Sircon

powered by **Vertafore**

SIRCON FOR CARRIERS

Review & Maintain Producer Records

Vertafore

Section: Overview

Table of Contents

Overview

Introduction and Background

In this quick guide, we will learn how to review and maintain producer records using the Producer Central module of Sircon for Carriers.

Producer Lifecycle Management

Add Producer to Organization	Maintain Producer	Complete Sales Authorization	Appoint Producer	Terminate Producer
Add producers to your network and connect them to daily PDB updates	Update producer records with demographic changes	Verify producer is properly licensed with Sales Authorization	Submit producer appointments to the states	Terminate appointments and disconnect subscription

With Sircon for Carriers, you can eliminate the time consuming, manual, and often error-prone effort involved in keeping track of your producers as their careers evolve.

The moment you add a producer to your organization, Producer Central will create a **Producer Record** that contains all the compliance and licensing information for an individual licensee or firm. Once the record exists, you can maintain changes to the producer's information throughout their career.

PRODUCER MAINTENANCE PROCESS

There are three ways to maintain producer data in Sircon for Carriers:

1. Daily Producer Database (PDB) Syncs
2. Bulk Transactions & Service Requests
3. Maintaining the Individual Producer Record

Daily Producer Database (PDB) Updates

The producer record **syncs daily with the National Insurance Producer Registry's (NIPR) Producer Database (PDB)** to keep your producer network as compliant as possible.

Any producer that is synced with the PDB will automatically receive daily updates of the information maintained on the PDB.

Examples of data updates from the PDB include:

- License and qualifications (or lines of authority)
- Name changes
- Demographic changes

Bulk Transactions & Service Requests

Another way you can update producer data is through the Sircon for Carriers **Bulk Transactions & Service Requests**. Use this option to mass update information for up to 10,000 producers at one time. There are several different bulk transactions you can run, including:

- Address Updates
- Email Updates
- Business Unit Updates

> **Note**: We will discuss how to perform bulk transaction updates in the Bulk Transaction Updates Quick Guide.

Updating the Individual Producer Record

The last method you can use to maintain data is updating the individual producer record. The producer record contains links to transactions in Producer Central where you can maintain and update data. Examples of data you can maintain from the producer record are:

- Appointments
- Licenses / Qualifications
- Address/Demographic Changes
- Business Units
- Cost Centers
- External System IDs

What will be covered?

In this guide, we will focus on how to review and maintain data within an individual producer record.

Who should use this document?

Any user who needs to review and maintain the producer record records using the Producer Central module of Sircon for Carriers.
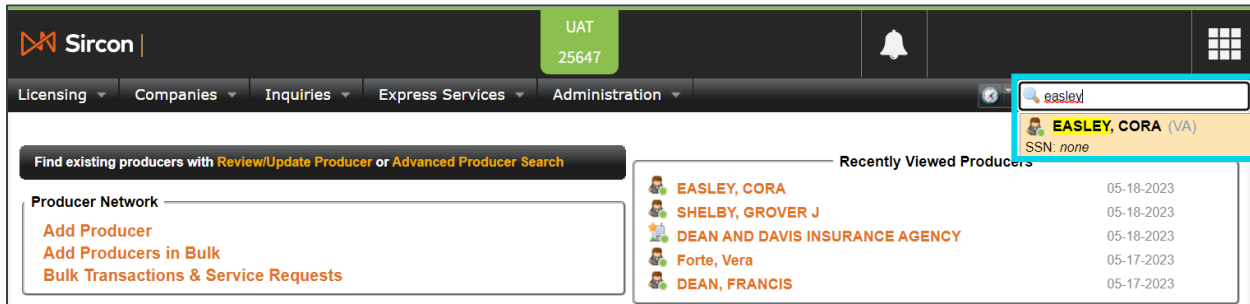
When should you use this document?

When you need to review or maintain information in a producer record.

Search for a Producer Record

Let's start by navigating to a producer record. Use the **Producer Quick Search** from any page within Producer Central to find a producer record quickly and easily.
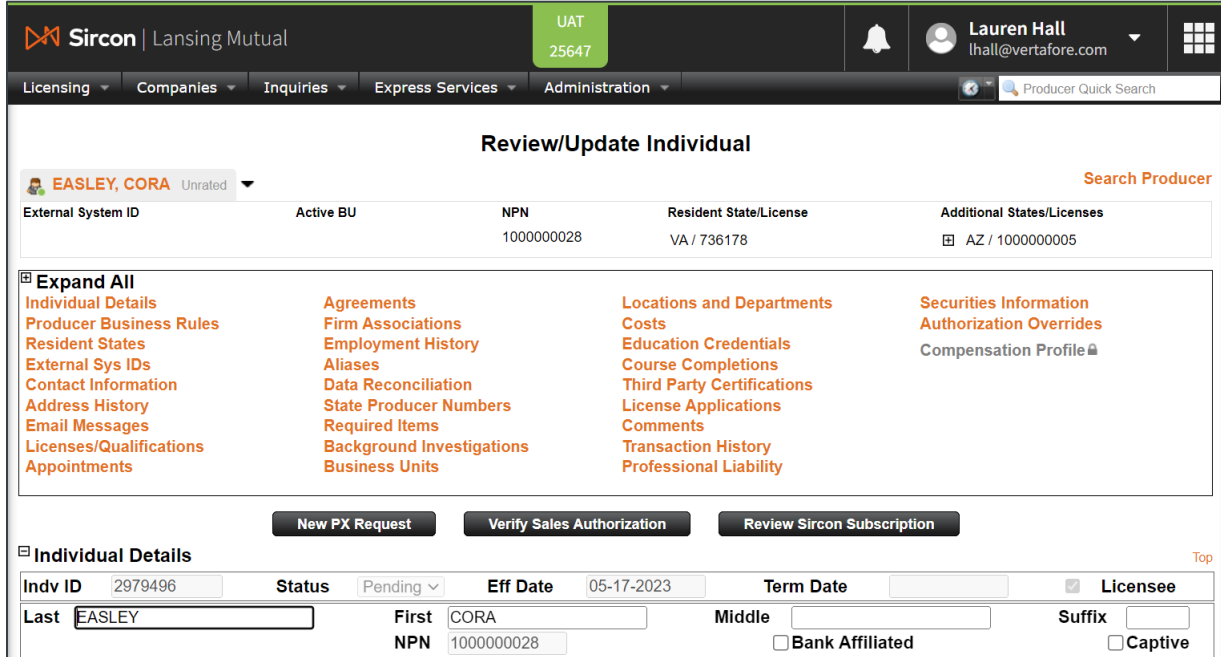
1. Begin typing search criteria (such as the last name of the producer, the agency/firm name, or the NPN, EIN, or SSN) in the **Producer Quick Search Box** found in the upper-right corner of any Producer Central page.

2. The list will update itself dynamically as you type. Select the **Producer** that you need to view.

Sircon |	UAT 25647

Licensing ▾	Companies ▾	Inquiries ▾	Express Services ▾	Administration ▾		easley
						👤 **EASLEY, CORA** (VA) SSN: *none*

Find existing producers with Review/Update Producer **or** Advanced Producer Search

Producer Network
Add Producer
Add Producers in Bulk
Bulk Transactions & Service Requests

Recently Viewed Producers
👤 EASLEY, CORA	05-18-2023
👤 SHELBY, GROVER J	05-18-2023
🏢 DEAN AND DAVIS INSURANCE AGENCY	05-18-2023
👤 Forte, Vera	05-17-2023
👤 DEAN, FRANCIS	05-17-2023

3. This will open the producer record.

Sircon | Lansing Mutual	UAT 25647		🔔 👤 **Lauren Hall** lhall@vertafore.com ▾

Licensing ▾	Companies ▾	Inquiries ▾	Express Services ▾	Administration ▾	Producer Quick Search

Review/Update Individual

👤 **EASLEY, CORA** Unrated ▾   Search Producer

External System ID	Active BU	NPN	Resident State/License	Additional States/Licenses
		1000000028	VA / 736178	⊞ AZ / 1000000005

⊞ **Expand All**

Individual Details	Agreements	Locations and Departments	Securities Information
Producer Business Rules	Firm Associations	Costs	Authorization Overrides
Resident States	Employment History	Education Credentials	Compensation Profile 🔒
External Sys IDs	Aliases	Course Completions	
Contact Information	Data Reconciliation	Third Party Certifications	
Address History	State Producer Numbers	License Applications	
Email Messages	Required Items	Comments	
Licenses/Qualifications	Background Investigations	Transaction History	
Appointments	Business Units	Professional Liability	

[New PX Request]   [Verify Sales Authorization]   [Review Sircon Subscription]

⊟ **Individual Details**   Top

Indv ID	2979496	**Status**	Pending ▾	**Eff Date**	05-17-2023	**Term Date**		☑ Licensee

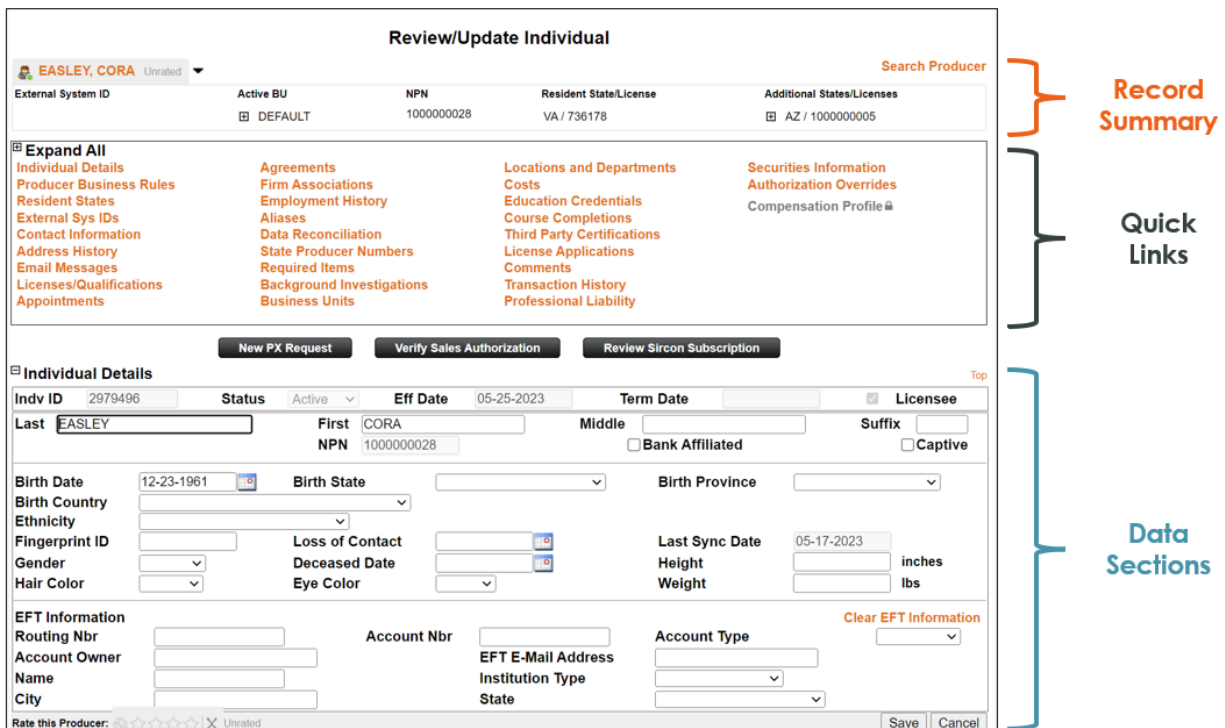| Last	EASLEY	**First**	CORA	**Middle**		**Suffix**	
		NPN	1000000028	☐ Bank Affiliated		☐ Captive	

> **Note**: If you do not find the producer record from the quick search, refer to the Adding and Searching for Producers Quick Guide for more detailed instructions.

Tour the Producer Record

The producer's record will display in the ***Review/Update Individual*** page. This page will contain information relevant to the producer of your choosing. Within the producer record, you can either review or edit information. Producer data is organized into several different sections.

In descending order, the sections included on the producer record page are as follows:

- Record Summary
- Quick Links
- Data Sections

Record Summary

Contains basic information about the entity you are working with, including the:

- **Producer Name**: Name of the individual or firm producer whose record is currently open in the *Review/Update Producer* page. The icon to the left of the producer's name signifies the producer's entity type, either **Individual** (👤) or **Firm** (🏢).

> **Note**: You can click the **Producer Name** link to refresh the producer record that is currently open in the *Review/Update Producer* page or to re-open the producer's record in the *Review/Update Producer* page from any other page in the system.

- **Rating**: If a producer has been assigned a productivity rating, this rating will appear to the right of the producer's name. You will see "unrated" if no rating has been given.

- **External System ID**: Displays the default external system ID that links the producer record with your company's back-office systems.

- **Active BU** (Business Unit): Short name of the business units to which a producer is actively assigned (sorted alphabetically). Click the **Expand** button (⊞) to display all the active business units.

- **NPN**: Displays a producer's unique National Producer Number, assigned by the NIPR.

- **Resident State / License**: Displays the producer's resident state and the license number.

- **Additional States / Licenses**: Displays the codes of the states in which a producer holds active or inactive licenses (sorted alphabetically), along with respective state license numbers. To see all the license states and license numbers, click the **Expand** button (⊞).

EASLEY, CORA Unrated ▼				Search Producer
External System ID	**Active BU**	**NPN**	**Resident State/License**	**Additional States/Licenses**
		1000000028	VA / 736178	⊞ AZ / 1000000005

Quick Links

Quick Links allow you to navigate rapidly to the information in a particular **Data Section** on the page.

⊞ Expand All			
Individual Details	Agreements	Locations and Departments	Securities Information
Producer Business Rules	Firm Associations	Costs	Authorization Overrides
Resident States	Employment History	Education Credentials	Compensation Profile 🔒
External Sys IDs	Aliases	Course Completions	
Contact Information	Data Reconciliation	Third Party Certifications	
Address History	State Producer Numbers	License Applications	
Email Messages	Required Items	Comments	
Licenses/Qualifications	Background Investigations	Transaction History	
Appointments	Business Units	Professional Liability	

New PX Request	Verify Sales Authorization	Review Sircon Subscription

For example: You can click the **Comments** link to navigate to and expand the **Comments** section; you can click the **Aliases** link to navigate to and expand the **Aliases** section, etc.

Use **Quick Links** to navigate more rapidly around the page rather than using the vertical scroll bar.

> **Note**: To see all the **Details Sections**, click the **Expand All** button (⊞), when available, in the **Quick Links** box. To close all sections, click the **Collapse All** button (⊟).

Using the quick links, you can maintain information in the following data sections:

Individual Details
Contains general information about a producer.

For more information, see [Review/Maintain Individual Details](#).

Producer Business Rules
Here you can review and maintain one or multiple custom global business rules for a selected producer.

For more information, see [Review/Maintain Producer Business Rules](#).

Resident States
Displays all the states in which the producer holds a resident license. Includes certifications, effective and expiration dates, as well as license expiration dates.

For more information, see [Review/Maintain Resident States](#).

External Sys IDs
Displays information linking the selected producer record with your company's back-office systems (e.g., payroll, new business, etc.).

For more information, see [Review/Maintain External System IDs](#).

Contact Information
Displays the producer's current address, telephone, web address, and email information.

For more information, see [Review/Maintain Producer Contact Information](#).

Address History
Displays a history of the producer's previous addresses.

For more information, see [Review/Maintain Address History](#).

Email Messages
Individuals only. Displays all the license renewal and expired license email notifications sent on behalf of the producer by Producer Central.

For more information, see [Review Email Messages](#).

Licenses/Qualifications

Displays a producer's licenses and qualifications (aka lines of authority or LOA) information.

For more information, see Review/Maintain Licenses/Qualifications.

Appointments

Displays a producer's appointment information.

For more information, see Review/Maintain Appointments.

Agreements

Displays business agreement information.

For more information, see Review/Maintain Agreements.

Associations

Individual or firm producers. Displays individual-to-firm affiliation or association information.

For more information, see Review/Maintain Associations.

Employment History

Individuals only. Displays employment history information for an individual producer.

For more information, see Review/Maintain Employment History.

Aliases

Displays alternate identity, or alias, information.

For more information, see Review/Maintain Aliases.

Data Reconciliation

Displays information about updates to producer information from an automated data reconciliation operation.

For more information, see Review/Maintain Data Reconciliation.

State Producer Numbers

Displays state-unique producer identifier numbers.

For more information, see Review State Producer Numbers.

Required Items

Displays information on required items for the producer (i.e., fingerprints, signature card, etc.).

For more information, see Review/Maintain Required Items.

Background Investigations

Individuals only. Displays background investigation information for an individual.

For more information, see Review/Maintain Background Investigations.

Business Units

Displays information about the business units to which a producer is assigned.

For more information, see Review/Maintain Business Units.

Locations and Departments

Individuals only. Displays a producer's location and department assignments.

For more information, see Review/Maintain Locations and Departments.

Costs

Displays an ongoing list of the transactions and fees associated with the maintenance of the producer's record.

For more information, see Review Costs.

Education Credentials

Individuals only. Displays the producer's education credentials. The credentials are required for a producer to sell/represent a particular line of business in a given state.

For more information, see Review Education Credentials.

Course Completions

Individuals only. Displays a producer's course completions.

For more information, see Review/Maintain Course Completions.

Third Party Certifications

Individuals only. Displays a producer's third-party education or training certification information.

For more information, see Review/Maintain Third Party Certifications.

License Applications

Displays information pertaining to a producer's license applications.

For more information, see Review/Maintain License Applications.

Comments

Displays staff remarks and internal notes.

For more information, see Review/Maintain Comments.

Transaction History

Displays a log of the producer's onboarding or maintenance transaction requests.

For more information, see Review Transaction History.

Professional Liability

Displays information about a producer's professional liability coverage, such as errors and omissions (E&O) insurance or bonds insurance.

For more information, see Review/Maintain Professional Liability.

Securities Information

Individuals only. Displays securities exam and other information pertaining to the producer's FINRA (Financial Industry Regulatory Authority) credentials.

For more information, see Review/Maintain Securities Information.

Authorization Overrides

Displays the Sales Authorization overrides that were authorized for this producer.

For more information, see Review/Maintain Authorization Overrides.

Compensation Profile

If you have access to the Compensation module of Sircon for Carriers, this link will take you to the producer's compensation profile.

Data Sections

Data sections contain a record's essential information. Information is organized in collapsible and expandable panels to which you can navigate from the **Quick Links** box. You can also navigate up or down the page using the vertical scrollbar.

Click the **Top** text link opposite the Data Section name to navigate quickly to the top of the page. Data Sections may also offer links to other pages where you can maintain information or perform compliance related transactions.

User Roles & Administration

Many of the fields available in the Producer Record are configurable based on your security role. If you do not see or cannot modify a field that we reference in this guide, your security role(s) may not have the necessary access.

A user with administrative permissions in your company can configure many of the fields to be:

- Hidden
- View Only
- Modifiable

If you cannot see or modify a field referenced in this guide, contact your system administrator or your Vertafore representative.
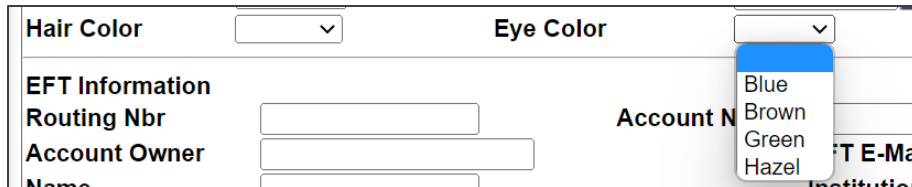
> **Note**: For information about how to set up security roles, refer to the User Security Quick Guide.

Configuring Producer Data Fields

In addition to user roles, the data available in certain fields can be configured using **code use indicators**. These settings are maintained by the administrators at your company.

For example, one of the fields in the **Individual Details** section is **Eye Color**. The values available in the dropdown field are configurable. This company set up the Eye Color field to have the following options:

- Blue
- Brown
- Green
- Hazel

Using the code use indicators, you can add additional options such as "grey" or "black".

Contact your system administrator or your Vertafore representative to update field values.

> **Note**: Refer to the [Administration in Producer Central Quick Guide](#) for more information about configuring fields in your company.

Review & Maintain Producer Records

In this section we will:

- Review each data section of the producer record.
- Explain the purpose of each data section.
- Explore each data field.
- Learn how to maintain data using links in the producer record.

Individual or Firm Details

Use the **Individual Details** or **Firm Details** data sections of a producer record to review and maintain general information about the producer and the producer record.

Individual Details Example

Firm Details Example

Section: Review & Maintain Producer Records

To review an individual producer's details, click the **Individual Details** link in the Quick Links box of an individual producer record that is open in the *Review/Update Producer* page.

Or, to review a firm producer's details, click the **Firm Details** link in the Quick Links box of a firm producer record that is open in the *Review/Update Producer* page.

The **Details** data section contains the following sub-sections:

BASIC RECORD INFORMATION

Fields and controls include the following:

- **Indv ID**: *Individual producers only. Non-modifiable*. Displays a unique, system-assigned identifier of the selected individual producer record.
- **Firm ID**: *Firm producers only. Non-modifiable*. Displays a unique, system-assigned identifier of the selected firm producer record.
- **Status**: *Non-modifiable*. Status of the selected producer's record in Producer Central, based on certain carrier or firm relationship conditions.
- **Effective Date**: *Non-modifiable*. Date on which the value of the **Status** field was last updated.
- **Licensee**: *Individual producers only. Non-modifiable*. A checkmark in this field indicates that the selected producer is a licensed entity; a blank checkbox indicates that the producer is not a licensed entity.
- **Termination Date**: *Non-modifiable*. Date on which the selected producer's last appointment with an appointing company became inactive.
  - For a carrier customer, this would be the date on which the producer's last appointment with one of your carrier's group's appointing companies became inactive.
  - For an agency/brokerage customer, this would be the date on which the producer's last appointment with any of the appointing companies with which your firm does business became inactive.

Individual Details

Firm Details

BASIC PRODUCER INFORMATION

Fields and controls include the following:

- **Name**: *Firm producers only*. Producer's firm name.
- **First**: *Individual producers only*. Producer's first name.
- **Last**: *Individual producers only*. Producer's last name.
- **Middle**: *Individual producers only*. Producer's middle name or initial.
- **Suffix**: *Individual producers only*. Producer's name suffix (e.g., III, Jr. etc.)
- **EIN**: *Firm producers only*. Producer's Federal Employer Identification Number.
- **SSN**: *Individual producers only*. *Non-modifiable*. Producer's Social Security Number.

> **Note**: The SSN may be missing if your company chooses to mask this information.

- **NPN**: *Non-modifiable*. Producer's National Producer Number.
- **Bank Affiliated**: Click the checkbox to indicate that the selected producer is affiliated with a bank; leave a blank checkbox to indicate that the producer is not affiliated with a bank.
- **Captive**: Click the checkmark to indicate that the selected producer is part of a captive, employee, or in-house sales channel; leave the checkbox blank to indicate that the producer is part of an independent or external sales channel.
- **Indirect Appointments Preferred**: *Firm producers only*. *Available for Onboarding & Self Service (or Producer Express) customers only*.
  - Use this checkbox to indicate that state appointment transactions submitted for individual producers that are affiliated with the selected firm should result in the creation of a firm appointment (and not an individual appointment).
  - Leave this blank to indicate that a state appointment transaction submitted for an individual producer affiliated with the selected firm producer should proceed as normal.

