered warnings but can still be submitted. Extract Messages                                     |   |
| 235s Return on Investment<br>Assets (by Asset Category)<br>Summary | Please confirm that you have reviewed the warning messages and that the return can be submitted with those warnings. | Confirm   |
| 236s Investment funds (look-                                       | Please contrim that you have reviewed the warning messages and that the return can be submitted with those warnings. |   |
| hrough approach) Summary<br>237s Securities Lending and            | + Warning (2)  |   |
| lepos Summary  |  |   |
| 38s Assets held as collateral                                      | + 236 Investment funds (look-through approach) Security (2)  |   |
| ummary   | ID code (2)  |   |
| 9s Overall Assets Summary  | Line Message   | Attempted Value                                     |
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|  | 7 Warning: BR0017 'ID code' is not in the correct format   | ABCDEF123   |





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#### **17... USER ACCEPTS AAD WARNINGS ...**

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| 233s Derivatives Data Open<br>Positions Summary                    |                                   |                           |                            |                     |                 |   | ]   |                              |
| 234s Derivatives Data - Historica<br>Derivatives Trades Summary    | I V I he reti                     | urn can now be submitted. |                            |                     |                 |   |   |                              |
| 235s Return on Investment<br>Assets (by Asset Category)<br>Summary |                                   |                           |                            |                     |                 |   | а<br>   |                              |
| 236s Investment funds (look-<br>through approach) Summary          |                                   |                           |                            |                     |                 |   |   |                              |
| 237s Securities Lending and<br>Repos Summary                       |                                   |                           |                            |                     |                 |   |   |                              |
| 238s Assets held as collateral<br>Summary                          |                                   |                           |                            |                     |                 |   |   |                              |
| 239s Overall Assets Summary<br>990 Syndicate Comments              |                                   |                           |                            |                     |                 |   |   |                              |
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#### 18. ... "VALIDATED" AAD ON HOME PAGE ...

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| Contact Lloyd's   Download Agreement   Agreement Guidance   Business Reporting Tasks<br>Lloyd's is a registered trade mark of the Society of Lloyd's<br>Lloyd's is authorised under the Financial Services and Markets Act 2000. Lloyd's copyright 2012 |  |  |                   |                         |                     |                     |         |                                   |        |                         |                                |
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# **19. ... AAD CAN NOW BE LOCKED, SIGNED OFF, AND SUBMITTED**

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| List and Derivatives Open<br>Positions Summary                     | Contact Details   |   |
| 233s Derivatives Data Open<br>Positions Summary                    | Contact usemame<br>Contact name   | 0064HAdmin@test.com                                 |
| 234s Derivatives Data - Historical                                 | Contact telephone number  | 5119  |
| Derivatives Trades Summary   | Contact e-mail address  | 0064HAdmin@test.com                                 |
| 235s Return on Investment<br>Assets (by Asset Category)<br>Summary |   | Save Return   |
| 236s Investment funds (look-<br>through approach) Summary          |   |   |
| 237s Securities Lending and<br>Repos Summary                       | Lock<br>Will lock the return prior to sign off  | Lock  |
| 238s Assets held as collateral<br>Summary                          | Print<br>Will navigate you to the Print Return page.                                    | Print Return  |
| 239s Overall Assets Summary  | Upload  | Upload  |
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## **QUESTIONS?**

## **NEXT STEPS**



#### PILLAR III TIMELINE FOR CMR UAT...

- Agent UAT available from 1 November
  - Lloyd's will issue UAT release guidance on 1 November
- Initial UAT feedback from agents requested by 14 December
- Subsequent feedback from agents welcome in Q1 2013
- Pillar III returns in production environment April 2013

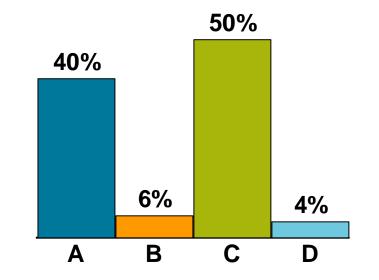
#### ...AND MORE BROADLY...

Pillar 3 technical workshops 13 and 14 November

- Solvency II timetable and impact on Pillar 3 preparations
- Current expectations on Pillar 3 requirements
- Agent Pillar 3 dry run
- Pillar 3 dry run current plan
  - Completion of some of the forms only
  - As at 31 December 2012 on a 'best efforts' basis
  - Planned for April/May 2013
  - Separate dry run for reinsurance data in Q3 2013

#### **...BUT GIVEN THE LIKELIHOOD OF FURTHER DELAY SHOULD WE HAVE THE WORKSHOPS IN NOV?**

- A. Yes, we would like Lloyd's latest views on Pillar 3 timetable and requirements
- B. No, wait until Spring 2013 once
   UAT is complete
- C. No, wait until Spring 2013 but Lloyd's should issue more guidance on agent requirements earlier if the delay is confirmed
- D. Don't know/no opinion



#### WHERE CAN I GET MORE ASSISTANCE ?

- For technical problems with CMR access and operation please contact: ITG.DataManagement@lloyds.com
- For general and business related queries please contact Lloyd's Accounting Policy at:

Lloyds-SolvencyReturns@lloyds.com

- ► Help facilities on CMR:
  - Market Returns Menu → Base Element Definition, User Manual
  - ASR/QSR/AAD/QAD Home Page → Return Instructions\*, Return Specifications\*, FAQs, Extract Reference Data, Download csv Template.

\* Note: Return Instructions and Specifications are being updated; in the meantime agents should use those already issued and available on lloyds.com

