



ADVANCED DATA MANAGEMENT FACT SHEET

Overview

Gain offers a turnkey solution to import core systems data programmatically which is fully-supported by our best-in-class Customer Success Team.

Reshaping your data to conform to the Custom Text Files (G-File) import format is straightforward. Whether starting from scratch or leveraging a file previously-used for imports, the process involves reviewing and comparing the Custom Text Files (G-File) specification (aka., spec) to your existing data (or import file) in order to note the differences, reshape your data, run test imports, and iterate until you have a successful import.

Important Note

This fact sheet is intended as a synopsis of Gain's Advanced Data Management solution. More extensive documentation is available to customers which includes additional information such as screenshots, ancillary supporting information, and greater detail in certain areas.

Please do not hesitate to contact us to learn more about how Gain improves outcomes - as measured by process efficiency and data quality - through automation.

Gain's Approach - A Focus on Results

Gain's mission is to ensure that customers are successful in their filings. We pair our best-in-class technology with always-up-to-date documentation and a high-touch support model.

Gain's Advanced Data Management clients benefit from:

- Premium Customer Support, including a dedicated Customer Success Manager who partners with you on setup, testing, and ongoing support;
- Detailed documentation that is updated in lockstep with changes to the NAIC reporting framework;
- A sandbox environment for import testing.

Due to the unique nature of statutory financial reporting, change is a constant. Gain ensures the improved outcomes from automation in terms of efficiency and data quality



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are not only readily achieved at the outset, but also persist as the NAIC framework evolves.

Getting Started

The first steps set the foundation for success. Together, we will examine and collaborate on:

- A **copy of your source data** (or previous import file). We want a safe space to make changes without impacting the original file.
- The **Gain Compliance Custom Text Files (G-File) specification (aka., spec) files** for your related schedule. Your dedicated Customer Success Manager (CSM) will provide two versions of the spec files. One is an empty template, the other includes cell-by-cell information on the expected data type.
- The **tools you will use for data manipulation** - Excel or your favorite text editor. (We find that most of our customers have an easier time using Excel.)
- A **Gain Compliance test organization (account)**, company, and related statement. Your CSM will set this up and provide access. Once you've logged in to Gain Compliance, select your profile in the upper right corner and click 'Switch Organization'. This will display a list of the organizations you have access to, there you will find a new test organization.

Diving into the Details

The above text provides an overview of Gain's framework and approach. For those who are interested in the mechanics of setup and automation, please read on for a "how-to" guide that details each step.

As always: Gain's efforts do not end with simply providing the best technology solution: rather, our mission is to ensure that you are efficient, confident, and successful in automating your data flows. To that end, all customers are fully-supported at each juncture by a dedicated Customer Success Manager (CSM).

If any part of this seems overwhelming or confusing at first glance, don't worry. We are in this together, and help is readily available.

Step 1: The Basics of Custom Text Files (G-File) Format

Before altering your data, let's talk about the basics of Gain's Custom Text File (G-File) format. As we step through this content, it's helpful to have prior data close at hand and take note of differences as compared to the Custom Text Files (G-File) format. We'll use these differences in the next step ("Step 2: Reshaping your Data").

Note that our spec files have tab-separated values: Gain leverages tab-separated files (TSVs) for data import. We understand that TSVs can be challenging to view and manipulate, which is why customers often use Excel for visualization and editing. Copying and pasting data is to be done with forethought to ensure process integrity; take care to include all necessary columns and double-check that any leading zeros in line numbers are not left out. Your CSM is always at the ready to troubleshoot issues and provide support.

When looking at a given table in the spec files you'll see:

- **Table Name (identifier)** in square brackets [] – This name is very important. It tells us where to put the data. The name in the spec and the name in your import file should match exactly.
- **Column headers** in square brackets [] – This indicates that the associated column within the given table should be imported into our system. During the import process, our system will verify the table's structure, including the expected number of columns.
- **Column headers** in curly brackets {} – This indicates that the associated column within the given table will be ignored during import. Any column with a related curly bracket header {} is included for informational purposes. These columns are not required in your file and if they are included, they will be ignored during the import.
- **Line numbers** – Line numbers inform the system where to import data. At times, the line numbers include leading zeros ('01'). Our system is resilient and handles the instances these leading zeros are missing; but, as a best practice, you should aim to include leading zeros.
- **Variable row tables** (e.g., write-ins) – can be slightly nuanced. We accept both explicitly set line numbers (1101, 1102, 1103, 2501) or a range (1101-1196) repeated for each line. This information tells the system which range group to



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place the row in. We will place the rows in the order they appear in the provided file, ignoring the specified variable row information.

- **Lines that start with a pound symbol (“#”)** – These are comment lines that typically contain help content. Any line that starts with a pound symbol (“#”) will be ignored during the import process. These lines are not required in your file. If they are included, they will be ignored during import.

Helpful Tip: Customers often add contextual information to their import files using comment lines, and we encourage you to do so. To ensure that your process runs smoothly, we suggest placing a pound sign (“#”) in the first column and any comment text in the following columns, particularly if you're working in Excel, to avoid double quotes.

- **D and I row indicators** – Our system recognizes two types of data row identifiers: "D" and "I". It's important to note that "D" should be used in most cases, while "I" is only necessary when importing inset (inline) data. Keep in mind that our system will validate specific line identifiers.