Individual Details

Section: Review & Maintain Producer Records

Firm Details

Firm Details						Top
Firm ID	2190826	Status	Active ⌄	Effective Date	05-26-2023	Term Date

Name
DEAN AND DAVIS INSURANCE AGENCY

EIN
00-6233077

☐ Captive
☐ Bank Affiliated
☐ Indirect Appointments Preferred

Firm Type
Non-Person ⌄

Distribution Channel
⌄

NPN
2000000019

Last Sync Date
05-18-2023

PRODUCER DEMOGRAPHICS

Fields include the following:

- **Birth Date**: *Individual producers only*. Date on which the selected producer was born.

- **Birth Country**: *Individual producers only*. Select the name of the country in which the selected producer was born. If this field is blank, the United States will be the default country.

- **Birth Province**: *Individual producers only*. Select the name of the Canadian province in which the selected producer was born (if needed).

- **Birth State**: *Individual producers only*. Select the name of the American state in which the selected producer was born.

- **Distribution Channel**: *Firm producers only*. Select the name of the sales or distribution channel to which the firm producer is assigned.

- **Firm Type**: *Firm producers only*. Select the legal organizational structure of the selected firm producer.

- **Ethnicity**: *Individual producers only*. Select the producer's race or ethnicity. The dropdown values are controlled by a code use indicator.

- **Fingerprint ID**: *Individual producers only*. Enter an identifier for the file containing the selected producer's fingerprint card.

- **Gender**: *Individual producers only*. Select the producer's gender. The dropdown values are controlled by a code use indicator.

- **Hair Color**: *Individual producers only*. Select the producer's hair color. The dropdown values are controlled by a code use indicator.

- **Last Sync Date**: *Non-modifiable*. Date on which the producer record was most recently synced with the PDB or another external source.

- **Loss of Contact Date**: *Individual producers only*. Date on which your company lost contact with the selected producer.

- **Deceased Date**: *Individual producers only*. Date on which the selected producer died.

- **Eye Color**: *Individual producers only*. Select the producer's eye color. The dropdown values are controlled by a code use indicator.

- **Height**: *Individual producers only*. The producer's height, in inches.

- **Weight**: *Individual producers only*. The producer's weight, in pounds.

Individual Details

Firm Details

EFT INFORMATION

This section displays information related to electronic funds transfer (EFT or Direct Deposit). Here you can display and edit bank information for the selected producer. Using the Outbound Data Feed, Producer Central can feed a producer's bank information to your company's compensation, commissioning, or payroll systems.

Fields in the EFT section include:

- **Account Number**: Enter the producer's bank account number associated with electronic funds transfer (EFT).

- **Account Owner**: Enter the name that is on the producer's bank account associated with electronic funds transfer (EFT).

- **Name**: Enter the producer's bank name.

- **Account Type**: Select the producer's bank account type associated with electronic funds transfer (EFT).

- **City**: Enter the selected producer's bank city associated with electronic funds transfer (EFT).

- **Institution Type**: Select the producer's bank institution type associated with electronic funds transfer (EFT).

- **Routing Number**: Enter the selected producer's bank account routing number associated with electronic funds transfer (EFT).

- **State**: Select the producer's bank state associated with electronic funds transfer (EFT).

- **EFT Email Address**: Enter the customer support email address at the producer's bank associated with electronic funds transfer (EFT).

Individual Details

Indv ID	2979496	Status	Pending ▼	Eff Date	05-17-2023		Term Date			☑	Licensee

Last	EASLEY	First	CORA	Middle		Suffix	

NPN 1000000028   ☐ Bank Affiliated   ☐ Captive

Birth Date	12-23-1961	Birth State	Arizona ▼	Birth Province	▼
Birth Country	UNITED STATES ▼				
Ethnicity	Asian/Pacific Islander ▼				
Fingerprint ID		Loss of Contact		Last Sync Date	05-17-2023
Gender	Female ▼	Deceased Date		Height	63 inches
Hair Color	Brown ▼	Eye Color	Hazel ▼	Weight	lbs

EFT Information   Clear EFT Information

Routing Nbr		Account Nbr		Account Type	▼
Account Owner		EFT E-Mail Address			
Name		Institution Type	▼		
City		State	▼		

Rate this Producer: ◎☆☆☆☆ ✕ Unrated   Save Cancel

Firm Details

⊟ **Firm Details**   Top

Firm ID	2190826	Status	Active ▼	Effective Date	05-26-2023	Term Date	

Name
DEAN AND DAVIS INSURANCE AGENCY   EIN 00-6233077   ☐ Captive

Firm Type	Distribution Channel	NPN	☐ Bank Affiliated
Non-Person ▼	▼	2000000019	☐ Indirect Appointments Preferred

Last Sync Date
05-18-2023

EFT Information   Clear EFT Information

Routing Nbr		Account Nbr		Account Type	▼
Institution Type	▼	Name		City		State ▼
Account Owner		EFT E-Mail Address			

PRODUCER RATING

Allows you to assign a productivity rating to the selected producer.

Fields and controls include the following:

- **Rate This Producer**:
  - Select one star to assign the producer a "poor" productivity rating.

    Rate this Producer: ◎⭐☆☆☆ ✕ Poor

  - Select two stars to assign the producer a "satisfactory" productivity rating.

    Rate this Producer: ◎⭐⭐☆☆ ✕ Satisfactory

  - Select three stars to assign the producer a "good" productivity rating.

    Rate this Producer: ◎⭐⭐⭐☆ ✕ Good

- Select four stars to assign the producer an "outstanding" productivity rating.

Rate this Producer:	⊘ ⭐⭐⭐⭐ ✕ Outstanding

- Click the **Do Not Contract** symbol (🚫) alert to the producer's record.

Rate this Producer:	🚫 ☆☆☆☆☆ ✕ Do Not Contract

- Do not click any star to signify that the producer is unrated.

Rate this Producer:	⊘ ☆☆☆☆☆ ✕ Unrated

> **Note**: The rating descriptions in the **Rate This Producer** field are Vertafore-configurable, based on your company's business requirements. For more information, contact your Vertafore representative.

MAINTAIN PRODUCER & FIRM DETAILS

You can edit any of the fields above that contain a white background. Once you finish updating the information, click **Save** to save the information in the section.

Click **Cancel** to exit the producer record without saving changes and open the Producer Central Home page.

Routing Nbr		Account Nbr		Account Type	
Account Owner		EFT E-Mail Address			
Name		Institution Type			
City		State			
Rate this Producer: ⊘ ⭐⭐⭐⭐ ✕ Outstanding				Save	Cancel

Producer Business Rules

Use the **Producer Business Rules** data section of a producer record to view global, user-configured, business rules that have been customized for the selected producer.

A customized business rule applies only to the selected producer, whereas global business rule settings apply elsewhere.

The Producer Business Rules data section includes the following fields and controls:

- **Rule Name**: For each customized producer business rule listed, displays its name.
- **Value**: For each customized producer business rule listed, displays its customized setting.

⊟ Producer Business Rules	Top
Rule Name	**Value**
Exclude Producer from Outbound Data Feed	No
Update Producer Business Rules	

MAINTAIN PRODUCER BUSINESS RULES

1. Click the **Update Producer Business Rules** to customize the business rules for the selected producer.

2. This will transfer you to the *Producer Business Rules* page. Here we can see the producer has no customized business rules. Click **View All Rules** to see the rules the company wide rules for the producer.

3. You can see all the relevant rules for this producer. Click the **Producer Name** to return to the producer record.

Resident State

A resident insurance license allows a producer to solicit, quote, negotiate or write insurance in the producer's state of residency. A producer must carry an active resident license in their home state prior to obtaining a non-resident license in any other state.

Use the **Resident States** data section of a producer record to track information concerning a producer's state(s) of residency.

The Resident States data section includes the following fields:

- **State**: Displays the name of the state.
- **Cert Effective Date**: Date on which the selected producer earned securities or professional designation certification in that state.
- **Cert Expiration Date**: Date on which the selected producer's securities or professional designation certification in that state expired or will expire.
- **License Expiration Date**: Date on which the selected producer's resident insurance license in that state expired or will expire.

> **Note**: Based on your company's business rules, the system may be Vertafore-configured to require all producer records to include at least one resident state. With this configuration in force, a producer record without a resident state is considered "incomplete," and an appointment or termination request may not be submitted for the producer until this is corrected.
>
> By default, if an automated data reconciliation of a producer record (i.e., PDB sync) discovers all the producer's resident licenses to be inactive, the system will automatically inactivate all related resident state information. However, Vertafore can set a configuration option to preserve at least one resident state, even if the related resident license is discovered to be inactive.

MAINTAIN RESIDENT STATE INFORMATION

The system will not automatically populate the **Cert Effective Date, Cert Expiration Date, or License Expiration Date fields.**

1. To update these fields or to manually maintain the resident state, click **Add/Update/Delete Resident States**.

Resident States				Top
State	**Cert Effective Date**	**Cert Expiration Date**	**License Expiration Date**	
Virginia				
		Add/Update/Delete Resident States		

2. You will now see the *Maintain Resident States* page. You can add or update a resident state by filling out the following fields:

- **State**
- **Cert. Effective Date**
- **Cert. Expiration Date**
- **License Expiration Date**

3. Click **Save** to save and stay on the same page to continue making changes. Click **Return** to return to the producer record without saving. Click **Save & Return** to save the information and return to the producer record.

Maintain Resident States

👤 **EASLEY, CORA** Unrated   Search Producer

External System ID	Active BU	NPN	Resident State/License	Additional States/Licenses
		1000000028	VA / 736178	⊞ AZ / 1000000005

Current Resident States   Add Resident State

Delete	State	Cert Effective Date	Cert Expiration Date	License Expiration Date	
☐	Virginia				Edit

Delete   Return

Add/Update Resident State   Clear

State	Cert Effective Date	Cert Expiration Date	License Expiration Date
⌄			

Save   Return   Save and Return

> **Note**: If the producer needs to update their resident state, they will also need to follow the state-to-state move processes and submit changes to the PDB.

4. You will now see the data reflected in the producer record.

External System IDs

Many customers maintain other systems, such as new business, policy application, or compensation, that contain records related to the same producers that they are tracking in Producer Central.

To support integration between Producer Central and another system, you can record a producer's identifying code in the other system on the producer's record in Producer Central, creating a data linkage between the systems. Then, when a producer's information changes in Producer Central, the Outbound Data Feed can be used to automatically update the same producer's record in the downstream system.

Also, some customers require an internal cross-relationship between two or more producer records stored in Producer Central. A common example is a branch office of an agency, where the branch and the main office share an identical Federal Employer Identification Number (EIN). To tie the record of an agency branch's location to the record of its main office, you can add a common data linkage to each record.

Use the **External System IDs** data section to review information about a producer's data linkage with your company's other systems or with other producer records in Producer Central. The key data fields in the External System IDs data section are External System Type, which denotes a type of linkage or grouping, and External System Identifier, which contains a code value linking the producer record with a record elsewhere.

⊟ **External Sys IDs**   Top

External System Type	External System Identifier	Business Unit	Primary	Inactive
Distribution Code	1934	DEFAULT (DEFAULT)	☑	☐

Add/Update/Delete External System Identifiers

The External System IDs data section includes the following fields and controls:

- **External System Type**: Displays the type of system or connection referred to by the value of the External System Identifier field.

- **External System Identifier**: Code value associated with the External System Type that links the selected producer record with another system or record.

- **Business Unit**: Short Name and BU Name (in parentheses) of the business unit associated with the external system identifier or external system type.

- **Primary**: Displays whether the external system identifier is regarded as a priority identifier of the producer in an external system or a producer grouping. A checkbox with a checkmark indicates a primary external system identifier; an empty checkbox indicates a non-primary external system identifier.

- **Inactive**: Displays whether the external system identifier is active or inactive. A checkmark indicates an inactive External System ID; an empty checkbox indicates an active External System ID.

□ External Sys IDs					Top
External System Type	External System Identifier		Business Unit	Primary	Inactive
Distribution Code	1934		DEFAULT (DEFAULT)	☑	☐
		Add/Update/Delete External System Identifiers			

MAINTAIN EXTERNAL SYSTEM IDS

1. To maintain the external system ID, click the **Add/Update/Delete External System Identifiers** button.

□ External Sys IDs					Top
External System Type	External System Identifier		Business Unit	Primary	Inactive
Distribution Code	1934		DEFAULT (DEFAULT)	☑	☐
		Add/Update/Delete External System Identifiers			

2. This will open the *Maintain External System Identifiers* page.

Maintain External System Identifiers

👤 **EASLEY, CORA** Unrated   Search Producer

External System ID	Active BU	NPN	Resident State/License	Additional States/Licenses
	⊞ DEFAULT	1000000028	VA / 736178	⊞ AZ / 1000000005

Current External System Identifiers   Add New External System Identifier

Delete	External System Type	External System ID	Business Unit	Primary	Inactive	
☐	Distribution Code	1934	DEFAULT (DEFAULT)	☑	☐	Edit
Delete						Return

Add/Update External System Identifiers   Clear

External System Type	External System ID	Business Unit	Primary	Inactive
⌄	⌄ Generate ID	⌄	☐	☐
			Save	Return	Save and Return

Add a New External System ID

1. Click the **Add New External System Identifier** button.

Maintain External System Identifiers

👤 **EASLEY, CORA** Unrated   Search Producer

External System ID	Active BU	NPN	Resident State/License	Additional States/Licenses
		1000000028	VA / 736178	⊞ AZ / 1000000005

Current External System Identifiers   Add New External System Identifier

Delete	External System Type	External System ID	Business Unit	Primary	Inactive
Delete					Return

Add/Update External System Identifiers   Clear

External System Type	External System ID	Business Unit	Primary	Inactive
Agent Code ⌄	[ ] Generate ID	[⌄]	☐	☐

Save   Return   Save and Return

2. In the *Add/Update External System Identifiers* section, update the following fields:

-   **External System Type**

-   **External System ID**: Once you select the External System Type, you can edit the External System ID. You can either type the External System ID or click the **Generate ID** button.

-   **Business Unit**

-   **Primary** or **Inactive** Checkboxes:

    -   Click the **Primary** check box to make the External System ID the main ID.

    -   Click the **Inactive** check box to make the External System ID inactive.

3. Click **Save** to save and stay on the same page to continue making changes. Click **Return** to return to the producer record without saving. Click **Save & Return** to save the information and return to the producer record.

Maintain External System Identifiers

👤 **EASLEY, CORA** Unrated   Search Producer

External System ID	Active BU	NPN	Resident State/License	Additional States/Licenses
	⊞ DEFAULT	1000000028	VA / 736178	⊞ AZ / 1000000005

Current External System Identifiers   Add New External System Identifier

Delete	External System Type	External System ID	Business Unit	Primary	Inactive	
☐	Distribution Code	1934	DEFAULT (DEFAULT)	☑	☐	Edit
Delete						Return

Add/Update External System Identifiers   Clear

External System Type	External System ID	Business Unit	Primary	Inactive
Distribution Code ⌄	1010 Generate ID	PC (Personal / Commercial) ⌄	☑	☐

Save   Return   Save and Return

Edit an Existing External System ID

Use this option to assign an existing external system ID to a different business unit. You can also inactivate an external system ID or make an existing ID the primary ID.

To preserve records, you cannot edit the **External System Type** or the **actual External System ID**. If you need to edit anything other than the business unit, you will need to add a new external system ID.

1. Click the **Edit** button next to the external system ID you need to modify.

2. You can edit the following fields:
- **Business Unit**
- **Primary**
- **Inactive**

3. Click **Save** to save and stay on the same page to continue making changes. Click **Return** to return to the producer record without saving. Click **Save & Return** to save the information and return to the producer record.

![Vertafore logo]

Section: Review & Maintain Producer Records

Delete Existing External System ID

Use these steps to delete an external system ID from the producer's record.

1. Click the check box next to the External System Identifiers you need to remove.
2. Click the **Delete** button.

3. The external system ID will be removed from the producer's record.

Contact Information

Use the **Contact Information** data section of the producer record to review a selected producer's address, telephone, email address, and communication preferences information. The Contact Information data section includes the following sub-sections:

1. Business Location Address
2. Mailing Address – *Individuals Only*
3. Residential Address – *Individuals Only*
4. Contact Information – *Firms Only*
5. Phone Information – *Firms Only*
6. Communication Preferences

⊟ **Contact Information**					Top
⊟ **Business Location Address**					
Line One	491 HANNAH STREET	**Line Two**			
City	RICHMOND	**State**	Virginia	**Postal Code**	23220-0000
Province		**Country**			
⊟ **Mailing Address**					
Line One	491 HANNAH STREET	**Line Two**			
City	RICHMOND	**State**	Virginia	**Postal Code**	23220-0000
Province		**Country**			
⊟ **Residential Address**					
Line One	491 HANNAH STREET	**Line Two**			
City	RICHMOND	**State**	Virginia	**Postal Code**	23220-0000
Province		**Country**			

ADDRESS TYPE (BUSINESS, MAILING, OR RESIDENTIAL)

Fields in the address type section include the following:

- **Line One**: Displays the first address line.

- **Line Two**: Displays the second address line.

- **City**: Displays the producer's city name.

- **State**: Displays the state name.

- **Postal Code**: Displays the postal or ZIP code.

- **Province**: For each Canadian address listed, displays its province name.

- **Country**: For each international address listed, displays the country name. If no country is listed, the country defaults as the United States.

⊟ **Contact Information**					Top
⊟ **Business Location Address**					
Line One	5102 OGEECHEE RD	**Line Two**			
Line Three					
City	SAVANNAH	**State**	Georgia	**Postal Code**	31405
Province		**Country**			
Contact Information					
Last		**First**			
Middle		**Email Address**			
Phone Information					
Phone		**Ext**		**Fax**	
Toll		**Ext**			
Communication Preferences					
Postal Mail					

CONTACT INFORMATION (*FIRMS ONLY*)

For each address listed, displays the name and email address of the contact person for the selected address type at the selected firm. Fields include the following:

- **Last**: Displays the last name of the contact person for the address type.
- **First**: Displays the first name of the contact person at the selected firm.
- **Middle**: Displays the middle name of the contact person at the selected firm.
- **Email Address**: Displays the valid email address of the contact person for the selected firm (e.g., joeproducer@firmproducer.com).

PHONE INFORMATION (*FIRMS ONLY*)

Displays the related telephone contact information for the selected firm producer. Fields include the following:

- **Phone**: Phone number related to the selected address type.
- **Ext**: Phone number extension related to the selected address type.
- **Fax**: Facsimile number related to the selected address type.
- **Toll**: Toll-free phone number related to the selected address type.
- **Ext**: Toll-free phone number extension related to the selected address type.

COMMUNICATION PREFERENCES

For each address listed, this section displays the preferred method of communication with the selected firm producer. Fields include the following:

- **Email Address**
- **[CommunicationPreferenceType]**: Displays either Electronic Mail, Postal Mail, or Telephone.
- **Phone Type**: Available only if preferred method of communication is Telephone. Displays the preferred phone type.

Contact Information					Top
Business Location Address					
Line One	5102 OGEECHEE RD		Line Two		
Line Three					
City	SAVANNAH		State	Georgia	Postal Code	31405
Province			Country		
Contact Information					
Last		First			
Middle		Email Address			
Phone Information					
Phone			Ext		Fax
Toll			Ext		
Communication Preferences					
Postal Mail					

MAINTAIN CONTACT INFORMATION

1. Click **Add/Update/Delete Contact Information** to open the *Maintain Contact Information* page. Here you can add, update, or delete address, phone, email, or communication preferences for the selected producer.

Contact Information					Top
Business Location Address					
Line One	491 HANNAH STREET	Line Two			
City	RICHMOND	State	Virginia	Postal Code	23220-0000
Province		Country			
Mailing Address					
Line One	491 HANNAH STREET	Line Two			
City	RICHMOND	State	Virginia	Postal Code	23220-0000
Province		Country			
Residential Address					
Line One	491 HANNAH STREET	Line Two			
City	RICHMOND	State	Virginia	Postal Code	23220-0000
Province		Country			
Email Address					
Communication Preferences					
Postal Mail		Address Type Mailing			
		Add/Update/Delete Contact Information			

Edit Contact Information

1. To edit an existing address, click the **Edit** button (✏) next to the address you need to update.

Maintain Contact Information

👤 **EASLEY, CORA** Unrated   **Search Producer**

External System ID	Active BU	NPN	Resident State/License	Additional States/Licenses
		1000000028	VA / 736178	⊞ AZ / 1000000005

Addresses   **Add New Address**

Delete							Actions
☐	Address Type	Business Location		Business Unit			✏
	Line One	491 HANNAH STREET		Line Two			
	City	RICHMOND		State	Virginia	Postal Code 23220-0000	
	Province			Country			
☐	Address Type	Mailing		Business Unit			✏
	Line One	491 HANNAH STREET		Line Two			
	City	RICHMOND		State	Virginia	Postal Code 23220-0000	
	Province			Country			
☐	Address Type	Residential		Business Unit			✏
	Line One	491 HANNAH STREET		Line Two			
	City	RICHMOND		State	Virginia	Postal Code 23220-0000	
	Province			Country			

Key: ✏ = Edit

2. You can now update the **Address**, **Contact Information** (name and email address), **Phone Information**, and **Communication Preferences**.
3. Click **Save** to save and stay on the same page to continue making changes. Click **Return** to return to the producer record without saving. Click **Save & Return** to save the information and return to the producer record.

Address Information   Clear

Lock from NCOA Updates ☐	Mark as Invalid ☐		

Address Type	Business Location ▾		Business Unit ▾		
Copy From	▾				
Line One	5102 OGEECHEE RD		Line Two		
Line Three					
City	SAVANNAH		State	Georgia ▾	Postal Code	31405
Province	▾		Country	▾		

Contact Information

Last			First		
Middle			Email Address		

Phone Information

Phone		Ext		Fax	
Toll		Ext			

Communication Preferences

○ Electronic Mail   ○ Fax   ⦿ Postal Mail   ○ Telephone   Phone Type ▾

Delete					Save	Return	Save and Return

Add New Contact Information

1. Click **Add New Phone** to add a new phone number to the contact details. Then select a **Phone Type** and type the **Number** and **Ext** (if needed).
2. You can also add an **Email Address** and select your **Communication Preferences**.
3. Click **Save** to save and stay on the same page to continue making changes. Click **Return** to return to the producer record without saving. Click **Save & Return** to save the information and return to the producer record.

Phone Information   Add New Phone

Delete	Phone Type	Number	Ext	Actions
Nothing found to display.				

Add/Update Phone Information   Clear

Phone Type	Business Location ▾	Number	877-876-4430	Ext	

Internet

Email Address	SirconTraining@gmail.com	

Communication Preferences

⦿ Electronic Mail		
○ Fax		
○ Postal Mail	Address Type	▾
○ Telephone	Phone Type	▾

Delete		Save	Return	Save and Return

Address History

Use the **Address History** data section of a producer record to review a selected producer's historical address information for all recorded address types.

The **Address History** data section displays a table listing historical address information, grouped by each address type currently recorded for the selected producer.

If you update a producer's address information on the *Maintain Contact Information* page, the old address information will automatically be saved to the Address History data section.

The Address History data section does not store a producer's historical email address or phone information.

> **Note**: If no address history exists on a producer record, the following message will display: "There are no address history records for this [EntityType]."

For each address type listed, click the **Expand** button (⊞) to expand the record row to display historical address information related to the selected address type. Click the **Collapse** button (⊟) again to collapse the record row and hide the address information.

Fields include the following:
- **Begin Date**: For each historical address listed, displays the date on which it became effective in the system for the selected address type.
- **Line One**: For each historical address listed, displays its first address line.
- **Line Two**: For each historical address listed, displays its second address line.
- **City**: For each historical address listed, displays its city name.
- **State**: For each historical address listed, displays its state name
- **Postal Code**: For each historical address listed, displays its postal or ZIP code.
- **Province**: For each Canadian historical address listed, displays its province name.
- **Country**: For each international historical address listed, displays its country name.
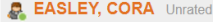
⊟ Address History					Top
⊟ Business Location Address					
					Add/Update/Delete Address History
Begin Date	05-17-2023				
Line One	491 HANNAH STREET				
Line Two					
City	RICHMOND	State	Virginia	Postal Code	23220-0000
Province		Country			

MAINTAIN ADDRESS HISTORY

1. Click **Add/Update/Delete Address History** to open the *Maintain Address History* page.
2. Here you can add, update, or delete historical address information related to the selected address type.
3. You can add an address to the address history by clicking **Add New Address History** or you can edit a historical address, by clicking the **Edit** button (✏) next to the address you need to update.

4. You will then fill out the address information in the *Add/Update Address History* section. Click **Save** to update the record.

5. To delete an address from the address history, click the **Delete** checkbox next to the address then click **Save**.

Email Messages

Use the **Email Messages** data section of a producer record to review a log of email notifications that Producer Central has sent to a producer, as triggered by the Notifications functionality. You may also review the content of each email notification.

The Email Messages data section includes the following fields:

- **Sent Date**: Date on which the system sent the message.

- **Recipients**: Email address(es) of the recipient(s) of the email message.

- **Notification Type**: Type of notification that the system sent. (For more information, see Notifications.)

- **Actions**: For each email message listed, you will see two options to display more information:

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Section: Review & Maintain Producer Records

- **Show Message Content** (🔍): Click to display the text of a selected email notification in a separate window.
- **Show Group Notification Configuration** (📤): Click to open the *Notification Configuration* page, where you can review the specific email notification settings that triggered the email.

> **Note**: To view and use the **Show Group Notification Configuration**, you must have specific security permissions in your user account that allow you to configure scheduled notifications.

If the volume of messages logged on a producer record exceeds 10, they will display in pages in the Email Messages data section. Use the following page navigation options to review all email messages:

- **[x] messages found, displaying [#] to [#]**: Displays the total number of email messages logged on the selected producer's record, and the range in numbers of codes currently displaying in the data section. (Maximum 10 per page.)
- **First/Prev**: Click **First** to open the first page of results; click **Prev** to open the previous page of results.
- **1, 2, 3, ...**: Click a numeral to open a specific numbered page of results.
- **Next/Last**: Click **Next** to open the succeeding page of results; click **Last** to open the last page of results.

Sent Date	Recipients	Notification Type	Actions
11-12-2010	abredin@sircon.com, bspalding@sircon.com	License Renewal Notification	🔍📤
11-12-2010	abredin@sircon.com	License Renewal Notification	🔍📤
11-12-2010	abredin@sircon.com, bspalding@sircon.com	License Renewal Notification	🔍📤
11-12-2010	abredin@sircon.com, bspalding@sircon.com	License Renewal Notification	🔍📤
11-12-2010	abredin@sircon.com	License Renewal Notification	🔍📤
11-12-2010	abredin@sircon.com	Expired License Notification	🔍📤
11-12-2010	abredin@sircon.com	Expired License Notification	🔍📤
11-16-2010	abredin@sircon.com	License Renewal Notification	🔍📤
11-16-2010	abredin@sircon.com, bspalding@sircon.com	License Renewal Notification	🔍📤
11-16-2010	abredin@sircon.com, bspalding@sircon.com	License Renewal Notification	🔍📤

Key: 🔍 = Show Message Content 📤 = Show Group Notification Configuration

64 messages found, displaying 1 to 10. [First/Prev] 1, 2, 3, 4, 5, 6, 7 [Next/Last]

> **Note**: Data in the **Email Messages** data section is purged from the system after three years.

Section: Review & Maintain Producer Records

Licenses/Qualifications

Use the **Licenses/Qualifications** data section of a producer record to review and maintain information about a producer's active and inactive state insurance licenses and license lines (a.k.a., qualifications, lines of authority, or LOAs).

⊟ **Licenses**

License State	License Type	License Number	Original Issue Date	Status	Effective Date	Expiration Date	Inactivation Reason	License Suspend Begin Date	License Suspend End Date	Copy Rec'd	
⊞ Arizona	Insurance Producer	1000000005	05-06-2023	Active	05-06-2023	05-06-2023				☐	Inactivate
⊞ California	Non-Res Insurance Producer	0C52119	01-26-1999	Active	05-27-2015	10-05-2023				☐	Inactivate
⊞ Colorado	Non-Resident Producer	398256	04-24-2012	Inactive	03-31-2014	03-31-2014	Canceled			☐	
⊞ Delaware	Insurance Producer	3000565515	05-17-2023	Active	05-17-2023	10-05-2023				☐	Inactivate
⊞ District of Columbia	Insurance Producer	155160	03-23-2012	Active	03-30-2020	10-05-2023				☐	Inactivate
⊞ Florida	Non-Resident Agent	W448056	10-24-2017	Active	10-24-2017	12-31-2024				☐	Inactivate
⊞ Idaho	Non-Resident Producer	330290	10-27-2009	Active	04-11-2014	10-05-2023				☐	Inactivate
⊞ Maine	Non-Resident Producer	PRN291771	08-12-2017	Active	08-12-2017	12-31-2024				☐	Inactivate
⊞ Maryland	Insurance Producer	5438	07-01-1985	Active	01-21-2020	10-05-2023				☐	Inactivate
⊞ Massachusetts	Individual Producer	1996312	01-14-2016	Active	01-14-2016	10-05-2023				☐	Inactivate
⊞ Michigan	Non-Resident Producer	1000000005	04-13-2016	Active	04-13-2016	12-31-2024				☐	Inactivate
⊞ New Jersey	Insurance Producer	90577	08-18-2015	Active	08-18-2015	10-05-2023				☐	Inactivate
⊞ New Mexico	Insurance Producer	1000000005	05-08-2009	Active	05-08-2009	10-05-2023				☐	Inactivate
⊞ North Carolina	Insurance Producer	1000000005	08-18-2015	Active	02-04-2016	03-31-2024				☐	Inactivate

LICENSES

Displays a table listing a selected producer's active and inactive state insurance-related licenses, sorted alphabetically by the name of the issuing regulatory jurisdiction.

> **Note**: You can click the **Expand** button (⊞) to expand a section or sub-section of information to reveal additional information. Click the **Collapse** button (⊟) again to collapse the section or sub-section and hide the additional information.

The following fields are available in the **Licensing** tab:

- **License State**: Name of the issuing regulatory jurisdiction for each license.
- **License Type**: State-specific name or description of each license.
- **License Number**: State license number or identifier for each license.
- **Original Issue Date**: Date the license was initially issued or granted by the state.
- **Status**: Current status of the license in Producer Central.
- **Effective Date**: Date on which the current value of the **Status** field became effective for the license listed.

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- **Expiration Date**: State-regulated date on which the license expires. Also known as the "renewal date." This usually displays for licenses from a state that require periodic license renewal. This field may display a value for a license from a state that issues perpetual licenses if the value has been manually recorded or added during data reconciliations.

- **Inactivation Reason**: *Only visible for inactive licenses*. For each license listed with a **Status** of Inactive, this displays the state-specific reason for its inactivation.

- **License Suspend Begin Date**: Date on which the issuing regulatory jurisdiction suspended the license.

- **License Suspend End Date**: Date on which the issuing regulatory jurisdiction reinstated the suspended license.

- **Copy Rec'd**: Displays a checkmark in the checkbox if your company holds a physical copy of the license, license certificate, or letter of certification. A blank checkbox indicates that your company does not hold a physical copy of the license, license certificate, or letter of certification.

- **Inactivate**: *Available only for an active license.* For each active license listed, click the **Inactivate** button to open the *Inactivate License/Inactivate Qualification* page. Here you can manually record the inactivation of the selected license. No license cancellation request will be submitted to the state; the process will result in a "record-only" license inactivation.

Add New License/Qualification

⊟ **Licenses**

License State	License Type	License Number	Original Issue Date	Status	Effective Date	Expiration Date	Inactivation Reason	License Suspend Begin Date	License Suspend End Date	Copy Rec'd	
⊞ Arizona	Insurance Producer	1000000005	05-06-2023	Active	05-06-2023	05-06-2023				☐	Inactivate
⊞ California	Non-Res Insurance Producer	0C52119	01-26-1999	Active	05-27-2015	10-05-2023				☐	Inactivate
⊞ Colorado	Non-Resident Producer	398256	04-24-2012	Inactive	03-31-2014	03-31-2014	Canceled			☐	
⊞ Delaware	Insurance Producer	3000565515	05-17-2023	Active	05-17-2023	10-05-2023				☐	Inactivate

To view more information about an individual license, click the **Expand** button (⊞). You will now see the **Audit Information**, **License Status History**, **Active Qualifications**, and **Comments**.

⊟ **Licenses**

License State	License Type	License Number	Original Issue Date	Status	Effective Date	Expiration Date	Inactivation Reason	License Suspend Begin Date	License Suspend End Date	Copy Rec'd	
⊞ Arizona	Insurance Producer	1000000005	05-06-2023	Active	05-06-2023	05-06-2023				☐	Inactivate
⊟ California	Non-Res Insurance Producer	0C52119	01-26-1999	Active	05-27-2015	10-05-2023				☐	Inactivate

Audit Information

Created by	Created on	Updated by	Updated on
System User	05-17-2023	System User	05-17-2023

License Status History

No history found.

Active Qualifications

Qualification Type
Life Only

Comments (0)   **Add Comment**

Audit Information: Displays a table containing user audit information. Fields include the following:

- **Created By**: Name of the staff member responsible for adding the license to the system. In cases where Producer Central added the license through automation (such as through an automated data reconciliation), you will see System User in this field.

- **Created On**: Date on which the license was first added to the system.

- **Updated By**: Name of the staff member responsible for the most recent update of the license information. In cases where Producer Central updated the license information through automation (such as through an automated data reconciliation), you will see System User in this field.

- **Updated On**: Date of the most recent update of the license information.

6. **License Status History**: State specific license is expanded. Fields will only appear if the license has a license history:

- **Status**: Displays the license history of each entry listed.

- **Begin Date**: Date on which the value of the Status field became effective.

- **Inactivation Reason**: *Displays only for an inactive license history item.* For each inactive license history entry listed, displays the state-specific reason for its inactivation.

Note: If a license has never been inactivated, displays the following message: "No history found."

Active Qualifications: For each license listed, this displays a table listing its active, related qualifications (a.k.a., license lines, lines of authority, or LOAs). Fields include the following:

- **Qualification Type**: State-specific name or description.

QUALIFICATIONS

Under the **Qualifications** section you will see a list of both the active and inactive qualifications related to a selected producer's state insurance-related licenses. The qualifications are sorted alphabetically by the name of the issuing regulatory jurisdiction.

	State	Qualification Type	Original Issue Date	Status	Effective Date	Expiration Date	Inactivation Reason	
⊞	Arizona	Accident & Health or Sickness	05-06-2023	Active	05-06-2023	05-06-2023		Inactivate
⊞	Arizona	Life	05-06-2023	Active	05-06-2023	05-06-2023		Inactivate
⊞	Arizona	Variable Life/Variable Annuity	05-06-2023	Active	05-06-2023	05-06-2023		Inactivate
⊞	California	Life Only	01-26-1999	Active	05-27-2015	10-05-2023		Inactivate
⊞	Colorado	Accident and Health	04-24-2012	Inactive	03-31-2014	03-31-2014	Canceled	
⊞	Colorado	Life	04-24-2012	Inactive	03-31-2014	03-31-2014	Canceled	
⊞	Delaware	Health	05-17-2023	Active	05-17-2023	10-05-2023		Inactivate
⊞	Delaware	Life	05-17-2023	Active	05-17-2023	10-05-2023		Inactivate
⊞	Delaware	Variable Annuities	05-17-2023	Active	05-17-2023	10-05-2023		Inactivate
⊞	District of Columbia	Accident & Health or Sickness	03-23-2012	Active	03-30-2020	10-05-2023		Inactivate

Fields and controls include the following:

- **State**: Displays the name of the issuing regulatory jurisdiction of the qualification listed.

- **Qualification Type**: Displays the state-specific name or description of the qualification.

- **Original Issue Date**: Displays the date on which the qualification was initially issued or granted by the state.

- **Status**: Displays the current status of the qualification in Producer Central.

- **Effective Date**: Displays the date on which the current value of the **Status** field became effective.

- **Expiration Date**: Displays the state-regulated date on which the qualification expires. Also known as the "renewal date." Only displays for qualifications from a state that requires periodic renewal of licenses and their related qualifications. May display a value for a qualification from a state that issues perpetual licenses if the value has been manually recorded.

- **Inactivation Reason**: Displays only for an inactive qualification. For each qualification listed with a **Status** of Inactive, displays the state-specific reason for its inactivation.

- **Inactivate**: Available only for an active qualification. For each active qualification listed, click to open *the Inactivate License/Inactivate Qualification* page. Here you can manually record the inactivation of the selected qualification. No qualification cancellation request will be submitted to the state; the process will result in a "record-only" qualification inactivation.

> **Note**: To view more information about an individual qualification, click the **Expand** button (⊞). You will now see the **Audit Information** and **Qualification Status History**.

Washington	Life		06-01-2018	Active	05-23-2023	10-05-2023	Inactivate

Audit Information

Created by	Created on	Updated by	Updated on
System User	05-17-2023	hallla	05-23-2023

Qualification Status History

Status	Status Date	Inactivation Reason
Inactive	05-23-2023	Canceled
Active	06-01-2018	

Audit Information: Displays a table containing user audit information. Fields include the following:

- **Created By**: Name of the staff member responsible for adding the qualification to the system. In cases where the system added the qualification through automation (such as through an automated data reconciliation), this will display System User.

- **Created On**: Date on which the qualification was first added to the system.

- **Updated By**: Name of the staff member responsible for the most recent update of the qualification information. In cases where the system updated the qualification information through automation (such as through an automated data reconciliation), this will show System User.

- **Updated On**: Date of the most recent update of the qualification information.

⊟ Washington	Life		06-01-2018	Active	05-23-2023	10-05-2023	**Inactivate**

Audit Information

Created by	Created on	Updated by	Updated on
System User	05-17-2023	hallla	05-23-2023

Qualification Status History

Status	Status Date		Inactivation Reason
Inactive	05-23-2023	Canceled	
Active	06-01-2018		

Qualification Status History: Displays a table listing a log of the active and inactive qualification history. Fields include the following:

- **Status**: Displays if the qualification has a history of changes. For each qualification history entry listed, displays its status.

- **Status Date**: Displays the date on which the value of the **Status** field became effective.

- **Inactivation Reason**: Displays if the qualification has a history of changes. Displays only for an inactive license history item. Displays the state-specific reason for its inactivation.

> **Note**: If a qualification has never been inactivated, displays the following message: "No history found."

MAINTAIN LICENSES & QUALIFICATIONS

Add New License/Qualification
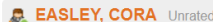
Follow this process to manually add a new license and/or qualification to the producer record. When you use this option, you will just add the license and/or qualification to the Sircon producer record. This will **not** submit information to the states.

1. Click the **Add New License/Qualification** button to open the *Add/Activate License and Qualification* page.

2. Click the checkmarks next to the **States** where you need to add a license(s) and qualification(s).
3. Click **Next**.

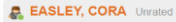4. For each state you select, you will see all the licenses and qualifications that are available to add to the producer in that state.

5. To add a license, select the checkbox next to the License you need to add. Then update the **Effective Date**, **Original Issue Date**, **Expiration Date**, and the **License Number**.

6. You will also see a list of the Qualifications that are available for the state. Click the check box next to the **Qualification**(s) (aka line of authority or LOA) that you want to add.

7. Click **Save**.

> **Note**: If you selected more than one state, click **Save & Continue** then add the licenses and qualifications for the next state.

8. You will see a message that the Active Licenses and/or Qualifications have been added for the producer. Click **Add Appointments** to navigate to the appointment page or click **Review this Producer** to return to the producer record.
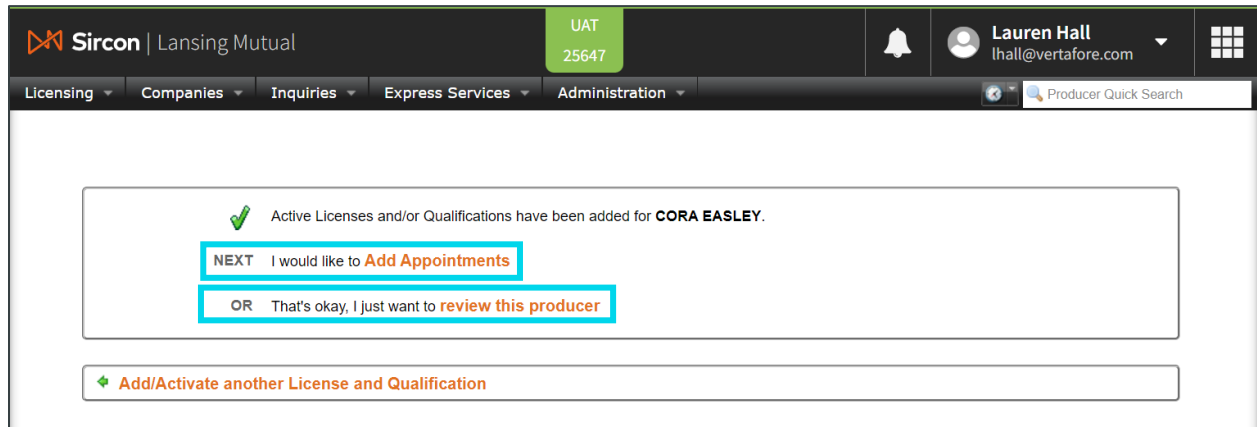
Submit a License Application

When you follow the process above to add a license/qualification, you will **not** submit a license application to the state. The license and qualification will only appear in the Sircon producer record.

You can submit an electronic license application to one or multiple states for the selected producer using Compliance Express. You can navigate to this in two ways:

1. Click the **Express Services** tab then select **License Application**.
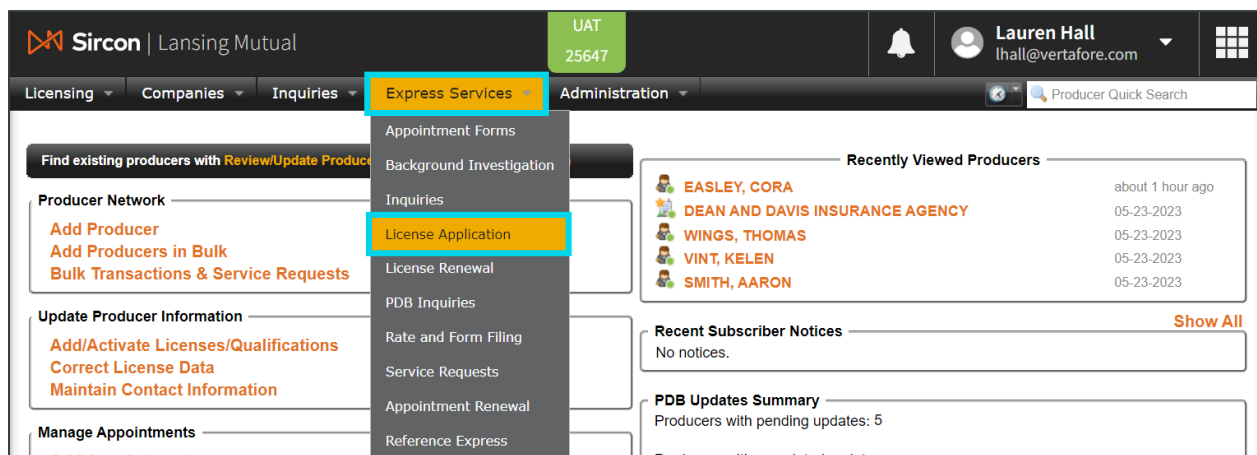
2. In the License & Qualifications data section of the producer record, click the **Submit a License Application** button.

⊞ Washington	Life		06-01-2018	Active	05-23-2023	10-05-2023	Inactivate
⊞ Washington	Property			Active	05-01-2023		Inactivate
⊞ Washington	Variable Life/Variable Annuity		06-01-2018	Active	05-23-2023	10-05-2023	Inactivate

Submit a License Application
Activate Licenses/Qualifications
Correct License Data
Correct Qualification Dates

Activate Licenses/Qualifications

Follow this process to manually activate a license and/or qualification that was inactivated in the producer record. When you use this option, you will **not** submit a license renewal to the states. This will just update the Sircon producer record.

1. Click **Activate Licenses/Qualifications** to re-activate a license and/or qualification within the producer record.

⊞ Washington	Life		06-01-2018	Active	05-23-2023	10-05-2023	Inactivate
⊞ Washington	Property			Active	05-01-2023		Inactivate
⊞ Washington	Variable Life/Variable Annuity		06-01-2018	Active	05-23-2023	10-05-2023	Inactivate

Submit a License Application
Activate Licenses/Qualifications
Correct License Data
Correct Qualification Dates

2. Click the checkmark next to the **States** where you need to reactivate a license(s) and/or qualification(s).
3. Click **Next**.

EASLEY, CORA Unrated				Search Producer
External System ID	**Active BU**	**NPN**	**Resident State/License**	**Additional States/Licenses**
		1000000028	VA / 736178	⊞ AZ / 1000000005

States

☐ Alabama	☐ Guam	☐ Missouri	☐ Puerto Rico
☐ Alaska	☐ Hawaii	☐ Montana	☐ Rhode Island
☐ American Samoa	☐ Idaho	☐ Nebraska	☐ South Carolina
☐ Arizona	☐ Illinois	☐ Nevada	☐ South Dakota
☐ Arkansas	☐ Indiana	☐ New Hampshire	☐ Tennessee
☐ Armed Forces Americas	☐ Iowa	☐ New Jersey	☐ Texas
☐ Armed Forces Other	☐ Kansas	☐ New Mexico	☐ U.S. Virgin Islands
☐ Armed Forces Pacific	☐ Kentucky	☐ New York	☐ Utah
☐ California	☐ Louisiana	☐ North Carolina	☐ Vermont
☐ Colorado	☐ Maine	☐ North Dakota	☐ Virginia
☐ Connecticut	☐ Maryland	☐ Northern Mariana Islands	☐ Washington
☐ Delaware	☐ Massachusetts	☑ Ohio	☐ West Virginia
☐ District of Columbia	☐ Michigan	☐ Oklahoma	☐ Wisconsin
☐ Florida	☐ Minnesota	☐ Oregon	☐ Wyoming
☐ Georgia	☐ Mississippi	☐ Pennsylvania	

Select All States   Unselect All States

Next   Return

Section: Review & Maintain Producer Records

4. You will see the **Current Active/Inactive Licenses**, the **Current Active/Inactive Qualifications**, and the **Available Licenses/Qualifications to Add**.