A Quick Note on Data Formatting Requirements

Before we dive into reshaping your data, let's discuss how data interacts with this spec:

- **Include all columns** – All columns with headers in square brackets must be present, including columns at the right side of your data that might be empty.
- **Optionals data lines (rows)** – You do not need all data lines (rows). You can omit lines and import your data successfully. By preference, lines can also be imported out of order. Note: our default import method will clear tables completely before importing into them. While this is usually the desired behavior, please be aware of this if you opt to omit lines from your import file.
- **Required empty cells** – The cells can be found in the spec file, which includes data type information. These are areas of the table that the NAIC expects to be empty. If you import with non-zero data in required empty cells, the import process will warn you while still allowing you to import all your other data (i.e., ignoring the data in required empty cells).



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- **Calculated values** – All calculated cells within the imported tables will be recalculated after import. While you can include these values in your import file, they will not be preserved in the import process.

Next, let's continue the conversation on best practices as we work to reshape and import your data.

Step 2: Reshaping Your Data

Below are the key considerations for creating Custom Text Files (G-File) import files. Bear in mind that some of these changes may not be applicable to your process, and there may be other changes that are necessary as well. Additionally, refining data for import can often be a multi-step process: it may require several iterations of adjustments, importing, and reviewing import issues to get the file to its optimal state. If you need further assistance, your Customer Success Manager is ready to assist.

Now for the fun part: let's work with your data to create your Custom Text Files (G-File) import file! Here are the most common considerations:

- **Adjust your table name** (identifiers) to match the Custom Text Files (G-File) name displayed in the spec file(s).
- **Review the columns** in your data vs the columns in the spec.
 - All square bracket [] columns are present and in the correct order as outlined. Although the import process will confirm the number of columns, it will not check if the column names match or attempt to rearrange them based on name. The validation process will only verify that the correct number of columns exist.
 - Remember that columns with curly brackets {} are there for informational support, are not required, and will not be imported.
 - Some customers find it helpful to have these columns represented in their file, while others opt to leave these out.
 - These columns are specific to each individual table. If you have many tables within your import, repeat this adjustment for each table.



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- **Adjust your data rows** to start with "D" or "I". As noted in Step 1, "D" should be used in most cases, while "I" is only necessary when importing inset (inline) data.

Note for those making adjustments to an import file used in a prior vendor's software: other vendors may have used other row indicators such as "C", "F", "T", or "W" rows. Most of the time these will map to our "D" rows. Our "I" rows are for inset, or inline, values. All other rows are "D" rows. (This distinction is detailed in the spec.)

- Look for values in required empty cells. While your import will not be blocked because of values in required empty cells, we will warn you about these, when found. If left unaddressed, you may find that it is harder to troubleshoot your import issue report.
- Scope your file for import. Today, our Custom Text Files (G-File) import process is **company and filing specific**. We currently require customers to extract and upload each company and statement separately. In the case of multiple files for one company's statement, you can either merge all files into a single file or you can go through the import process multiple times, once for each file.

Note: Gain Compliance's March and April filings are treated as discrete statements. Content related to these statements must be separate and imported independently for each. This is particularly relevant if you are moving over from a vendor that utilizes a unified import file to import into multiple filings.

Step 3: Import and Review

Congratulations! Your data has been transformed into the Custom Text Files (G-File) format. Let's get cracking on testing the import!

For this process you will be able to upload a saved TSV or copy and paste your data directly into the application.

To access the Customer Text Files (G-File) Import menu option, navigate to the relevant test statement in your Gain Compliance test organization. Once in a statement, you can locate the ellipse menu at the top right corner of the screen.



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When you select this menu option, you will see a screen that looks like the image below. There are currently three ways to add your import content:

1. Use the Select File to Import button to pull up a file explorer where you can navigate to and select a text file to import.
2. Drag and drop a file directly into the region with the File Content section.
3. Copy and paste tab-separated text directly into the File Content region. If you're copying and pasting values from Excel, make sure you begin at the starting cell and that you include all relevant data. If you are importing multiple tables, you'll want to confirm you are copying all the columns needed for the import.

Once you add your import file or paste your content, you are able to select your preferred import options: Gain offers alternatives such as how empty cells are treated as well as overwriting lines vs. tables upon import. You can then press the "Continue" button to move to the next step - previewing your import before finalizing.

As you would expect from thoughtfully-designed, modern software, **Gain's solution does a wonderful job of identifying and communicating import issues**. The dialog messages include helpful, understandable descriptors to troubleshoot and further adjust your file. Best practices included paying close attention to Line in File, Value, and Description to aid in this process.

By staging the data and communicating identified issues, Gain provides agency to users. This allows you to examine any potential errors and either (a) choose which sections you want to import or (b) take a step back in the process to address issues and reimport.

Once you have previewed and determined the data is ready to process... import away.

Best practices are then to review your newly imported data with any eye on the Validation Dashboard for potential crosscheck or data-specific issues.

A note on importing into sections marked as 'Do Not Report'. If the schedule you're importing data into is not currently set to Active, the import will activate those sections during the process. You can see this in the Set to Active column within the table



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displaying your sections. As a rule, the application will not change the disclosure of any Notes tables due to their complex nature. If you are importing Notes, you'll want to review and adjust disclosures following import.