Add/Activate Licenses/Qualifications for State: Ohio

EASLEY, CORA Unrated   Search Producer

External System ID	Active BU	NPN	Resident State/License	Additional States/Licenses
		1000000028	VA / 736178	AZ / 1000000005

This producer is not a resident in Ohio

Current Active Licenses
This producer does not have any active licenses in Ohio.

Current Inactive Licenses

	License Type	Activation Date	Effective Date	Original Issue Date	Expiration Date	License Number	License Suspend Begin Date	License Suspend End Date	Copy Received
☑	Major Lines	05-01-2023	03-31-2013	02-14-2011	03-31-2013	836226			☐

Available Licenses to Add

	License Type	Effective Date	Original Issue Date	Expiration Date	License Number	License Suspend Begin Date	License Suspend End Date	Copy Received
☐	Limited Lines							☐
☐	Managing General Agent							☐
☐	Navigator							☐
☐	Non-Res Viatical Settl Providr							☐
☐	Nurse							☐
☐	Public Insurance Adjuster							☐
☐	Public Insurance Adjustr Agent							☐
☐	Reinsurance Intermed Broker							☐
☐	Reinsurance Intermed Manager							☐
☐	Surety Bail Bond Broker							☐

Current Active Qualifications
This producer does not have any active qualifications in Ohio.

Current Inactive Qualifications

	Qualification Type	Activation Date	Effective Date	Original Issue Date	Expiration Date
☑	Accident and Health	05-01-2023	03-31-2013	02-14-2011	03-31-2013
☑	Life	05-01-2023	03-31-2013	02-14-2011	03-31-2013

Available Qualifications to Add

	Qualification Type	Effective Date	Original Issue Date	Expiration Date
☐	Auto Rental			
☐	Casualty			
☐	Credit			
☐	Crop			
☐	Funeral			
☐	Managing General Agent			
☐	Navigator			
☐	Personal			
☐	Property			
☐	Public Insurance Adjstr Agent			
☐	Public Insurance Adjuster			
☐	Reciprocal			
☐	Reinsurance Intermed. Broker			
☐	Reinsurance Intermed. Manager			
☐	Surety Bail Bond			
☐	Surplus Lines			
☐	Temporary			
☐	Third Party Administrator			
☐	Title			
☐	Title Insurance Marketing Rep.			
☐	Travel			
☐	Variable			
☐	Viatical Settlement Broker			

Save   Return

5. Under **Current Inactive Licenses**, click the check box next to the **License** you want to activate then update the **Activation Date**.
6. If you want to add additional licenses, scroll to the **Available Licenses to Add** section, and click the check box next to the licenses you want to add. Input information into the following fields:
   - **Effective Date**
   - **Original Issue Date**
   - **License Number**

7. Next, you will need to add the qualifications that correspond to the license. You will need to add a qualification that corresponds to the license with an activation date on or before the license status date.
8. Scroll to the **Current Inactive Qualification** section.
9. To add the qualification, click the check box next to the **qualification** you need to add. Make sure the **Effective Date** is on or after the **License Activation Date**.
10. If you need to add additional qualifications, scroll to the **Available Qualifications to Add** section.

11. Click the check box next to the qualification (s) you wish to add. Then, enter the:
    - **Effective Date**
    - **Original Issue Date**
12. Click **Save** to submit the request.

13. You will receive a message that the active licenses and/or qualifications have been added for the producer.

Correct License Data

Use the **Correct License Data** option to manually update the license and qualification data in one or multiple states. You can use this option if you need to change the license number, effective dates, and expiration dates within the Sircon producer record.

When you correct license data manually, you are only updating the Sircon producer record. Updates will **not** be sent to the states.

> **Note**: This option is only available if the corresponding permission has been granted to the security role to which your user account is assigned.
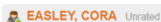
1. Click **Correct License Data** to update the producer's license data in one or multiple states.

⊞ Washington	Property		Active	05-01-2023			Inactivate
⊞ Washington	Variable Life/Variable Annuity	06-01-2018	Active	05-23-2023	10-05-2023		Inactivate

Submit a License Application
~~Activate Licenses/Qualifications~~
Correct License Data
Correct Qualification Dates

2. You will see a list of the licenses and the license data that's available to edit.

Correct License Data

Search Producer

👤 **EASLEY, CORA** Unrated

External System ID	Active BU	NPN	Resident State/License	Additional States/Licenses
		1000000028	VA / 736178	⊞ AZ / 1000000005

Select the License to correct:

Licenses

	State	License Type	License Number	Original Issue Date	Status	Effective Date	Expiration Date	Inactivation Reason	License Suspend Begin Date	License Suspend End Date	Copy Rec'd
◉	AZ	Insurance Producer	1000000005	05-06-2023	Active	05-06-2023	05-06-2023				☐
○	CA	Non-Res Insurance Producer	0C52119	01-26-1999	Active	05-27-2015	10-05-2023				☐
○	CO	Non-Resident Producer	398256	04-24-2012	Inactive	03-31-2014	03-31-2014	Canceled			☐
○	DE	Insurance Producer	3000565515	05-17-2023	Active	05-17-2023	10-05-2023				☐
○	DC	Insurance Producer	155160	03-23-2012	Active	03-30-2020	10-05-2023				☐
○	FL	Non-Resident Agent	W448056	10-24-2017	Active	10-24-2017	12-31-2024				☐
○	ID	Independent Adjuster	330290	03-01-2023	Active	04-01-2023	05-02-2025				☐
○	ID	Non-Resident Producer	330290	10-27-2009	Active	04-11-2014	10-05-2023				☐
○	ME	Non-Resident Producer	PRN291771	08-12-2017	Active	08-12-2017	12-31-2024				☐
○	MD	Insurance Producer	5438	07-01-1985	Active	01-21-2020	10-05-2023				☐
○	MA	Individual Producer	1996312	01-14-2016	Active	01-14-2016	10-05-2023				☐
○	MI	Non-Resident Producer	1000000005	04-13-2016	Active	04-13-2016	12-31-2024				☐
○	NJ	Insurance Producer	90577	08-18-2015	Active	08-18-2015	10-05-2023				☐
○	NM	Insurance Producer	1000000005	05-08-2009	Active	05-08-2009	10-05-2023				☐
○	NC	Insurance Producer	1000000005	08-18-2015	Active	02-04-2016	03-31-2024				☐
○	OH	Major Lines	8362267	02-14-2011	Active	05-01-2023	03-31-2028				☐
○	PA	Non-Res Producer Individual	573305	04-06-2010	Active	04-06-2010	10-05-2023				☐
○	TN	Insurance Producer	2325195	01-18-2016	Inactive	03-31-2018	03-31-2018	Canceled			☐
○	VA	Insurance Producer	736178	07-24-1975	Active	07-24-1975	12-31-2024				☐
○	WA	Insurance Producer	983150	06-01-2018	Active	05-23-2023	10-05-2023				☐
○	WA	Nurse	72893749	03-05-2023	Active	05-01-2023	05-30-2023				☐

Original Issue Date	05-06-2023	📅
Effective Date	05-06-2023	📅
Expiration Date	05-06-2023	📅
License Number	1000000005	
License Suspend Begin Date		📅
License Suspend End Date		📅
Copy Received	☐	
Locked from Data Reconciliation Updates	☐	

Next   Cancel

3. Select the license you need to edit by clicking the radio button next to the license.
4. At the bottom of the screen, you can edit the following details for the license you selected:
   - **Original Issue Date**
   - **Effective Date**
   - **Expiration Date**
   - **License Number**
   - **License Suspend Begin/End Date**
   - **Copy Received**
   - **Locked from Data Reconciliation Updates**

5. Make necessary updates then click **Next** to save the changes.

6. You will now see the *Correct Qualification Dates* page. You will see the list of the qualifications associated with the license you selected on the previous page. If you need to correct the qualification data, select the qualification then scroll down to the bottom of the screen.
7. Here you can edit the details of the selected qualification, including the:
   - **Original Issue Date**
   - **Effective Date**
   - **Expiration Date**
   - **Locked from Data Reconciliation Updates** check box
8. Click **Save and Return** to confirm the qualification updates. You will return to the **Correct License Data** page.

9. The license and qualification data will update within the producer record. If you need to send updates to the states, you will need to submit a license renewal or a license application through the Express Services functionality.

Correct Qualification Dates

Use the **Correct Qualification Dates** option to manually update the qualification data in one or multiple states. You can use this option if you need to change qualification issue dates, effective dates, and expiration dates within the Sircon producer record.

When you correct license data manually, you are only updating the Sircon producer record. Updates will **not** be sent to the states.

> **Note**: This option is only available if the corresponding permission has been granted to the security role to which your user account is assigned.

![Vertafore logo]

1. Click the **Correct Qualification Dates** button.

⊞ Washington	Property		Active	05-01-2023		**Inactivate**
⊞ Washington	Variable Life/Variable Annuity	06-01-2018	Active	05-23-2023	10-05-2023	**Inactivate**

Submit a License Application
Activate Licenses/Qualifications
~~Correct License Data~~
Correct Qualification Dates

2. You will now see all the active and inactive qualifications for the producer.
3. Select the check box next to the **Qualification** you want to update.
4. You can then update the qualification details, including the: **Original Issue Date**, **Effective Date**, **Expiration Date**, and the **Locked from Data Reconciliation Updates** check box.
5. Click **Save** to submit the changes.

Correct Qualification Dates

👤 **EASLEY, CORA** Unrated   **Search Producer**

External System ID	Active BU	NPN	Resident State/License	Additional States/Licenses
		1000000028	VA / 736178	⊞ AZ / 1000000005

Select the Qualification(s) to correct:

Qualifications

	State	Qualification Type	Original Issue Date	Status	Effective Date	Expiration Date	Inactivation Reason
☐	AZ	Accident & Health or Sickness	05-06-2023	Active	05-06-2023	05-06-2023	
☐	AZ	Life	05-06-2023	Active	05-06-2023	05-06-2023	
☐	AZ	Variable Life/Variable Annuity	05-06-2023	Active	05-06-2023	05-06-2023	
☐	CA	Life Only	01-26-1999	Active	05-27-2015	10-05-2023	
☐	CO	Accident and Health	04-24-2012	Inactive	03-31-2014	03-31-2014	
☐	CO	Life	04-24-2012	Inactive	03-31-2014	03-31-2014	
☐	DE	Health	05-17-2023	Active	05-17-2023	10-05-2023	
☐	OH	Accident and Health	02-14-2011	Active	05-01-2023	03-31-2028	
☐	OH	Life	02-14-2011	Inactive	03-31-2013	03-31-2028	
☐	PA	Accident and Health	04-06-2010	Active	04-06-2010	10-05-2023	
☐	PA	Life and Fixed Annuities	04-06-2010	Active	04-06-2010	10-05-2023	
☐	PA	Variable Life/Variable Annuity	05-17-2023	Active	05-17-2023	10-05-2023	
☐	TN	Accident and Health	01-18-2016	Inactive	03-31-2018	03-31-2018	
☐	TN	Life	01-18-2016	Inactive	03-31-2018	03-31-2018	
☐	VA	Health	07-01-1979	Active	07-01-1979	12-31-2024	
☐	WA	Life	06-01-2018	Active	05-23-2023	10-05-2023	
☐	WA	Property		Active	05-01-2023		
☐	WA	Variable Life/Variable Annuity	06-01-2018	Active	05-23-2023	10-05-2023	

Original Issue Date [____] ☐ Clear selected Original Issue Date(s)

Effective Date [____]

Expiration Date [____] ☐ Clear selected Expiration Date(s)

Locked from Data Reconciliation Updates ☐

[Save] [Return]

Appointments

Most states require a licensed producer to obtain an appointment in order to legally represent, or sell, a specific product on behalf of an insurance carrier's underwriting company. A carrier submits a producer appointment request to the state department of insurance, pays a fee, and, if the department finds the producer in compliance with state regulations, receives confirmation of the appointment.

The specific rules for appointments vary among requiring states. For example, some states require a producer to be appointed at the time of licensure, while other states require an appointment only upon execution of an application. Some states have lenient appointment "backdating" rules that can cover business a producer has already written, while others do not.

Other states, however, do not require state-verified appointments whatsoever. In those states, an insurance carrier is obliged only to internally track its business relationship among its underwriting company, a producer, and the product lines represented.

A carrier customer using Producer Central can submit a producer appointment request electronically to the state department of insurance. The state's response to the request flows automatically back to Producer Central and updates the producer's record.

In non-appoint states, the carrier customer can manually record a producer "appointment" to comply with state record-keeping requirements.

Agency customers have a different view of appointment information. They need to know when and if a carrier partner has authorized the agency itself, and/or affiliated agents, to sell its product lines in a particular state. They can use Producer Central to track a producer's state appointments with different carrier partners.

Use the **Appointments** data section of a producer record to review and maintain information about a producer's state-verified and record-only appointments. You can view the carrier group's appointing companies, requested appointments, and appointment history in this section.

> **Note**: If no appointments are recorded for a selected producer, the following message displays: "No appointments found."

GROUPING OPTIONS

By default, in a carrier deployment, appointments are grouped by state. In an agency/brokerage deployment, appointments are grouped by carrier group name.

You can alter either default grouping by choosing a different option from the **Grouping Options** dropdown menu.
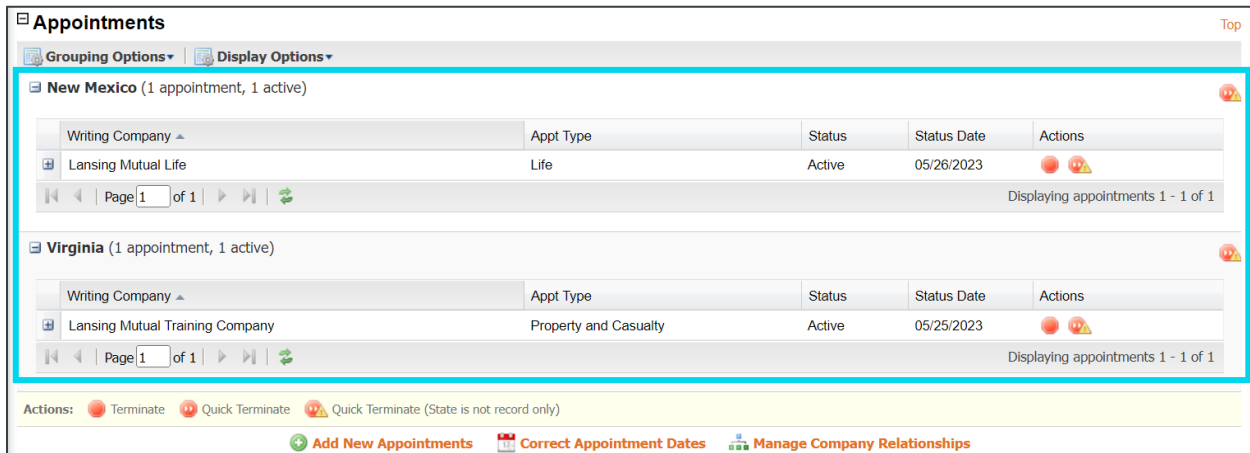
The number of total appointments per group, either active or inactive, is displayed in parentheses following the group name. If the group includes active appointments, the number of active appointments also appears in parentheses.

If the group includes pending appointments, the number of appointments pending submission or pending state approval also appears in parentheses.

Group by State

Section: Review & Maintain Producer Records

Group by Writing Company

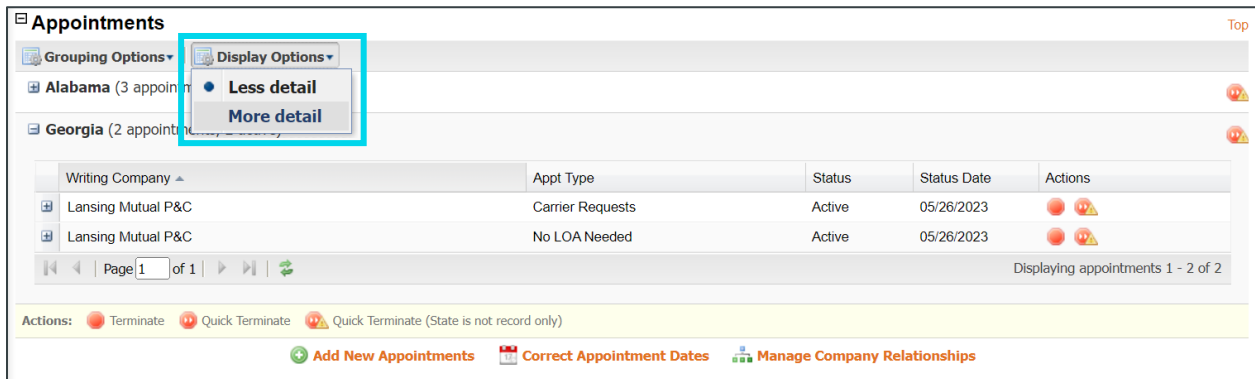If appointments are grouped by carrier writing company, the writing company's unique NAIC ID displays after the writing company name.

DISPLAY OPTIONS

By default, each group displays only basic appointment information. Use the Display Options dropdown menu to select either **Less Detail** for basic appointment information or **More Detail** for advanced appointment details and historical information.

Less Detail

If you selected **Less Detail** under the **Display Options**, you will see the following fields:

- **Writing Company**: *Available with the Group By State grouping option.* Displays the name of the appointing company with which a selected producer is appointed.

- **State**: *Available with the Group By Writing Company grouping option.* Displays the name of the regulatory jurisdiction in which a selected producer is appointed.

- **Appt Type**: Displays the state-specific description of the appointment type held by a selected producer.

- **Status**: Displays the current status of the appointment in Producer Central.

- **Status Date**: Displays the date on which the current value of the **Status** field became effective.

- **Actions**: Gives you options to inactivate the appointment. Actions include the following:

  - **Terminate** (🔴): *Available to carriers only*. Click to open the **Terminate Appointments** page. Here you can submit a termination request for one (or multiple) appointments by one (or multiple) appointing companies in the selected state.

> **Note**: This option **will submit** terminations to states that allow electronic filing. It will also process terminations for record-only states.

  - **Quick Terminate** (🔴): *Available to carriers only*. Used for appointments recorded in a "non-appoint state" (i.e., a state that does not require state-verified appointments). Click **Quick Terminate** to open the *Quick Terminate Appointment* page. Here you can submit a termination request for the appointment you selected that corresponds to a single writing company and state.

> **Note**: If you use this option, the system **will not submit** a termination request to the state; the process will result in a "record-only" termination.

  - **Quick Terminate** (**State is not Record Only**) (🔴⚠): *Available to carriers only. Used for appointments recorded in an "appointment state" (i.e., a state that processes carrier appointment requests and tracks producer appointments).* Click to open the **Quick Terminate Appointment** page. Here you can submit a termination request for the appointment you selected that corresponds to a single writing company and state.

> **Note**: If you use this option, the system **will not submit** a termination request to the state; the process will result in a "record-only" termination.

Grouped by State

Grouped by Writing Company

More Detail

If you selected **More Detail** under the **Display Options**, you will see the following fields:

- **Writing Company**: *Available in carrier deployments only with Group By State grouping option.* Name of the appointing company with which a selected producer is appointed.
- **State**: *Available in carrier deployments only with Group By Writing Company grouping option.* Name of the regulatory jurisdiction in which a selected producer is appointed.
- **NAIC ID**: *Available in carrier deployments only with Group By Writing Company grouping option.* Displays the National Association of Insurance Commissioners identifier of the appointing company.
- **Appt Type**: State-specific description of the appointment type held by a selected producer.
- **Status**: Current status of the appointment in Producer Central.
- **Status Date**: Date on which the current value of the **Status** field became effective.
- **Active Date**: Appointment's effective date. Displays for both active and inactive appointments.
- **Term Date**: Date on which the appointment became inactive.
- **Term Reason**: *For an inactive appointment only.* State-specific reason for the appointment termination.
- **Shared Producer**: Name of the producer with which the appointment is shared (i.e., the appointment state acknowledges that a producer is authorized under another producer's appointment, such as an affiliated individual producer's indirect appointment with a firm producer).
- **State Verified**: Displays a checkmark if the appointment was submitted through Sircon for Carriers and processed by a state. A checkmark will also exist if a manually recorded appointment was verified using state records (such as through an automated data reconciliation).
  - A checkbox without a checkmark indicates that the appointment has not been processed by a state (including pending appointment requests) or may not exist in state records.

- **Record Appt**: Displays a checkmark if the appointment was manually recorded on the selected producer's record or if the appointment was added to the record through an automated data reconciliation.
    - A checkbox without a checkmark indicates that the appointment was not manually recorded and was submitted through Sircon for Carriers to the state.

> **Note**: Use the following guidelines when analyzing information in the **State Verified** and **Record Appt** fields.
>
> a) If neither the **State Verified** or **Record Appt** fields are checked, an appointment request submitted to an appointment state is still pending submission or state processing.
>
> b) If the **State Verified** box is checked but the **Record Appt** box is blank, an appointment request submitted to a state has been processed (either Approved or Denied).
>
> c) If the **State Verified** box is blank but the **Record Appt** box is checked, a record-only appointment has been added.
>
> d) If both the **State Verified** and **Record Appt** boxes are checked, then an appointment has been added but also verified against state appointment data.

- **Created by**: Username of the user who added the appointment to the producer's record. Displays "System User" if the appointment was added by an automated/system process.
- **Created on**: Date on which the appointment was added to the producer's record.
- **Updated by**: Username of the user who terminated, or most recently modified, the appointment. Displays "System User" if the appointment was terminated, or modified, by way of an automated/system process.
- **Updated on**: Date on which the appointment was terminated or most recently modified.
- **Actions**: Gives you options to inactivate the appointment. Actions include the following:
    - **Terminate** (🔴): *Available to carriers only*. Click to open the **Terminate Appointments** page. Here you can submit a termination request for one (or multiple) appointments by one (or multiple) appointing companies in the selected state.

> **Note**: This option **will submit** terminations to states that allow electronic filing. It will also process terminations for record-only states.

- **Quick Terminate** (🔴): *Available to carriers only. Used for appointments recorded in a "non-appoint state" (i.e., a state that does not require state-verified appointments).* Click **Quick Terminate** to open the *Quick Terminate Appointment* page. Here you can submit a termination request for the appointment you selected that corresponds to a single writing company and state.

> **Note**: If you use this option, the system **will not submit** a termination request to the state; the process will result in a "record-only" termination.

- **Quick Terminate** (**State is not Record Only**) (🔶): *Available to carriers only. Used for appointments recorded in an "appointment state" (i.e., a state that processes carrier appointment requests and tracks producer appointments).* Click to open the *Quick Terminate Appointment* page. Here you can submit a termination request for the appointment you selected that corresponds to a single writing company and state.

> **Note**: If you use this option, the system **will not submit** a termination request to the state; the process will result in a "record-only" termination.

Group by Writing Company

Group by State

APPOINTMENT REQUESTS

You can display additional details about the appointment requests by clicking the **Expand** button (⊞) next to the appointment details.

You will now see information about the transaction requests that affected the status of the appointment.

> **Note**: The information can include both appointment and/or appointment termination requests.

Information will display only for an appointment request submitted through Sircon for States to a state that processes appointment or termination requests and tracks appointments.

If an appointment is manually recorded on a producer record, the following message will display: "No appointment requests."

Fields included in the appointment requests section include:
- **Action**: Submitted transaction type, either Appointment or Termination.
- **Appt Type**: State-specific description of the appointment type held by a selected producer.
- **Submit Date**: Date on which the transaction was submitted.
- **Submit Status**: Status of the transaction request:
  - **Approved**: Processed and approved by the state.
  - **Denied**: Processed and rejected by the state.
  - **Submitted to SIRCON**: Pending state processing.
- **Resp Date**: *Displays only for transaction requests that have undergone state processing.* Shows the date on which the state responded to the request.
- **Actual Eff Date**: *Displays only for transaction requests that have undergone state processing.* Shows the date on which a requested appointment or termination became or would become effective. This is based on the Vertafore-configured state backdating or system future-dating rules.
- **Reject Reason**: *Displays only for transaction requests that have undergone state processing and where the value of the Submit Status field is Denied.* Shows the state-specific reason the request was rejected.
- **Created by**: Username of the staff member, or process, that submitted the transaction request. If the request was submitted through an automated process, this field displays SYSTEM_USER.
- **Created on**: Date on which the transaction request was recorded in Sircon for Carriers.
- **Updated by**: Username of the staff member or process that last updated the transaction request.
  - If a transaction request is pending or failed before submission to a state, the username of the staff member who submitted the request will display (or SYSTEM_USER if the request was submitted through an automated process).
  - If a transaction was processed by a state, will display SYSTEM_USER.
- **Updated on**: Date on which the transaction request was last updated.
- **Appointment Counties**: *Only for states that require a county-level producer appointment.* Displays the name of each county to which the transaction was submitted.

Note: Use the **Refresh** icon (⟳) to update the display of state appointment information (e.g., to check on the status of a pending appointment request).

APPOINTMENT HISTORY

To display a history of the appointment changes, click the **Expand** button (⊞) next to the **Appointment History** section. When you expand the Appointment History, you can also see additional details under the **Appointment Request History** section.

Fields and controls under the **Appointment History** section include the following:

- **Status**: Historic status of the appointment history item.
- **Status Date**: Date on which the historic status was updated.
- **Active Date**: Displays the appointment's effective date.
- **Term Date**: Date on which the appointment became inactive.
- **Term Reason**: State-specific reason for the appointment termination.
- **State Verified**: Checkmark if the appointment was submitted through Sircon for Carriers and processed by the state. A checkmark is also shown if a manually recorded appointment was verified from state records (such as through an automated data reconciliation).

- A checkbox without a checkmark indicates that the appointment has not been processed by a state (including pending appointment requests) or may not exist in state records.

- **Record Appt**: Checkmark if the appointment was manually recorded on the selected producer's record. A checkmark also shows up if the record was added through an automated data reconciliation.
    - A checkbox without a checkmark indicates that the appointment was not manually recorded and was submitted to a state through Sircon for Carriers.

Virginia		Property and Casualty			Active		05/26/2023				

Appointment Requests

Action	Appt Type	Submit Date	Submit Status	Resp Date	Actual Eff Date	Reject Reason	Created by	Created on	Updated by	Updated on
Appointment	Property and Casualty	05/26/2023	Approved	05/26/2023	05/26/2023		cwilliams	05/26/2023	System User	05/26/2023

Appointment History

Status	Status Date	Active Date	Term Date	Term Reason	State Verified	Record Appt
Inactive	05/16/2023	05/16/2023	05/16/2023	Voluntary Termination	☑	☐

Appointment Request History

Action	Appt Type	Submit Date	Submit Status	Response Date	Actual Eff Date	Reject Reason	Created by	Created on	Updated by	Updated on
Appointment	Property and Casualty	05/16/2023	Approved	05/16/2023	05/16/2023		cwilliams	05/16/2023	System User	05/16/2023
Termination	Property and Casualty	05/16/2023	Approved	05/16/2023	05/16/2023		cwilliams	05/16/2023	System User	05/16/2023

For each appointment history log item listed, you can expand the **Appointment Request History** to display information about the transaction requests that affected the status of the historic appointment.

> **Note**: The information may include either appointment or termination requests.

The fields under the **Appointment Request History** section include:
- **Action**: Displays the submitted transaction type, either **Appointment** or **Termination**.
- **Appt Type**: State-specific description of the appointment type held by a selected producer.
- **Submit Date**: Date on which the transaction was submitted.
- **Submit Status**: Status of the transaction request.
- **Resp Date**: *Displays only for transaction requests that have undergone state processing.* Shows the date on which the state to which the request was submitted responded to the request.
- **Actual Eff Date**: *Displays only for transaction requests that have undergone state processing.* Shows the date on which a requested appointment or termination became or would become effective, based on Vertafore-configured state backdating or system future-dating rules.

- **Reject Reason**: *Displays only for transaction requests that have undergone state processing and where the value of the Submit Status field is Denied*. Shows the state-specific reason for the rejection.
- **Created by**: Username of the staff member or process that submitted the transaction request. If the request was submitted through an automated process, displays SYSTEM_USER.
- **Created on**: Date on which the transaction request was recorded in Producer Central.
- **Updated by**: Username of the staff member or process that last updated the transaction request.
  - If a transaction request is pending or failed before submission to a state, the username of the staff member who submitted the request will display (or SYSTEM_USER if the request was submitted through an automated process).
  - If a transaction was processed by a state, this will display SYSTEM_USER.
- **Updated on**: Date on which the transaction request was last updated.
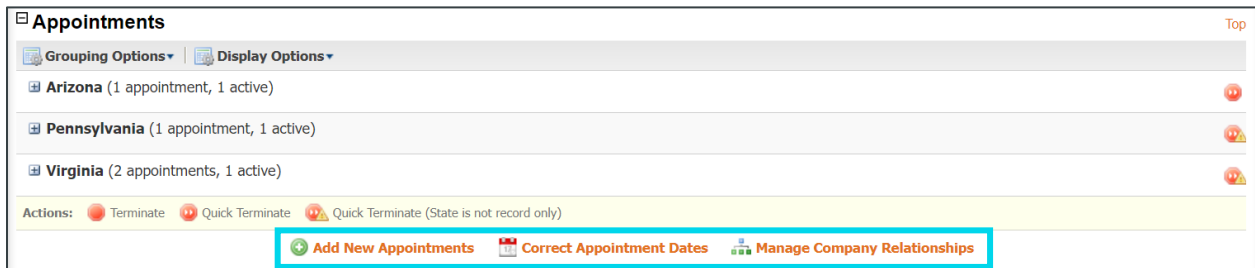

MAINTAIN APPOINTMENT INFORMATION

Within the appointment, you have three options to maintain appointments from the producer record.

Click **Add New Appointments** to open the *Add Appointments* page. Here you can submit a new state appointment request or record an appointment for a selected producer.

Click **Correct Appointment Dates** to open the *Correct Appointment Dates* page. From here you can fix key compliance dates on a selected producer's record or protect appointment data on the record from automated data reconciliation updates.

Click **Manage Company Relationships** to open the *Company Relationships* page. From here you can record the payment status and termination vesting period information for a selected producer.

Note: For more information about submitting appointments, refer to the
Appointments and Terminations Quick Guide.

ADDITIONAL APPOINTMENT CONSIDERATIONS

If a license displayed in the **Licenses/Qualifications** data section is inactivated, through either an automated or manual action, the system will inactivate all its related qualifications (license lines) automatically.

The system will also inactivate all appointments supported by now-inactive licenses or license lines. For a carrier customer, this action will result in a "record-only" appointment termination and not in an appointment termination transaction being submitted to a state.

Appointments in Sircon States

An appointment or termination request submitted to certain states using an electronic submission method is routed directly to the state's department of insurance regulatory management system. A request to one of these states, referred to as a "Sircon State," will result in a rapid state response (i.e., "real-time" response) and can offer significant business advantages.

A transaction request submitted to all other states, however, goes first through a third-party, electronic interface and then to the state and can vary in response time. Ask your Vertafore representative for more information and for the current list of "Sircon States."

To expand a field whose value is truncated or obscured, with the left mouse button click and hold the right cell border of the field's header cell, drag the mouse swiftly to the right, and then release. Repeat as necessary to view the full field value.

Agreements

An agreement is a binding contract between a company and a producer under which the producer may market insurance-related products for the company. Agreements are initially created by the Vertafore support team. Once they are created, you can assign agreements to producers and review information about a producer's contractual agreements with your company.

The **Agreements** data section includes the following sub-sections:

- **Direct Agreements**: Contracts that are directly made with a producer to sell/market product lines for the carrier's underwriting companies.
- **Indirect Agreements**: Contracts that are made between a carrier and an agency or brokerage to sell/market product lines. Indirect agreements are assigned to producers that are associated with the corresponding agency or brokerage.

DIRECT AGREEMENTS

Direct agreements are the contracts that fall under the product lines of your carrier's underwriting companies.

You will initially see a list of the agreements that are assigned to the producer. The fields in the top section of the direct agreements are:

- **Type**: For each upline producer agreement listed, displays the upline producer's agreement type.
- **Status**: Displays the status of the upline producer's agreement, either Active or Inactive.
- **Status Date**: Displays the date on which the current value of the **Status** field was set.
- **Business Unit**: Displays the business unit associated with the producer agreement.
- **Highest Upline Producer**: The name of the producer is hyperlinked at the top of the producer's agreement hierarchy. Click the hyperlink to open the highest upline producer's record in the *Review/Update Producer* page.
- **Level ID**: Displays the level ID of the upline producer's agreement.

Click on the **Expand** button (⊞) next to the agreement to drill into more details.

Under direct agreements you can view:
- Commission Details
- Additional Producers
- Agreement Companies
- Agreement Hierarchy
- Child Agreements

- **External System ID**: Displays the external system identifier that links the producer's agreement with information in other systems, such as commissioning or new business.
- **Begin Date**: Displays the date on which the agreement became active.
- **End Date**: *Inactive agreements only.* Displays the date on which the agreement became inactive.
- **Hierarchy Template**: If the agreement is governed by a hierarchy template, this displays the selected hierarchy template that establishes the ordered reporting level and/or compensation schedule for the producer in the agreement.
- **Termination Reason**: If the agreement is inactive, this displays the reason for the inactivation of the agreement.

Expand the **Commission Details** section to see details about commission payments to the producer under the agreement. Fields include the following:

- **Payment Frequency**: Displays a value representing the timing of commission payments to the producer.
- **Advance Transaction Sts**: Displays a value indicating the method by which a commission advance should be paid to the producer (e.g., On Hold, Period-to-Date, etc.)
- **Advance Commission**: Displays a value indicating whether or not the producer may receive an advance on commission.
- **% of Advance**: Displays a numeric value between 0.00 and 100.00 that represents the amount of the producer's advance on commission.
- **Max Advance Amt**: Displays the maximum amount of advance on commission that the producer may receive.
- **Statement Distribution ID**: Displays an ID for statement distribution.
- **Via DTCC**: Indicate whether the agreement will be conducted using DTCC.

Expand the **Additional Producers** section to see a table listing additional producers on the agreement. Fields include the following:

- **Role**: For each additional producer listed, displays the producer's role in the agreement.
- **Name**: Displays the producer's name.
- **EIN/SSN**: Displays the producer's Tax Identification Number.
- **NPN**: Displays the producer's National Producer Number.
- **Begin Date**: Displays the date on which the producer was added to the agreement.
- **End Date**: *Inactive additional producers only*. Displays the date on which the producer's role in the agreement became inactive.
- **External System ID**: For each additional producer listed, displays the external system identifier associated with the agreement.
- **Add/Update/Delete Additional Producers**: Click to open the *Maintain Additional Producers* page, where you can add, update, or delete additional producers on the selected agreement.

Expand the **Agreement Companies** section to display all appointing or underwriting companies on the agreement. Fields include the following:

- **Company**: Displays the company's name.
- **Status**: Displays the status of the company on the agreement.
- **Begin Date**: Displays the date on which the company became party to the agreement.
- **End Date**: *Inactive companies only*. For each inactive company listed, displays the date on which the company's involvement in the agreement ended.
  - o **Add/Update/Delete Companies**: Click to open the *Maintain Companies* page, where you can add, update, or delete agreement company information.

Expand the **Agreement Hierarchy** section to see a record of the agreement history. This section will only display details for parent/child agreements.

When a reporting or compensation hierarchy has been established for the selected agreement, this section displays all upline producers to which the selected producer is a downline on the agreement. Fields include the following:

- **Start Date**: For each upline producer agreement listed, displays the date on which the upline producer's agreement became active.
- **End Date**: *Inactive agreements only.* Displays the date on which the upline producer's agreement became inactive.
- **Business Unit**: Displays the business unit associated with the upline producer's agreement.
- **Hierarchy Template**: Displays the upline producer's ordered role in the agreement's governing hierarchy template.
- **Level ID**: Displays the level ID of the upline producer's agreement.
- **Actions**: For each upline producer agreement listed, click the **View** button ( ) to open the upline producer's agreement information in the *Review/Update Agreement* page.

Expand the **Child Agreements** section to see all the child agreements, both active and inactive, that are downline to the producer on the selected agreement. In parentheses you will see the number of active and inactive child agreements. Fields and controls include the following:

- **Producer Name**: For each child agreement listed, displays the name of the downline producer.
- **Type**: For each child agreement listed, displays the agreement type.
- **Start Date**: For each child agreement listed, displays the date on which the child agreement became effective.
- **Business Unit**: For each child agreement listed, displays the associated business unit.
- **Hierarchy Template**: For each child agreement listed, displays the governing hierarchy template.
- **Level ID**: For each child agreement listed, displays its agreement level ID.
- **Actions**: Click the **View** button (📲) to open a downline entity's agreement information in the *Review/Update Agreement* page.
- **Move Children to Another Agreement**: Click to open the Reassign Downline to a *New Parent Agreement* page, where you can transfer the child agreements of the selected agreement to a new parent agreement.
  - o **Type**: Displays the agreement type.
  - o **Status**: Displays the current status of the agreement, either Active or Inactive.
  - o **Level ID**: Displays the producer's level ID in the agreement.

INDIRECT AGREEMENTS

Indirect agreements indicate one or multiple upline producers (such as an agency or brokerage) are authorized to sell/market products for your carrier group's underwriting companies. Producers are assigned indirect agreements to indicate they are associated with a corresponding agency/brokerage.

Fields in the indirect agreement section are:

- **Agreement Companies**: Displays the names of your carrier group's underwriting companies that are party to the producer's indirect agreement.
- **Company**: Displays the name of an underwriting company.
- **Status**: Displays the current status of the underwriting company on the agreement.
- **Begin Date**: Displays the date on which the underwriting company became party to the agreement.
- **End Date**: *Inactive agreements only*. Displays the date on which the underwriting company became inactive as a party to the agreement.
- **Associated Firm**: Displays the name of the firm producer with which the producer is affiliated and through which the producer is party to the agreement.
- **Agreement Type**: Displays the agreement type between the firm and the producer.
- **Status**: Displays the status of the agreement between the firm and the producer.
- **Begin Date**: Displays the date on which the agreement between the firm and the producer became active.
- **End Date**: *Inactive agreements only*. Displays the date on which the agreement between the firm and the producer became inactive.
- **Business Unit**: Displays the business unit associated with the producer agreement.
- **Level ID**: Displays the firm's level ID in the agreement.
- **Termination Reason**: Displays the reason for the inactivation of the agreement.

> **Note**: When you add an association between an individual producer and a firm, and the associated firm has an active agreement, the system automatically will add an indirect agreement with the associated firm to the **Agreements** data section of the individual producer's record.
>
> If you terminate the association, however, the system will not automatically inactivate the individual producer's indirect agreement with the associated firm.

Firm Associations (Individual Licensees Only)

Many states require carriers and firms to track and manage agent-to-agency affiliations. Some states allow firms to share an appointment with affiliated individual producers, allowing the agents to conduct business under the firm's appointment. This can potentially reduce a carrier's appointment fees in those states.

Use the **Firm Associations** data section of an individual producer record to review information about an individual's active and inactive associations, or affiliations, with an agency or brokerage.

⊟ **Firm Associations**				Top
				Add New Firm Association
	EIN	**Firm**	**Begin Date**	**End Date**
⊞	00-6233077	**DEAN AND DAVIS INSURANCE AGENCY**	05-30-2023	
		Correct Association Data		

The **Firm Associations** data section displays a table listing an individual producer's active or inactive individual-to-firm associations or affiliations, grouped first by firm and then by association state(s). It includes the following fields:

- **EIN**: Displays the firm's Federal Employer Identifier Number.
- **Firm**: For each individual-to-firm association listed, displays the firm's name as an orange hypertext link. Click the link to open the firm's record in the *Review/Update Producer* page.
- **Begin Date**: For each individual-to-firm association listed, displays the date on which the association became effective (i.e., the date of the oldest state association).
- **End Date**: For each inactive individual-to-firm association listed, displays the date on which the association became inactive (i.e., the date on which the last state association became inactive).

Click the **Expand** button (⊞) to see more details about the firm.

⊟ **Firm Associations**				Top
				Add New Firm Association
	EIN	**Firm**	**Begin Date**	**End Date**
⊞	00-6233077	**DEAN AND DAVIS INSURANCE AGENCY**	05-30-2023	
		Correct Association Data		

- **Association States**: For each firm association listed, you will see the states in which the agent-to-firm association is recorded.
- **State**: For each association state listed, click the **Expand** button to display the active qualifications (license lines or LOA) held by the firm and the affiliated agent in the selected association state. Fields include the following:
  - **Active Qualifications for [FirmName]:** Displays the active qualifications held by the firm in the selected association state.

- o **Active Qualifications for [IndividualName]:** Displays the active qualifications held by the affiliated individual in the selected association state.
- **Association Type**: Displays the relationship of the individual to the firm in the selected association state.
- **Position**: Displays the employment title of the individual with the firm in the selected association state.
- **Begin Date**: Displays the date on which the individual became associated with the firm in the selected association state.
- **End Date**: Displays the date on which the association between the individual and the firm became inactive in the selected association state.
- **State Registered**: Displays **Yes** if the individual-to-firm association is recorded with the department of insurance in the selected association state. Displays **No** if the individual-to-firm association is not recorded with the department of insurance in the selected association state (i.e., recorded only in your company's internal records).

Click the **Expand** button (⊞) next to the association state to see more details about the firm and producer qualifications.

Firm Associations

EIN	Firm		Begin Date	End Date
00-6233077	DEAN AND DAVIS INSURANCE AGENCY		05-30-2023	

Association States — Add New Association State

State	Association Type	Position	Begin Date	End Date	State Registered	
Virginia	Agent	Other	05-30-2023		Yes	Terminate

Correct Association Data

You will now see the active qualifications for the firm and for the individual licensee.

Firm Associations

EIN	Firm		Begin Date	End Date
00-6233077	DEAN AND DAVIS INSURANCE AGENCY		05-30-2023	

Association States — Add New Association State

State	Association Type	Position	Begin Date	End Date	State Registered	
Virginia	Agent	Other	05-30-2023		Yes	Terminate

Active Qualifications for DEAN AND DAVIS INSURANCE AGENCY

Qualifications
Property and Casualty

Active Qualifications for EASLEY, CORA

Qualifications
Health
Life and Annuities
Property and Casualty
Variable Contracts

Correct Association Data
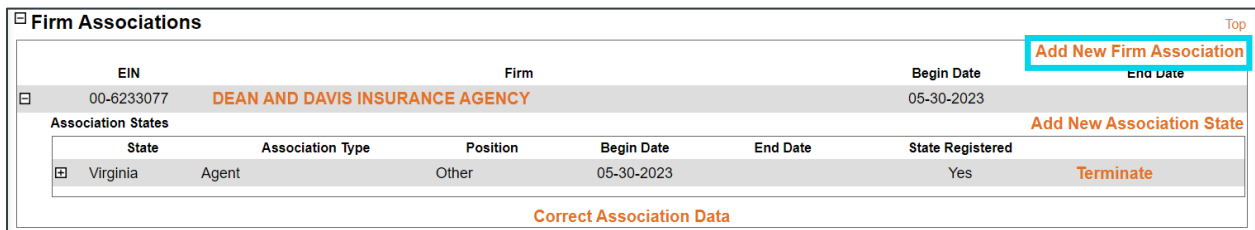
MAINTAIN FIRM ASSOCIATIONS

Use hyperlinks in the firm associations to transfer you to the maintenance transactions in Producer Central. There are several maintenance functions available, including:

- Add New Firm Association
- Add New Association State
- Terminate
- Correct Association Data

> **Note**: All data that is added or updated using this page will apply only to the affected producer record. The data **will not be transmitted** directly to the states and will not update state records.
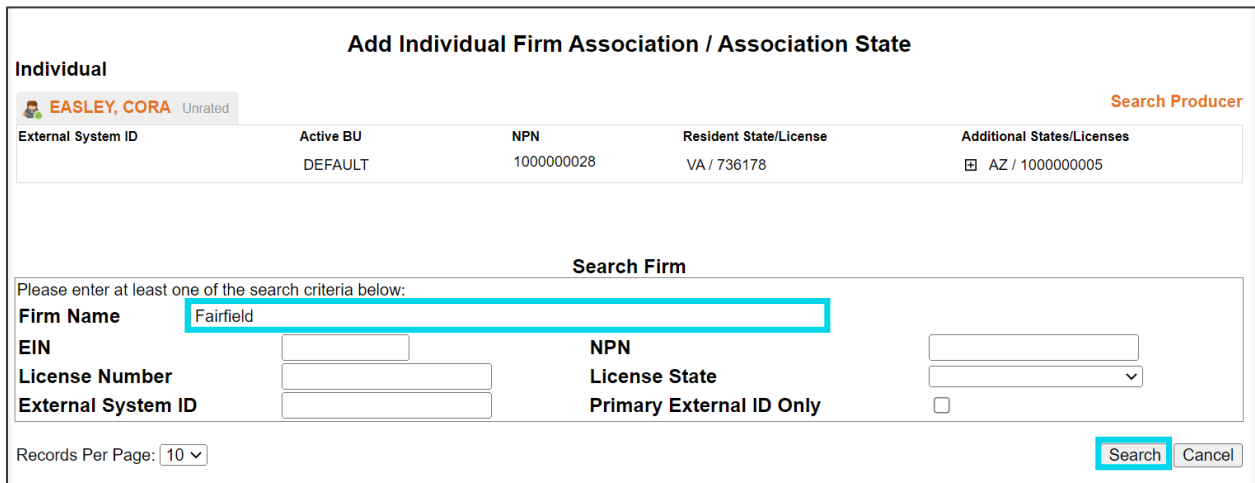
Add New Firm Association

1. Click the **Add New Firm Association** button to add another firm or agency to the account.

2. You will now see the *Add Individual Firm Association / Association State* page. Enter at least one of the search criteria to find an agency or firm.
3. Click **Search**.

4. You will see a list of the **Active Qualifications** for the agency/firm. Scroll down to the bottom of the screen and update the following fields:

- **Association State**: State where the agent and firm are associated. The firm will need to have an active qualification in the state you select.
- **Association Type**: Choose the association type from the drop-down list. This displays the relationship of the individual to the firm in the selected association state. The options in the association type are maintained with code use indicators.
- **Position**: Displays the employment title of the individual with the firm in the selected association state.
- **Begin Date**: Displays the date on which the individual became associated with the firm in the selected association state.
- **State Registered**:
  o Displays "Yes" if the individual-to-firm association is recorded with the department of insurance in the selected association state.
  o Displays "No" if the individual-to-firm association is not recorded with the department of insurance in the selected association state (i.e., recorded only in your company's internal records).

5. Click **Save** or **Save and Return** to submit the association.

Add Individual Firm Association / Association State

Individual

🧑 **EASLEY, CORA** Unrated				**Search Producer**
External System ID	**Active BU**	**NPN**	**Resident State/License**	**Additional States/Licenses**
	DEFAULT	1000000028	VA / 736178	⊞ AZ / 1000000005

Firm

🏢 **FAIRFIELD AGENCY** Unrated					**Search Producer**
EIN	**External System ID**	**Active BU**	**NPN**	**Resident State/License**	**Additional States/Licenses**
64-7646741	1342	LIFE		MI / 12345	

🧑 This producer has 1 active service request in Producer Express: **8287654**

Active Qualifications

State
⊞ Arizona
⊞ California
⊞ Delaware
⊞ Ohio
⊞ Pennsylvania
⊞ Virginia
⊞ Washington

Current Association

	Begin Date	End Date
No Association exists.		

Current Association States

State	Association Type	Position	Begin Date	End Date	State Registered
No State Association exists.					

Association State	Virginia
Association Type	Employee
Position	Other
Begin Date	05-30-2023
State Registered	◉ Yes ○ No

Save	Return	Save and Return

6. You will now see the firm association in the producer record.

	EIN	Firm	Begin Date	End Date
⊟ **Firm Associations**				Top
				Add New Firm Association
⊞	00-6233077	DEAN AND DAVIS INSURANCE AGENCY	05-30-2023	
⊞	64-7646741	FAIRFIELD AGENCY	05-30-2023	
		Correct Association Data		

Add New Association State

The **Add New Association State** option is available when you expand the firm/agency details. This option will allow you to add a new association state for a firm.

1. Click the **Add New Association** button.

	EIN		Firm		Begin Date		End Date	
⊟ **Firm Associations**								Top
							Add New Firm Association	
⊟	00-6233077		DEAN AND DAVIS INSURANCE AGENCY		05-30-2023			
Association States							Add New Association State	
	State	Association Type	Position	Begin Date	End Date	State Registered		
⊞	Virginia	Agent	Other	05-30-2023		Yes	Terminate	
			Correct Association Data					

2. You will see a list of the **Active Qualifications** for the agency/firm. Scroll down to the bottom of the screen and update the following fields:

- **Association State**: State where the agent and firm are associated. The firm will need to have an active qualification in the state you select.
- **Association Type**: Choose the association type from the drop-down list. This displays the relationship of the individual to the firm in the selected association state. The options in the association type are maintained with code use indicators.
- **Position**: Displays the employment title of the individual with the firm in the selected association state.
- **Begin Date**: Displays the date on which the individual became associated with the firm in the selected association state.
- **State Registered**:
  - Displays "Yes" if the individual-to-firm association is recorded with the department of insurance in the selected association state.
  - Displays "No" if the individual-to-firm association is not recorded with the department of insurance in the selected association state (i.e., recorded only in your company's internal records).

3. Click **Save** or **Save and Return** to submit the association.

Add Individual Firm Association / Association State

Individual

👤 **EASLEY, CORA** Unrated   Search Producer

External System ID	Active BU	NPN	Resident State/License	Additional States/Licenses
	DEFAULT	1000000028	VA / 736178	⊞ AZ / 1000000005

Firm

🏢 **DEAN AND DAVIS INSURANCE AGENCY** ⊘ ⭐⭐⭐⭐   Search Producer

EIN	External System ID	Active BU	NPN	Resident State/License	Additional States/Licenses
00-6233077		DEFAULT	2000000019	GA / 70443	⊞ AL / 416295

Active Qualifications

State
⊞ Alabama
⊞ Arizona
⊞ California
⊞ Ohio
⊞ Pennsylvania
⊞ South Carolina
⊞ Virginia
⊞ Washington

Current Association

Begin Date	End Date
05-30-2023	

Current Association States

State	Association Type	Position	Begin Date	End Date	State Registered
Virginia	Agent	Other	05-30-2023		Yes

Association State	Ohio ▾
Association Type	Agent ▾
Position	Other ▾
Begin Date	05-30-2023 📅
State Registered	○ Yes ● No

[Save] [Return] [Save and Return]

4. You can now see the state association you added under the firm.

⊟ Firm Associations   Top

                                                        Add New Firm Association

EIN	Firm	Begin Date	End Date
⊟ 00-6233077	**DEAN AND DAVIS INSURANCE AGENCY**	05-30-2023	

Association States   Add New Association State

	State	Association Type	Position	Begin Date	End Date	State Registered	
⊞	Ohio	Agent	Other	05-30-2023		No	**Terminate**
⊞	Virginia	Agent	Other	05-30-2023		Yes	**Terminate**

⊞ 64-7646741	**FAIRFIELD AGENCY**	05-30-2023	

Correct Association Data

Terminate

Use the **Terminate** option to remove a firm association from a producer's record.

1. Click the **Terminate** button.

	EIN	Firm	Begin Date	End Date
⊟ Firm Associations				Top
				Add New Firm Association
⊟	00-6233077	DEAN AND DAVIS INSURANCE AGENCY	05-30-2023	
Association States				Add New Association State

	State	Association Type	Position	Begin Date	End Date	State Registered	
⊞	Ohio	Agent	Other	05-30-2023		No	Terminate
⊞	Virginia	Agent	Other	05-30-2023		Yes	Terminate

| ⊞ | 64-7646741 | FAIRFIELD AGENCY | | | 05-30-2023 | | |

2. You will now see the *Terminate Individual Firm Association State* page. Select the association state you want to terminate.
3. Click **Save**.

Terminate Individual Firm Association State

Individual

👤 **EASLEY, CORA** Unrated   Search Producer

External System ID	Active BU	NPN	Resident State/License	Additional States/Licenses
	DEFAULT	1000000028	VA / 736178	⊞ AZ / 1000000005

Firm

🏢 **DEAN AND DAVIS INSURANCE AGENCY** ⊘ ⭐⭐⭐⭐   Search Producer

EIN	External System ID	Active BU	NPN	Resident State/License	Additional States/Licenses
00-6233077		DEFAULT	2000000019	GA / 70443	⊞ AL / 416295

Active Qualifications

State
⊞ Alabama
⊞ Arizona
⊞ Pennsylvania
⊞ South Carolina
⊞ Virginia
⊞ Washington

Current Association

Begin Date	End Date
05-30-2023	

Select association states to terminate:

🔘 All association states
⚪ Selected Current Association States (select below)

Current Association States

	State	Association Type	Position	Begin Date	End Date	State Registered
☑	Ohio	Agent	Other	05-30-2023		No
☐	Virginia	Agent	Other	05-30-2023		Yes

End Date   05-30-2023 📅

Save   Return

4. You will now see the state association will have an **End Date** listed since the association is considered inactive.

Correct Association Data

Use the **Correct Association Data** option if you need to update firm association data.

1. Click the **Correct Association Data** option.

2. Search for the firm/agency that you need to correct the state association data by entering data in at least one of the search criteria.
3. Click **Search**.

4. Check the **Association State** where you need to correct data.
5. You can then update any of the fields below:
   - **Association Type**
   - **Position**
   - **Begin Date**
   - **End Date**
   - **State Registered**
6. Click **Save and Return** to view the updates in the producer record.

7. You will now see the updated data in the **Firm Associations**.

Note: Associations are not synced with the PDB. All updates are record only and will need to be maintained manually in the producer record.

Section: Review & Maintain Producer Records

Individual Associations (Firms Only)

Numerous states require carriers and firms to track and manage agent-to-agency affiliations. Some states allow firms to share an appointment with affiliated individual producers, allowing the agents to conduct business under the firm's appointment and potentially reducing a carrier's appointment fees in those states.

Use the **Individual Associations** data section of a firm producer record to review information about agency's or brokerage's active and inactive associations or affiliations with individual producers.

MAINTAIN INDIVIDUAL ASSOCIATIONS

Use hyperlinks in the individual associations to transfer you to maintenance transactions in Producer Central. There are several maintenance functions available, including:

1. **Add New Individual Association or State Association**: Click to open the *Add Individual Firm Association/Association State* page. Here you can add a new association between the selected firm and an individual producer.
2. **View Individual Associations**: A list of individual affiliations is not displayed directly in the **Individual Associations** section of a firm producer record. Click to open the *Individual Associations Inquiry* page. Here you can view a report of individual producers associated with the selected firm.
3. **Terminate a State Association**: Click to open the *Terminate Individual Firm Association State* page. Here you can inactivate an association between the selected firm and an individual producer in a selected association state.

> **Note**: When a producer holds at least one active individual-to-firm association in a state, the **Status** field in the **Details** data section of the producer's record will hold a value of **Active**.
>
> This condition persists even after the producer no longer holds an active state appointment. To set the **Status** field to Inactive, you must terminate all active appointments and individual-to-firm associations.

4. **Correct Association Data**: Click to open the *Correct State Association Data page*. Here you can hard-correct or "data fix" individual-to-firm association information in a selected association state.

> **Note**: All data that is added or updated using this page will apply only to the affected producer record. The data **will not be transmitted** directly to the states and will not update state records.

Add New Individual Association or State Association

1. Click either the **Add New Individual Association** button or the **Add New Individual or State Association** button.

2. Enter search criteria in at least one of the fields below.
3. Click **Search**.

4. If multiple individuals match your search criteria, you will see a list of the different people below.
5. Click the **Name** of the individual you need to update.

4. You will now see the *Add Individual Firm Association / Association State* page.

5. Scroll to the bottom of the screen and update the following fields:

   - Association States
   - Association Type
   - Position
   - Begin Date
   - State Registered

6. Click **Save and Return** to add the firm association to the producer.

View Individual Associations

1. Click the **View Individual Associations** button to view a report of all the individual licensees that are associated with the agency.

⊟**Individual Associations**   Top
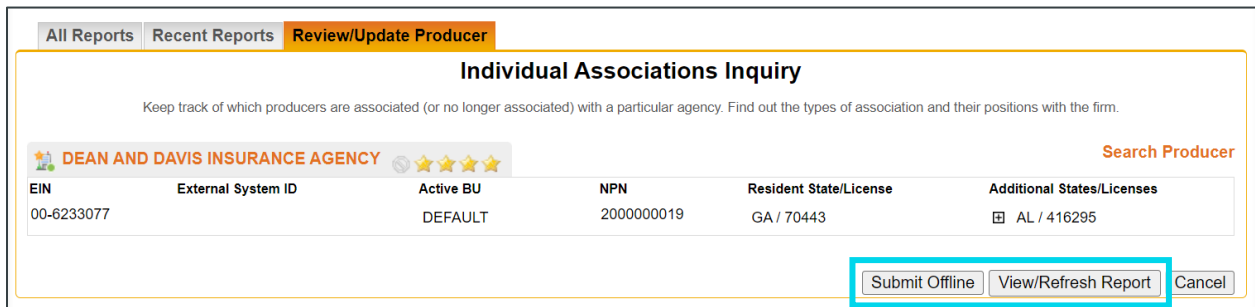
| | | | **Add New Individual Association** |
| EIN | Individual | Begin Date | End Date |

Add New Individual Association or State Association
View Individual Associations
Terminate a State Association
Correct Association Data

---

2. To pull the report, select **View/Refresh Report** to run the report in real time. Or click **Submit Offline** to run the report in the background. This option is useful if the report is large.
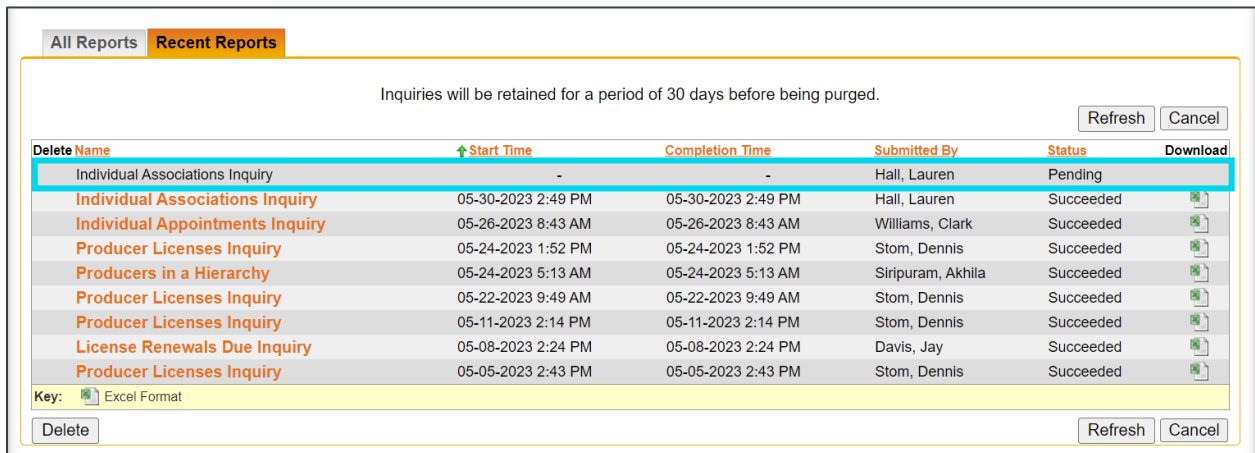

| All Reports | Recent Reports | **Review/Update Producer** |

Individual Associations Inquiry

Keep track of which producers are associated (or no longer associated) with a particular agency. Find out the types of association and their positions with the firm.

🏢 **DEAN AND DAVIS INSURANCE AGENCY** ⭐⭐⭐⭐   **Search Producer**

| EIN | External System ID | Active BU | NPN | Resident State/License | Additional States/Licenses |
| 00-6233077 | | DEFAULT | 2000000019 | GA / 70443 | ⊞ AL / 416295 |

Submit Offline | View/Refresh Report | Cancel

---

3. If you selected **Submit Offline**, a screen will appear where your report will load in the background. When the status is "pending," the report is still loading.

| All Reports | **Recent Reports** |

Inquiries will be retained for a period of 30 days before being purged.

Refresh | Cancel

Delete Name	Start Time	Completion Time	Submitted By	Status	Download
Individual Associations Inquiry	-	-	Hall, Lauren	Pending	
Individual Associations Inquiry	05-30-2023 2:49 PM	05-30-2023 2:49 PM	Hall, Lauren	Succeeded	📊
Individual Appointments Inquiry	05-26-2023 8:43 AM	05-26-2023 8:43 AM	Williams, Clark	Succeeded	📊
Producer Licenses Inquiry	05-24-2023 1:52 PM	05-24-2023 1:52 PM	Stom, Dennis	Succeeded	📊
Producers in a Hierarchy	05-24-2023 5:13 AM	05-24-2023 5:13 AM	Siripuram, Akhila	Succeeded	📊
Producer Licenses Inquiry	05-22-2023 9:49 AM	05-22-2023 9:49 AM	Stom, Dennis	Succeeded	📊
Producer Licenses Inquiry	05-11-2023 2:14 PM	05-11-2023 2:14 PM	Stom, Dennis	Succeeded	📊
License Renewals Due Inquiry	05-08-2023 2:24 PM	05-08-2023 2:24 PM	Davis, Jay	Succeeded	📊
Producer Licenses Inquiry	05-05-2023 2:43 PM	05-05-2023 2:43 PM	Stom, Dennis	Succeeded	📊

Key: 📊 Excel Format

Delete | Refresh | Cancel

---

4. Once the report is finalized, you will see the status is now "Succeeded."
5. Click the **Excel** button (📊) to download the Excel file to your computer.

6. Once downloaded, you can open the Excel file to view the individuals associated with the agency.

Terminate a State Association

1. Click the **Terminate a State Association** button to remove an individual association from a firm/agency.

2. Search for the Individuals whose associations you need to remove using at least one of the search criteria below.
3. Click **Search**.

Terminate Individual Firm Association State

Firm

🏢 **DEAN AND DAVIS INSURANCE AGENCY** ⊘ ⭐⭐⭐⭐   Search Producer

EIN	External System ID	Active BU	NPN	Resident State/License	Additional States/Licenses
00-6233077		DEFAULT	2000000019	GA / 70443	⊞ AL / 416295

Search Individual

Please enter at least one of the search criteria below:

Last	Easley	First		Middle	
SSN			NPN		
License Number			License State		
External System ID			Primary External ID Only	☐	

Records Per Page: 10 ▾   Search Cancel

---

4. You will now see the *Terminate Individual Firm Association State* page.
5. You will see a list of all the **Active Qualifications** and **Current Associations**.
6. Select the state (or states) that you want to terminate.
7. Click **Save**.

Terminate Individual Firm Association State

Firm

🏢 **DEAN AND DAVIS INSURANCE AGENCY** ⊘ ⭐⭐⭐⭐   Search Producer

EIN	External System ID	Active BU	NPN	Resident State/License	Additional States/Licenses
00-6233077		DEFAULT	2000000019	GA / 70443	⊞ AL / 416295

Individual

👤 **EASLEY, CORA** Unrated   Search Producer

External System ID	Active BU	NPN	Resident State/License	Additional States/Licenses
	DEFAULT	1000000028	VA / 736178	⊞ AZ / 1000000005

Active Qualifications

State
⊞ Alabama
⊞ Arizona
⊞ California
⊞ South Carolina
⊞ Virginia
⊞ Washington

Current Association

Begin Date	End Date
05-30-2023	

Select association states to terminate:

○ All association states
● Selected Current Association States (select below)

Current Association States

	State	Association Type	Position	Begin Date	End Date	State Registered
☑	Florida	Agent	Other	05-30-2023		No
☐	Virginia	Agent/Broker	Assistant Secretary	05-30-2023		No

End Date   05-31-2023 📅   Save Return

Correct Association Data

1. Click the **Correct Association Data** button to update association data for individual licensees.

2. Search for the individual licensee by entering search criteria in at least one of the fields below.
3. Click **Search**.

4. Select the association you need to modify by clicking the checkbox next to the association state.
5. You can now update any of the fields below:
   - **Association Type**
   - **Position**
   - **Begin Date**
   - **End Date**
   - **State Registered**

6. Once you finish updating the information, click **Save** or **Save and Return**.

Correct State Association Data

Firm

⭐ DEAN AND DAVIS INSURANCE AGENCY ⭐⭐⭐⭐   Search Producer

EIN	External System ID	Active BU	NPN	Resident State/License	Additional States/Licenses
00-6233077		DEFAULT	2000000019	GA / 70443	⊞ AL / 416295

Individual

👤 EASLEY, CORA Unrated   Search Producer

External System ID	Active BU	NPN	Resident State/License	Additional States/Licenses
	DEFAULT	1000000028	VA / 736178	⊞ AZ / 1000000005

Current Association

Begin Date	End Date
05-30-2023	

Select the State Association(s) to correct:

Association States

	State	Association Type	Position	Begin Date	End Date	State Registered
☑	Virginia	Agent/Broker	Assistant Secretary	05-30-2023		No
☐	Florida	Agent	Other	05-30-2023	05-31-2023	No
☐	Ohio	Agent	Other	05-30-2023	05-30-2023	No

Association Type	[▼]
Position	[Secretary - Treasurer ▼]
Begin Date	[_____] 📅
End Date	[_____] 📅
State Registered	○ Yes ● No

[Save] [Return] [Save and Return]

Employment History (Individual Licensees Only)

Use the **Employment History** data section of a producer record to review and maintain information about a producer's history of employment positions.

⊟ **Employment History**   Top

Begin Date	End Date	Employer Name	Position	Annual Salary	Reason For Leaving
⊞ 05-01-2023		Dean and Davis Agency	Sales Agent		
⊞ 01-02-2023	03-24-2023	Heartland Agency	Sales Agent	42,000	Voluntary

Add/Update/Delete Employment History

The **Employment History** data section includes the following fields:
- **Begin Date**: Displays the date on which the selected producer started the position.
- **End Date**: Displays the date on which the selected producer vacated the position.
- **Employer Name**: Displays the name of the employer of the position.
- **Position**: Displays the name of the position title.
- **Annual Salary**: Displays the annual compensation of the position.
- **Reason for Leaving**: Displays the reason that the selected producer vacated the position.

Click the **Expand** button (⊞) next to the employment history to see the address information.

The following fields will appear:

- **Line One**: Displays the first street address line of the selected producer's employment position.
- **Line Two**: Displays the second street address line of the selected producer's employment position.
- **City**: Displays the address city of the selected producer's employment position.
- **State**: Displays the address state of the selected producer's employment position.
- **Postal Code**: Displays the address postal code of the selected producer's employment position.
- **Province**: Displays the address province of the selected producer's employment position. (*Canadian addresses only*).
- **Country**: Displays the address country of the selected producer's employment position.
- **Phone**: Displays the address telephone number of the selected producer's employment position.
- **Phone Extension**: Displays the address telephone number extension of the selected producer's employment position.

> **Note**: Employment history information saved to a producer's record will automatically populate the **Employment History** section of a license application or license renewal submitted for the producer and spare manual data entry.

MAINTAIN EMPLOYMENT HISTORY

1. Click **Add/Update/Delete Employment History** to modify the employment history.

2. To add employment history, scroll down to the **Add/Update Employment History** section at the bottom of the screen and add information into the required fields.
3. To edit existing employment, click the **Edit** button next to the record then update any fields you need to modify.

> **Note**: None of the fields are mandatory, you can choose to maintain whichever fields you need.

4. Click the **Save** button to update the information.

> **Note**: Employment history information saved to a producer's record will automatically populate the **Employment History** section of a license application or license renewal submitted for the producer and spare data entry.

Alias (Individuals Only)

Use the **Aliases** data section of a producer record to review and maintain information about a producer's past or alternate identities.

Aliases								Top
Personal Aliases								
State	Last	First	Middle	Suffix	Type	Effective Date	End Date	
	Easley	Cora			Former Name	05-17-2023		
New Mexico	Smith	Cora			License Name	05-17-2023		

The **Aliases** data section includes the following sub-sections:
- Personal Aliases
- Company Aliases

In the **Personal Aliases** section, you will see an individual producer's past or alternate identities. The fields include the following:
- **State**: Name of the state with which it is associated.
- **Last**: Producer's alias last name.
- **First**: Producer's alias first name.
- **Middle**: Producer's alias middle name.
- **Suffix**: Producer's name suffix (e.g., Sr. III, etc.).
- **Type**: Type of alternate identity (e.g., Former Name, Doing Business As, etc.).
- **Effective Date**: Date on which the alias became effective.
- **End Date**: Date on which the alias became inactive.

In the **Company Aliases** section, you will see an individual producer's alternate business identities. Fields include the following:
- **State**: Name of the state with which it is associated.
- **Name**: Producer's alternate business name.
- **Type**: Type of alternate identity (e.g., Sole Proprietorship, Doing Business As, etc.)
- **Effective Date**: Date on which the alias became effective.
- **End Date**: Date on which the alias became inactive.

Aliases								Top
Personal Aliases								
State	Last	First	Middle	Suffix	Type	Effective Date	End Date	
	Easley	Cora			Former Name	05-17-2023		
New Mexico	Smith	Cora			License Name	05-17-2023		
Company Aliases								
State	Name				Type	Effective Date	End Date	
	Dean & Davis Agency				Doing Business As	05-31-2023		
			Add/Update/Delete Aliases					

MAINTAIN ALIASES

1. Click the **Add/Update/Delete Aliases** button to open the *Maintain Personal Aliases* page, where you can add, update, or delete a selected individual producer's personal or business alias information.

Aliases							Top
Personal Aliases							
State	Last	First	Middle	Suffix	Type	Effective Date	End Date
	Easley	Cora			Former Name	05-17-2023	
New Mexico	Smith	Cora			License Name	05-17-2023	
Company Aliases							
State	Name				Type	Effective Date	End Date
	Dean & Davis Agency				Doing Business As	05-31-2023	
				Add/Update/Delete Aliases			

2. To add an alias, fill out the information in the *Add/Update Personal Alias* section.
3. To update an existing alias, click the **Edit** button (✏) next to the alias you need to update then edit the fields in the *Add/Update Personal Alias* section.
4. To delete an alias, click the check box next to the alias you want to update then click **Delete**.

Note: It is often more advantageous to add an **End Date** to an Alias rather than to delete the Alias. Deleted Aliases can still be pulled in with the next PDB sync which may cause data reconciliation errors.

5. To update a company alias, click the **Maintain Company Aliases** button.
6. Click **Save** or **Save and Return** to update the alias.

Maintain Personal Aliases

👤 **EASLEY, CORA** Unrated   Search Producer

External System ID	Active BU	NPN	Resident State/License	Additional States/Licenses
	DEFAULT	1000000028	VA / 736178	⊞ AZ / 1000000005

Current Personal Aliases   Add New Personal Alias

Delete	State	Last	First	Middle	Suffix	Alias Type	Effective Date	End Date	
☐		Easley	Cora			Former Name	05-17-2023		✏
☐	New Mexico	Smith	Cora			License Name	05-17-2023		✏
								KEY: ✏ = Edit	

[Delete]   [Return]

Add/Update Personal Alias   Clear

State(s)			
Alabama	**Last**	[_____]	**First** [_____]
Alaska			
Alberta	**Middle**	[_____]	**Suffix** [_____]
American Samoa			
Arizona	**Alias Type**	[_____ ▼]	
Arkansas			
Armed Forces Americas			
Armed Forces Other	**Effective Date**	[_____] 📅	**End Date** [_____] 📅
Armed Forces Pacific			

[Save] [Return] [Save and Return]

Maintain Company Aliases

Data Reconciliation

Producer Central can automatically update key data elements in a producer record with information obtained from a trusted, external data source. Examples of trusted sources include the producer database, state regulatory databases, or producer education course completion clearinghouses.

Data reconciliation can keep your producer records refreshed and in a state of constant synchronization with state or education provider data, with little or no manual intervention. Reconciliations can be performed on-demand by user action or as part of an automated system-scheduled data maintenance operation.

In the **Data Reconciliation** data section of a producer record, you can review historical information about automated data reconciliation operations that affected the producer record.

An automated data reconciliation operation can be initiated from many sources, including:

- Adding a Producer

- PDB Updates

- Maintenance transactions in Producer Central. These are transactions that are linked within the Producer Record which allow you to update an individual producer (for example the Maintain Company Address functionality.)

Reconciliation Action	Status	Status Date	Record Updates	Reports	Processing Messages	Action
PDB Update	Processed	05-17-2023	View Updates	PDB Data		
Add Producer	Processed	05-17-2023	View Updates	PDB Data		

Data Reconciliation — Only show data reconciliation rows that modified producer's record. Key: View Updates, View PDB Data, View Reconciliation Details. 2 data reconciliations found, displaying all data reconciliations.

The **Data Reconciliation** data section includes the following fields:

- **Reconciliation Action**: Displays the specific system function that triggered the reconciliation (e.g., Add Producer or PDB Updates).

- **Status**: Current status of the operation (e.g., Processed, Error, Pending, Running).

- **Status Date**: Date the status was last updated.

- **Record Updates**: Click the link to view the data that was updated based on the reconciliation source.

- **Reports**: Click the link to view the report from the external source of data that the system used to update the producer record.

Reconciliation Action	Status	Status Date	Record Updates	Reports	Processing Messages	Action
PDB Update	Processed	05-17-2023	View Updates	PDB Data		
Add Producer	Processed	05-17-2023	View Updates	PDB Data		

Data Reconciliation — Only show data reconciliation rows that modified producer's record. Key: View Updates, View PDB Data, View Reconciliation Details. 2 data reconciliations found, displaying all data reconciliations.

External data source reports include the following:

- **View PDB Report** (📑): Click to open the report obtained from the national PDB that was used to update the producer record during the automated data reconciliation operation.

- **View Reconciliation Data** (🔍): Click to the **View Reconciliation** button under the **Actions** column to open a report that shows all the data that was last synced with the report.

State Producer Numbers (Individual Licensees Only)

Use the **State Producer Numbers** data section of a producer record to track information about an individual producer's state-assigned producer number.

□ State Producer Numbers		Top
State	**Producer Number**	
Washington	769524	

The State Producer Numbers data section includes the following fields:

- **State**: Name of the state associated with the state producer number.
- **Producer Number**: State producer number value.

> **Note**: When submitting an appointment transaction to a state that requires a state producer number, the system will automatically derive the value of the License Number that corresponds to the producer license associated with the appointment request.
>
> It will ignore existing state producer numbers recorded in the State Producer Numbers section of the producer's record.

Required Items (Individual Licensees Only)

Required items help you track and manage activities during the lifecycle of a producer.

For example, you could require a producer to forward certain documentation for your licensing staff to keep on file, such as a copy of their driver's license or a fingerprint card.

Or if you need a producer to send in the GA Citizenship Affidavit to submit the application for the producer, you can add this as a required item and add it to the record.

At other times, it might be necessary to set a "milestone" for internal use by which a producer will be expected to have fulfilled all necessary requirements to be eligible to sell a product.

You can set events or activities as "required items" in a producer record, and then use a simple reporting tool to compile a "to-do" or follow-up list. Required items are easy to use and flexible enough to accommodate a wide range of uses.

Use the **Required Items** data section of a producer record to review a producer's required items.

□ Required Items							Top
State	**Required Item**	**Status**	**Request Date**	**Follow-up Date**	**Received Date**	**Other Identifier**	
⊞ District of Columbia	NPN Missing	Received	05-31-2023	06-01-2023	05-31-2023		
			Add/Update/Delete Required Items				

Under the **Required Items** section, you will see the following fields:

- **State**: Name of the state associated with the required item.
- **Required Item**: Displays the name of the required item. Maintained through code use indicators.
- **Status**: Current status of the item (e.g., Pending, Requested, Received).
- **Request Date**: Date on which the required item was most recently requested.
- **Follow-up Date**: Date on which the request for the required item is to be reviewed.
- **Received Date**: Date on which the request for the required item was fulfilled,
- **Other Identifier**: For each required item listed for which an additional identifier for the required item is recorded, displays the additional required item identifier.

Click the **Expand** button (⊞) next to the required item to see more details.

⊟ **Required Items**						Top
State	**Required Item**	**Status**	**Request Date**	**Follow-up Date**	**Received Date**	**Other Identifier**
⊞ District of Columbia	NPN Missing	Received	05-31-2023	06-01-2023	05-31-2023	
		Add/Update/Delete Required Items				

You will now see the following fields:

- **Business Unit**: Short name of the business unit associated with the required item.
- **Comment**: Text comment associated with the required item.
- **All Request Dates**: Date(s) on which a request was made to fulfill the required item.

⊟ **Required Items**						Top
State	**Required Item**	**Status**	**Request Date**	**Follow-up Date**	**Received Date**	**Other Identifier**
⊟ District of Columbia	NPN Missing	Received	05-31-2023	06-01-2023	05-31-2023	
Business Unit: DEFAULT **Comment:** **All Request Dates** 05-31-2023						
		Add/Update/Delete Required Items				

MAINTAIN REQUIRED ITEMS

1. Click the **Add/Update/Delete Required Items** button to maintain required items for the producer.

⊟ **Required Items**						Top
State	**Required Item**	**Status**	**Request Date**	**Follow-up Date**	**Received Date**	**Other Identifier**
⊞ District of Columbia	NPN Missing	Received	05-31-2023	06-01-2023	05-31-2023	
		Add/Update/Delete Required Items				

2. You will now see the *Maintain Producer Required Items* page.

Add a New Required Item

1. To add a new required item, click the **Add New Required Item** button.

2. Scroll to the *Add/Update New Required Items* section. Fill out the following fields:

   - **State**
   - **Required Item**
   - **Status**
   - **Request Date**
   - **Follow-up Date**
   - **Received Date**
   - **Business Unit**

   Note: You can also add another identifier or comment to the item.

3. Click **Save** or **Save and Return** to submit the information.

4. You can now see the required item was added to the producer record.

Edit an Existing Required Item

1. From the *Maintain Producer Required Items* page, click the **Edit** button (✎)
    next to the item you need to modify.

2. You will see all the details about the item in the *Add/Update New Required
    Items* section.
3. Update any of the fields you need to modify.

> **Note**: If you need to modify the **Request Date**, you can choose to edit the request date or add a new request date.

4. The updates will be reflected on the producer record.

Delete a Required Item

1. Click the check box next to the item you need to remove then click the **Delete** button.

2. The item will be removed from the producer record.

Background Investigations

Using Producer Central, you can submit a request for a producer to complete background investigations to several leading vendors. Examples of background investigations include:

- Credit Checks
- Criminal Background (Federal, State, or Local)
- Education Verification
- Employment Verification
- Licensing State Verification

Summary results of the business investigation will flow automatically from the vendor to the producer's record. If you have need to submit a background check request to an external vendor, you can manually record the results in the producer record.

⊟ Background Investigations							Top
					Add New Background Investigation (record only)		
BI Firm	**Investigation Types**	**Request Date**	**Status**	**Status Date**	**BI Firm Result**	**Review Result**	
⊞ Dean and Davis Agency	Credit Check	05-01-2023	Processed	05-22-2023	Pass	Pass	**Edit**
		Submit a Background Investigation					

- **BI Firm**: Name of the background investigation firm that processed the BI request.
- **Investigation Types**: Types of background investigation(s) performed.
- **Request Date**: Date on which the background investigation request was submitted.
- **Status**: Status of the background investigation request (i.e., the actual request, not the result).
- **Status Date**: Date on which the value displayed in the Status field was updated.
- **BI Firm Result**: Result of the background investigation request as reported by the background investigation firm (e.g., Pass, Fail, Needs Review).
- **Review Result**: Result of the internal staff review of the background investigation results (e.g., Fail, Pass, Review).

Click a **Expand** button (⊞) to display the BI Details, Related Appointment Requests, and Related License Applications sections.

⊟ Background Investigations							Top
					Add New Background Investigation (record only)		
BI Firm	**Investigation Types**	**Request Date**	**Status**	**Status Date**	**BI Firm Result**	**Review Result**	
⊞ Dean and Davis Agency	Credit Check	05-01-2023	Processed	05-22-2023	Pass	Pass	**Edit**
		Submit a Background Investigation					

In the **Details, Related Appointment Requests**, and **Related License Applications** sections, you will see the following fields:

- **BI Firm Result Date**: Date on which the value of the BI Firm Result field in the Background Investigation section last was updated.

- **Result Details**: Click the **View** hyperlink to open in a separate browser window the BI vendor's website, where an authorized user may log in to review detailed BI results.

- **Result Comment**: *Populated only if the background investigation was submitted through Producer Central/Producer Express.* Displays a comment returned with processing from the background investigation vendor.

- **Error Description**: *Populated only if the background investigation was submitted through Producer Central/Producer Express.* If the value of the Status field in the Background Investigation section is "Error," displays a description of the processing error.

- **Cost Center**: Cost center to which the fees for the background investigation transaction were assigned.

- **SIRCON Request ID**: *Populated only if the background investigation was submitted through Producer Central/Producer Express.* Displays the system-internal identifier for background investigation transaction.

- **Last Reviewed By**: Name of the staff member who last updated the background investigation information.

- **Last Reviewed On**: Date on which the background investigation information last was updated.

- **State**: Two-letter code abbreviation of the state to which the appointment request was submitted.

- **License Type**: Type of license that was submitted.

- **Status**: Status of the related request.

- **Status Date**: Date the Status field was last updated.

- **BI Processing Instruction**: Displays the user-selected action that the system will take on an appointment request based on the results of the selected background investigation.

Background Investigations							Top
					Add New Background Investigation (record only)		
BI Firm	Investigation Types	Request Date	Status	Status Date	BI Firm Result	Review Result	
⊟ Dean and Davis Agency	Credit Check	05-01-2023	Processed	05-22-2023	Pass	Pass	Edit

Details

BI Firm Result Date	Result Details	Result Comment	Error Description	Cost Center	SIRCON Request ID	Last Reviewed By	Last Reviewed On
05-23-2023		Credit Check Passed		12345		Hall, Lauren	06-01-2023

Related Appointment Requests
Related License Applications

State	License Type	Status	Status Date	BI Processing Instruction

Submit a Background Investigation

MAINTAIN BACKGROUND INVESTIGATIONS

You have two options for maintaining background investigations:

1. Use **Submit a Background Investigation** to send the investigation request directly to a vendor.
2. Click **Add New Background Investigation (Record Only)** to record a background investigation manually to Producer Central without sending information to an external source.

⊟ Background Investigations							Top
					Add New Background Investigation (record only)		
BI Firm	**Investigation Types**	**Request Date**	**Status**	**Status Date**	**BI Firm Result**	**Review Result**	
⊞ Dean and Davis Agency	Credit Check	05-01-2023	Processed	05-22-2023	Pass	Pass	Edit
			Submit a Background Investigation				

Submit a Background Investigation

To submit a background investigation, an individual producer record must contain the following required information:

- Birth date
- SSN
- Residential address
- At least one of the following:
  - Education entry (if requesting a BI that includes verifying education)
  - Employment history entry (if requesting a BI that includes verifying employment)
  - One active license (if requesting a BI that includes verifying active licensure)

1. Click the **Submit a Background Investigation** button.

⊟ Background Investigations							Top
					Add New Background Investigation (record only)		
BI Firm	**Investigation Types**	**Request Date**	**Status**	**Status Date**	**BI Firm Result**	**Review Result**	
⊞ Dean and Davis Agency	Credit Check	05-01-2023	Processed	05-22-2023	Pass	Pass	Edit
			Submit a Background Investigation				

2. You will now see the *Submit Background Investigation* page. Select the **Cost Center** the background investigation will be charged to.

> **Note**: If no cost centers are defined for your user account, the **Cost Center** dropdown menu in the *Submit Background Investigation* section is disabled.

3. You will see a list of the BI Firms that are associated with your company. Select the **BI Firm** you want to use then click **Submit**.

Add New Background Investigation (Record Only)

Use this option to add a new record only background investigation. If you use this option, the background investigation will not be submitted to a BI firm.

1. Click the **Add New Background Investigation (record only)** button.

2. Fill out information in the fields below. You don't need to fill out all the information, just maintain the fields you need.
    *   **BI Firm Name**: *Required*. Enter the name of the background investigation firm to which a BI request was submitted or from which BI results were returned.
    *   **Request Date**: *Required*. Enter the date on which the BI was requested. Use the MMDDYYYY date format. Or click the **Calendar** button (📅) to open a popup calendar from which you can click to select a date. Must be on or before the **Status Date**.
    *   **BI Status**: *Required*. From the dropdown menu, select a value representing the current status of the BI request (e.g., BI Firm is Processing Request, Error, Processed, Pending Submission, Submitted).
    *   **Status Date**: *Required*. Enter the date on which the value of the **BI Status** field last was updated. Use the MMDDYYYY date format. Or click the **Calendar** button (📅) to open a popup calendar from which you can click to select a date.

- **BI Result**: From the dropdown menu, select a value representing the result of the BI as reported by the BI firm (e.g., Fail, Pass, Review).
- **BI Result Date**: Required if a value is entered for **BI Result**. Enter the date on which the value of the **BI Result** field last was updated. Use the MMDDYYYY date format or click the **Calendar** button (📅) to open a popup calendar from which you can click to select a date. Must be on or after the **Status Date**.
- **Review Result**: From the dropdown menu, select a value representing the result of your company's internal review of the BI results (e.g., Fail, Pass, Review).
- **Result Details URL**: Enter the web address of the BI firm's website, where an authorized user may log in to review detailed BI results. Enter the address using the full, standard URL formatting (e.g., http://www.vertafore.com).
- **Result Comment**: Enter a free-form text comment.
- **Cost Center**: From the dropdown menu, select a cost center to assign the fees for the background investigation transaction.
- **BI Types**: *At least one required*. Click to checkmark one or multiple checkboxes to select specific background investigation types to record for the select producer.

3. Click **Save** to add the background investigation.

4. You can now see the background investigation appear on the producer record.

Background Investigations							Top
					Add New Background Investigation (record only)		
BI Firm	**Investigation Types**	**Request Date**	**Status**	**Status Date**	**BI Firm Result**	**Review Result**	
⊞ Employment Agency	Employment Verification	05-01-2023	BI Firm is Processing Request	06-01-2023			**Edit**
⊞ Dean and Davis Agency	Credit Check	05-01-2023	Processed	05-22-2023	Pass	Pass	**Edit**
			Submit a Background Investigation				

Business Units

Business units are used to group producers (both individuals and agencies) into logical or physical divisions for easier tracking, maintenance, and reporting. Business units are required to complete several transactions in Producer Central (such as Appointments and License Applications).

Use the **Business Units** data section of a producer record to review a producer's assignment to one or multiple business divisions, segments, distribution channels, or geographic locations in your organization.

You can assign producers into multiple business units depending on the business needs. A business unit may also contain more granular divisions, or sub-codes.

> **Note**: If you don't want to create multiple business units, you can use the "DEFAULT" business unit.

BUSINESS UNIT EXAMPLES

Product Line

Business Unit Name	Business Unit Short Name
Property & Casualty	PC
Accident	ACC
Life	LIFE
Annuities	ANN

Geographic Locations

Business Unit Name	Business Unit Short Name
Northeast	NE
South	STH
Northwest	NW
Midwest	MW

Distribution Channels

Business Unit Name	Business Unit Short Name
Captive Agent	CAGT
Direct Agent	DAGT
Captive Agency	CAGY
Direct Agency	DAGY

⊟ Business Units   Top

BU Name	Status	Begin Date	End Date	Cost Center
DEFAULT	Active	05-25-2023		
PC	Active	06-01-2023		
		Add/Update Business Unit		

The **Business Units** data section includes the following fields and controls:

- **BU Name**: Business unit short name.
- **Status**: Business unit's status, either Active or Inactive.
- **Begin Date**: Date on which its status most recently became Active.
- **End Date**: Date on which its status most recently became Inactive.
- **Cost Center**: Business unit's associated cost center.

BU Name	Status	Begin Date	End Date	Cost Center
DEFAULT	Active	05-25-2023		
PC	Active	06-01-2023		

Business Units — Top — Add/Update Business Unit

MAINTAIN BUSINESS UNITS / COST CENTERS

A producer will need to have at least one business unit assigned to them to create appointments and license applications.

1. To assign a business unit to a producer, click **Add/Update Business Unit**.

BU Name	Status	Begin Date	End Date	Cost Center
DEFAULT	Active	05-25-2023		
PC	Active	06-01-2023		

Business Units — Top — Add/Update Business Unit

2. You will now see the *Maintain Producer Business Unit* page.

Maintain Producer Business Unit

EASLEY, CORA Unrated   Search Producer

External System ID	Active BU	NPN	Resident State/License	Additional States/Licenses
	DEFAULT	1000000028	VA / 736178	⊞ AZ / 1000000005

Current Business Units   Add a New Business Unit

Name	Status	Begin Date	End Date	Default	Cost Center	Actions
DEFAULT	Active	05-25-2023		☑		✏

Key: ✏ = Edit Producer Business Unit

Return

Add a New Business Unit

1. To add a new business unit, click the **Add a New Business Unit** button.

Maintain Producer Business Unit

EASLEY, CORA Unrated   Search Producer

External System ID	Active BU	NPN	Resident State/License	Additional States/Licenses
	DEFAULT	1000000028	VA / 736178	⊞ AZ / 1000000005

Current Business Units   Add a New Business Unit

Name	Status	Begin Date	End Date	Default	Cost Center	Actions
DEFAULT	Active	05-25-2023		☑		✏

Key: ✏ = Edit Producer Business Unit

Return

2. Choose the **Name** of the Business Unit you want to add from the drop-down list.
3. Click **Save** or **Save and Return**.

Edit an Existing Business Unit

1. To edit an existing business unit, click the **Edit** button (✏).
2. Update the business unit **Name**, **Status**, and **Cost Center**.
3. Click **Save** or **Save and Return**.

![Vertafore logo]

Section: Review & Maintain Producer Records

Locations and Departments

Use the **Locations and Departments** data section of a producer record to review information about an individual producer's location and department assignments, established according to the structure of your company's organization chart or the producer's authorization start date.

Under the **Active** section, you will see the following fields:

- **Location**: Producer's active location assignments.
- **Department**: Producer's active department assignments.
- **Begin Date**: Date on which the producer was actively assigned to the location/department.
- **Actions**: Displays options to modify the existing locations/departments.
- **Edit Dates** (✏): Click to update the **Begin Date** of an active assignment. Once you update the date, click the **Save Changes** button (✅).
- **Inactivate** (🔴): Click to inactivate an active assignment. A separate pop-up window will open with the details of the location/department assignment. In the **End Date** field, enter the date on which the assignment became inactive, and then click the **Inactivate** button. The popup window will close, and the assignment will display in the Inactive sub-section.

Under the **Inactive** section, you will see these fields:

- **Location**: Producer's inactive location assignments.
- **Department**: Producer's inactive department assignments.
- **Begin Date**: Date on which the producer was actively assigned to the location/department.
- **End Date**: Date that the location/department became inactive.
- **Actions**: Displays options to modify the existing locations/departments.
  - **Edit Dates** (✏): Click to update the **Begin Date** or the **End Date** of an inactive assignment. Once you modify the dates, click the **Save Changes** button (✅).

- **Reactivate** (⊕): Click to reactivate an inactive assignment. The reactivated assignment will disappear from the Inactive sub-section and appear in the **Active** sub-section.

⊟ Locations and Departments   Top

Add New Locations and Departments

Active

Location	Department	Begin Date		Actions
New York	Sales	05-01-2022		✏ 🔴
Norfolk VA	Sales	05-01-2023		✏ 🔴

Actions: ✏ Edit Dates   🔴 Inactivate   ✅ Save Changes   ❌ Cancel

Inactive

Location	Department	Begin Date	End Date	Actions
Chicago	Service	06-02-2023	06-02-2023	✏ ⊕

Actions: ✏ Edit Dates   ⊕ Reactivate   ✅ Save Changes   ❌ Cancel

---

MAINTAIN LOCATIONS AND DEPARTMENTS

Add New Locations and Departments

1. To assign a producer to a new location and/or department, click **Add New Locations and Departments**.

⊟ Locations and Departments   Top

Add New Locations and Departments

Active

Location	Department	Begin Date	Actions
New York	Sales	05-01-2022	✏ 🔴
Norfolk VA	Sales	05-01-2023	✏ 🔴

Actions: ✏ Edit Dates   🔴 Inactivate   ✅ Save Changes   ❌ Cancel

Inactive

---

2. Click to highlight the assignment you want to add.
3. In the selected assignment's **Begin Date** field, enter the date on which the assignment became active, using the MM-DD-YYYY date format or click the **Calendar** button (🗓) to open a popup calendar from which you can click to select a date.
4. Click the **Add Selected Locations and Departments** button to activate the assignment.

⊟ Locations and Departments   Top

Add New Locations and Departments
Click or drag to select. Press CTRL and click to select multiples.

Location	Department	Begin Date	
Chicago	Sales	06-02-2023 🗓	
Detroit	Sales	06-02-2023 🗓	
Detroit	Service	06-02-2023 🗓	
Los Angeles	Sales	06-02-2023 🗓	

Add Selected Locations and Departments   Cancel

Active

Location	Department	Begin Date	Actions
New York	Sales	05-01-2022	✏ 🔴
Norfolk VA	Sales	05-01-2023	✏ 🔴

Actions: ✏ Edit Dates   🔴 Inactivate   ✅ Save Changes   ❌ Cancel

---

5. The assignment will appear in the **Active** sub-section. To cancel adding an assignment, click the **Cancel** button (❌).

Inactivate Location

1. Click the **Inactivate** button (🔴) next to the location in the **Actions** column.

2. Enter the **End Date** using the MM-DD-YYYY format or click the **Calendar** (📅) button to select a date.
3. Click the **Inactivate** button.

4. The location and department you selected is now in the **Inactive** section.

Reactivate a Location and Department

1. Click the **Reactivate** button (⊕) next to the appointment you want to add.

2. You will now see the location/department appear in the **Active** column.

Note: The **Locations and Departments** data section is available on individual producer records only.

Depending on how the system is configured, you may record a location without a related department, or vice versa.

Location and department values are configurable by a user with administrative permissions. For more information, refer to the Administration quick guide.

Costs

Use the **Costs** data section of a producer record to review an ongoing list of the transactions, services, and fees expended to maintain the producer's compliance and maintenance of the producer's record.

Transaction Id	Transaction Date	State	Service Type	Residency	Sircon Fee	State Fee
3832551	06-30-2011	AK	License Application	NON	$8.55	
3832552	06-30-2011	AK	License Application	NON	$8.55	$25.00
3832553	06-30-2011	AK	License Application	NON	$8.55	$100.00
3832555	06-30-2011	AL	License Application	NON	$8.55	$60.00
3832554	06-30-2011	AL	License Application	NON	$8.55	$100.00
3831895	06-30-2011		Background Investig. Process.		$0.95	
3831896	06-30-2011		Background Investig. Process.		$0.95	
3831894	06-30-2011		Background Investig. Process.		$0.95	
3832188	06-30-2011		Background Investig. Process.		$0.95	

The **Costs** data section displays a table showing the expenditures associated with the selected producer. By default, expenditures are sorted alphabetically by **Transaction Date**, with the most recent expenditures first. Fields in the **Costs** section include:

- **Transaction ID**: For each expenditure listed, displays its Sircon transaction or confirmation identifier.

- **Transaction Date**: Date on which the expenditure was made.

- **State**: Name of the state associated with the expenditure. For non-state related expenditures, no state name is displayed.

- **Service Type**: Type of transaction or service for which the expenditure was incurred. May include the following transactions or service types:

  - Agency Status Inquiry

  - Appointment Processing

  - Appointment Terminations

  - Background Investigation Processing

  - CE Continuance

  - Individual Appointment Inquiry

  - Individual License Renewal

  - Individual Status Inquiry

  - Individual Letter of Certification

  - License Application

- **Residency**: Displays RES if the expenditure to obtain or maintain a resident license or NON if the expenditure was to obtain or maintain a non-resident license.

- **Sircon Fee**: Sircon fee for processing the transaction or service.

- **State Fee**: Displays the state transaction fee. For non-state related expenditures, no state fee is displayed.

> **Note**: You can click a column heading to re-sort the table by the selected information category. Click a column heading once to sort the table in ascending order by that category and click it again to re-sort the table in descending order by that category.

☐ **Costs**   Top

Transaction Id	Transaction Date	State	Service Type	Residency	Sircon Fee	State Fee
3832551	06-30-2011	AK	License Application	NON	$8.55	
3832552	06-30-2011	AK	License Application	NON	$8.55	$25.00
3832553	06-30-2011	AK	License Application	NON	$8.55	$100.00
3832555	06-30-2011	AL	License Application	NON	$8.55	$60.00
3832554	06-30-2011	AL	License Application	NON	$8.55	$100.00
3831895	06-30-2011		Background Investig. Process.		$0.95	
3831896	06-30-2011		Background Investig. Process.		$0.95	
3831894	06-30-2011		Background Investig. Process.		$0.95	
3832188	06-30-2011		Background Investig. Process.		$0.95	

Fees associated with a lookup of a producer's record on the national Producer Database (PDB), such as through an automated data reconciliation, are **not tracked** in the Costs data section. However, they are reported on the **Producer Costs Inquiry**. For more information, refer to the Reporting quick guide.

Education Credentials (Individual Licensee Only)

An active education credential is a signal that a producer currently fulfills the basic requirements necessary to be eligible to represent a particular line of business in a given state.

Use the **Education Credentials** data section of a producer record to review information about a producer's current and past education credentials. The Education Credentials data section displays information only; it updates automatically based on a producer's license status or completion of specific education or training coursework.

⊟ Education Credentials   Top

Active Credentials

	Regulatory Body	Credential Name	Status	Start Date	End Date
⊞	Internal	Lansing Mutual AML Training Credential	Active	05-29-2023	05-29-2025

Inactive Credentials

	Regulatory Body	Credential Name	Status	Start Date	End Date
⊞	Arizona	Arizona LTC Credential	N/A	05-07-2023	
⊞	California	California Annuity Credential	Inactive	01-26-1999	
⊞	California	California LTC Credential	Inactive	01-26-1999	
⊞	Colorado	Colorado LTC Credential	N/A	03-31-2014	
⊞	Florida	Florida LTC Credential	Inactive	10-24-2017	
⊞	Idaho	Idaho LTC Credential	Inactive	10-27-2009	
⊞	Maine	Maine LTC Credential	Inactive	08-12-2017	
⊞	Maryland	Maryland LTC Credential	Inactive	07-01-1985	
⊞	New Jersey	New Jersey LTC Credential	Inactive	08-18-2015	
⊞	North Carolina	North Carolina LTC Credential	Inactive	08-18-2015	
⊞	Ohio	Ohio LTC Credential	Inactive	05-01-2023	
⊞	Pennsylvania	Pennsylvania LTC Credential	Inactive	04-06-2010	
⊞	Tennessee	Tennessee LTC Credential	N/A	03-31-2018	
⊞	Virginia	Virginia LTC Credential	Inactive	07-01-1979	
⊞	Washington	Washington LTC Credential	Inactive	06-01-2018	

You can see all the active and inactive education credentials. The fields displayed in education credentials are:

- **Regulatory Body**: Name of the regulatory or oversight entity to which the credential applies. The range of values is configured by a user with administrative permissions on the Add Credential page.

- **Credential Name**: Name of the credential. This field is configured by a user with administrative permissions on the **Add Credential** page.

- **Status**: Producer's status with regard to the education credential. The value is updated automatically based on the ongoing status of the producer's applicable state license and qualifications (LOAs) and the producer's continuing fulfillment of a credential program, consisting of product-specific training coursework. Values include the following:

  - **Active**: The producer's licensure and coursework currently support the education credential.

- - **Inactive**: The producer's licensure makes the producer eligible for the education credential, but the producer has not fulfilled the supporting coursework.
  - **N/A**: The producer is no longer eligible for the education credential, because he or she no longer holds the necessary licensure, the supporting coursework is no longer valid, or both.
- **Start Date**: Displays the first date of the period during which the associated Status was effective.

Click the **Expand** button (⊞) next to education credential to see the status change history. You will now be able to see information in the following fields:

Education Credentials

Top

Active Credentials

Regulatory Body	Credential Name	Status	Start Date	End Date
Nothing found to display.				

Inactive Credentials

Regulatory Body	Credential Name	Status	Start Date	End Date
⊞ Arizona	Arizona LTC Credential	N/A	05-07-2023	
⊞ California	California Annuity Credential	Inactive	01-26-1999	
⊞ California	California LTC Credential	Inactive	01-26-1999	
⊞ Colorado	Colorado LTC Credential	N/A	03-31-2014	
⊞ Florida	Florida LTC Credential	Inactive	10-24-2017	
⊞ Idaho	Idaho LTC Credential	Inactive	10-27-2009	
⊞ Maine	Maine LTC Credential	Inactive	08-12-2017	
⊞ Maryland	Maryland LTC Credential	Inactive	07-01-1985	
⊞ New Jersey	New Jersey LTC Credential	Inactive	08-18-2015	
⊞ North Carolina	North Carolina LTC Credential	Inactive	08-18-2015	
⊞ Ohio	Ohio LTC Credential	Inactive	05-01-2023	
⊞ Pennsylvania	Pennsylvania LTC Credential	Inactive	04-06-2010	
⊞ Tennessee	Tennessee LTC Credential	N/A	03-31-2018	
⊞ Virginia	Virginia LTC Credential	Inactive	07-01-1979	
⊞ Washington	Washington LTC Credential	Inactive	06-01-2018	

- **End Date**: Displays the last date of the period during which the associated Status was effective. An education credential with a Status of Active will not display a value.

Education Credentials

Top

Active Credentials

Regulatory Body	Credential Name	Status	Start Date	End Date
Nothing found to display.				

Inactive Credentials

Regulatory Body	Credential Name	Status	Start Date	End Date
⊞ Arizona	Arizona LTC Credential	N/A	05-07-2023	
⊞ California	California Annuity Credential	Inactive	01-26-1999	
⊟ California	California LTC Credential	Inactive	01-26-1999	
		N/A	01-01-1900	01-25-1999
⊞ Colorado	Colorado LTC Credential	N/A	03-31-2014	
⊞ Florida	Florida LTC Credential	Inactive	10-24-2017	
⊞ Idaho	Idaho LTC Credential	Inactive	10-27-2009	
⊞ Maine	Maine LTC Credential	Inactive	08-12-2017	

> **Note**: The system automatically calculates and inserts the values of the **Status**, **Start Date**, and **End Date** fields, based on events concerning a producer's licenses or course completions.
>
> Most states require a producer to hold an appointment by the carrier that is underwriting a policy or issuing a product that the producer is soliciting or selling. A producer's active education credential together with an active appointment (where required) can be interpreted to mean that the producer is fully carrier-authorized to sell a product line in a particular state.

Course Completions (Individual Licensees Only)

An individual producer is compelled to take and earn credit for various education or training courses, either as a regulatory requirement for obtaining and maintaining an insurance license or to qualify to solicit or sell specific product lines.

Product-specific or business-conduct coursework may be required by federal or state regulators or by an insurance carrier with which a producer is employed or contracted.

Use the **Course Completions** data section of a producer record to review and maintain information about a producer's education or training courses and credits.

Course Completions									Top
Course Name	Provider Name	Provider Subscriber ID	Provider Course ID	Category	Subcategory	Regulatory Body	Credit Hours	Completion Date	Document Reference
Lansing Mutual AML Training	Lansing Mutual	25647	AML0001	AML Certification		Internal	1.0	05-29-2023	
One course completion found.									
				Add/Delete Course Completions					

The Course Completions data section includes the following fields and controls:
- **Course Name**: Name of the education or training course.
- **Provider Name**: Name of the organization or person that delivered the education or training course.
- **Provider Subscriber ID**: Education provider's Vertafore subscriber account number, when applicable.
- **Provider Course ID**: Identifier that the education provider has assigned to the course, when applicable.
- **Category**: Education type or grouping of the course.
- **Subcategory**: Sub-type grouping of the course, such as initial or ongoing.
- **Regulatory Body**: Regulatory or oversight entity that compelled the producer to take and earn credit for the course.
- **Credit Hours**: Number of whole and/or partial hours for which the producer has earned credit for completing the course.
- **Completion Date**: Date on which the producer completed the course.

- **Document Reference**: Identifier for the documentation certifying that the producer completed the course. May be used to link the course completion to a file in an internal document imaging system.

⊟ Course Completions									Top
Course Name	**Provider Name**	**Provider Subscriber ID**	**Provider Course ID**	**Category**	**Subcategory**	**Regulatory Body**	**Credit Hours**	**Completion Date**	**Document Reference**
Lansing Mutual AML Training	Lansing Mutual	25647	AML0001	AML Certification		Internal	1.0	05-29-2023	
Selling Annuities at Lansing Mutual Training	Lansing Mutual Internal	8279823	30874938247	Annuity Training - Initial	Initial		2.0	05-15-2023	
Selling P&C at Lansing Mutual	Lansing Mutual Internal	8279823	7623459	Property/Casualty	Ongoing	Florida	3.0	06-01-2023	Course Completion Certificate_Easley

3 course completions found, displaying all course completions.

Add/Delete Course Completions

MAINTAIN COURSE COMPLETIONS

There are two options within the course completions section:

- Delete Course Completions
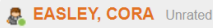- Add New Course Completions

Delete Course Completions

1. Click **Add/Delete Course Completions**.

⊟ Course Completions									Top
Course Name	**Provider Name**	**Provider Subscriber ID**	**Provider Course ID**	**Category**	**Subcategory**	**Regulatory Body**	**Credit Hours**	**Completion Date**	**Document Reference**
Lansing Mutual AML Training	Lansing Mutual	25647	AML0001	AML Certification		Internal	1.0	05-29-2023	
Selling Annuities at Lansing Mutual Training	Lansing Mutual Internal	8279823	30874938247	Annuity Training - Initial	Initial		2.0	05-15-2023	
Selling P&C at Lansing Mutual	Lansing Mutual Internal	8279823	7623459	Property/Casualty	Ongoing	Florida	3.0	06-01-2023	Course Completion Certificate_Easley

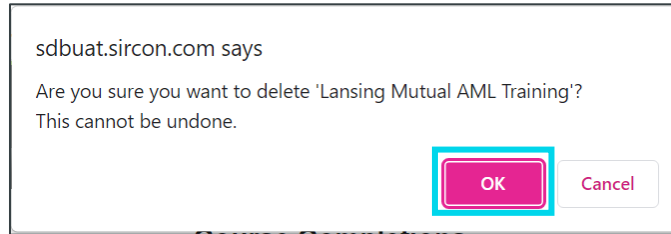3 course completions found, displaying all course completions.

Add/Delete Course Completions

2. Click the **Delete** button (✖) to remove a course completion from the producer record.

Course Completions

👤 **EASLEY, CORA** Unrated   **Search Producer**

External System ID	**Active BU**	**NPN**	**Resident State/License**	**Additional States/Licenses**
	⊞ DEFAULT	1000000028	VA / 736178	⊞ AZ / 1000000005

Add Course Completion

Course Name	**Provider**	**Provider Subscriber ID**	**Provider Course ID**	**Category**	**Subcategory**	**Regulatory Body**	**Credit Hours**	**Completion Date**	**Document Reference**	**Actions**
Lansing Mutual AML Training	Lansing Mutual	25647	AML0001	AML Certification		Internal	1.0	05-29-2023		✖
Selling Annuities at Lansing Mutual Training	Lansing Mutual Internal	8279823	30874938247	Annuity Training - Initial	Initial		2.0	05-15-2023		✖
Selling P&C at Lansing Mutual	Lansing Mutual Internal	8279823	7623459	Property/Casualty	Ongoing	Florida	3.0	06-01-2023	Course Completion Certificate_Easley	✖

Key: ✖ = Delete Course Completion

3 course completions found, displaying all course completions.

Return

3. You will receive a message asking if you are sure you want to delete the course completion. Click **OK**.

> sdbuat.sircon.com says
>
> Are you sure you want to delete 'Lansing Mutual AML Training'?
> This cannot be undone.
>
> **OK**   Cancel

4. The course will now be removed from the record.

Course Completions

👤 **EASLEY, CORA** Unrated   Search Producer

External System ID	Active BU	NPN	Resident State/License	Additional States/Licenses
	⊞ DEFAULT	1000000028	VA / 736178	⊞ AZ / 1000000005

Add Course Completion

Course Name	Provider	Provider Subscriber ID	Provider Course ID	Category	Subcategory	Regulatory Body	Credit Hours	Completion Date	Document Reference	Actions
Selling Annuities at Lansing Mutual Training	Lansing Mutual Internal	8279823	30874938247	Annuity Training - Initial	Initial		2.0	05-15-2023		✖
Selling P&C at Lansing Mutual	Lansing Mutual Internal	8279823	7623459	Property/Casualty	Ongoing	Florida	3.0	06-01-2023	Course Completion Certificate_Easley	✖

Key: ✖ = Delete Course Completion

2 course completions found, displaying all course completions.

Return

Add New Course Completion

1. Click the **Add Course Completion** button to manually add a course completion to the producer record.

Course Completions

👤 **EASLEY, CORA** Unrated   Search Producer

External System ID	Active BU	NPN	Resident State/License	Additional States/Licenses
	⊞ DEFAULT	1000000028	VA / 736178	⊞ AZ / 1000000005

Add Course Completion

Course Name	Provider	Provider Subscriber ID	Provider Course ID	Category	Subcategory	Regulatory Body	Credit Hours	Completion Date	Document Reference	Actions
Selling Annuities at Lansing Mutual Training	Lansing Mutual Internal	8279823	30874938247	Annuity Training - Initial	Initial		2.0	05-15-2023		✖
Selling P&C at Lansing Mutual	Lansing Mutual Internal	8279823	7623459	Property/Casualty	Ongoing	Florida	3.0	06-01-2023	Course Completion Certificate_Easley	✖

Key: ✖ = Delete Course Completion

2 course completions found, displaying all course completions.

Return

2. If your company maintains a course list, you can select the course from the list or you can manually enter course information.
3. If you select the course from the list, you will just need to enter the **Completion Date** and the **Document Reference** number.
4. Click **Save**.

Add Course Completions

👤 **EASLEY, CORA** Unrated   Search Producer

External System ID	Active BU	NPN	Resident State/License	Additional States/Licenses
	⊞ DEFAULT	1000000028	VA / 736178	⊞ AZ / 1000000005

STEP 1: Specify the course that was completed:

🔘 Select a course from the course list   **OR**   ⚪ Manually enter course information

	Course Name	Provider	Provider Subscriber ID	Provider Course ID	Category	Subcategory	Regulatory Body	Hours
⚪	Lansing Mutual AML Training	Lansing Mutual	25647	AML0001	AML Certification		Internal	1.0

One course found.

Always entering the same course manually? You can **add a course** to the course list.

STEP 2: Enter information about when the course was completed, and the reference to supporting documentation:

Completion Date	Document Reference
[ ] 📅	[ ]

Save   Return

---

5. If you choose to manually enter the course information, you will need to enter the following fields:
   - **Course Name**
   - **Category**
   - **Subcategory**
   - **Regulatory Body**
   - **Provider Name**
   - **Provider Subscriber ID**
   - **Provider Course ID**
   - **Hours**
   - **Completion Date**
   - **Document Reference**
6. Click **Save**.

7. You will see a message that the course completion was recorded. You will see links to view the producer record or display all the course completions for this producer.

8. When you open the course completions, you will now see the course completions in the producer record.

Third Party Certification

Whether entered manually or retrieved from an external data source through an automated data reconciliation operation, Producer Central can store certification of a producer's compliance with a state's eligibility requirements to represent a certain line of business. A certification, together with the proper licensure, can translate to fulfillment of a credential program and earn the producer an education credential.

Use the **Third-Party Certifications** data section of a producer record to review the producer's third-party education or training certification information.

⊟ **Third Party Certifications**						Top
Type	**Regulatory Body**	**Source**	**Status**	**Start Date**	**Expiration Date**	**Status Message**
Annuity Certification	Florida	Manual	Active	05-15-2023	06-02-2025	
One third party certification found.						
		Add/Update/Delete Third Party Certifications				

The Third-Party Certifications data section includes the following fields:

- **Type**: Product type or training course category associated with the certification.

- **Regulatory Body**: Regulatory jurisdiction to which the certification applies.

- **Source**: Name of the external source of the certification, such as an education provider or training credential clearinghouse. Displays Manual if the third-party certification was recorded manually on the producer's record.

- **Status**: The current status of the selected producer's attainment of the certification, either Active (has attained certification) or Inactive (has not attained or has lost certification).

- **Start Date**: Date on which certification began, based on date calculations by the certification Source. If manually added to the producer's record, the date on which the certification began will be displayed.

- **Expiration Date**: For each third-party certification listed, the date on which the certification expires or expired is displayed, based on date calculations by the certification Source.

- **Status Message**: For each third-party certification listed, a message returns the certification Status from the certification source, This is also based on date calculations by the certification Source.

⊟ **Third Party Certifications**						Top
Type	**Regulatory Body**	**Source**	**Status**	**Start Date**	**Expiration Date**	**Status Message**
Annuity Certification	Florida	Manual	Active	05-15-2023	06-02-2025	
One third party certification found.						
		Add/Update/Delete Third Party Certifications				

MAINTAIN THIRD PARTY CERTIFICATIONS

You can add, edit, or delete third party certifications.

1. Click the **Add/Update/Delete Third Party Certification**.

⊟ **Third Party Certifications**						Top
Type	**Regulatory Body**	**Source**	**Status**	**Start Date**	**Expiration Date Status Message**	
Annuity Certification	Florida	Manual	Active	05-15-2023	06-02-2025	
One third party certification found.						
			Add/Update/Delete Third Party Certifications			

2. You will now see the *Maintain Third Party Certifications* page.

Add Third Party Certification

1. Click the **Add Third Party Certification** button.

<div>

Maintain Third Party Certifications

👤 **EASLEY, CORA** Unrated   Search Producer

External System ID	**Active BU**	**NPN**	**Resident State/License**	**Additional States/Licenses**
	⊞ DEFAULT	1000000028	VA / 736178	⊞ AZ / 1000000005

                                                                                          Add Third Party Certification

↓**Type**	**Regulatory Body**	**Source**	**Status**	**Start Date**	**Expiration Date** **Status Message**	**Actions**
Annuity Certification	Florida	Manual	Active	05-15-2023	06-02-2025	✏️❌
Key: ✏️ = Edit Certification ❌ = Delete Certification						

</div>

2. Enter information into the following fields:
   - **Certification Type**
   - **Regulatory Body**
   - **Start Date**
   - **Expiration Date**
   - **Status Message**

3. Click **Save** to submit the certification details.

<div>

Add Third Party Certification   ✕

Certification Type:	**Regulatory Body:**	**Source:**
Pre-Lic Ins Agy Administration ▾	Ohio ▾	Manual ▾

Status:	**Start Date:**	**Expiration Date:**
Active ▾	06-01-2023 📅	📅

Status Message:

Completed

                                                        Save   Cancel

</div>

4. You will now see the certification on the record.

Edit Third Party Certification

1. Click the **Edit** button (✏) to modify the third-party certification details.

2. Edit the necessary details then click the **Save** button.

Delete Third Party Certification

1. Click the **Delete** button (✖) to remove a certification from the producer's record.

Maintain Third Party Certifications

👤 **EASLEY, CORA** Unrated   Search Producer

External System ID	Active BU	NPN	Resident State/License	Additional States/Licenses
	⊞ DEFAULT	1000000028	VA / 736178	⊞ AZ / 1000000005

Add Third Party Certification

↓Type	Regulatory Body	Source	Status	Start Date	Expiration Date	Status Message	Actions
Annuity Certification	Florida	Manual	Active	05-15-2023	06-02-2025		✏️✖
Pre-Lic Ins Agy Administration	Ohio	Manual	Active	06-01-2023		Completed	✏️✖

Key: ✏️ = Edit Certification ✖ = Delete Certification

2 third party certifications found, displaying all third party certifications.

Return

---

2. You will receive a message asking if you are sure you want to delete the certification. Click **OK**.

---

sdbuat.sircon.com says

Are you sure you want to delete this certification?
This cannot be undone.

OK   Cancel

---

3. The certification will be removed from the producer record.

Maintain Third Party Certifications

👤 **EASLEY, CORA** Unrated   Search Producer

External System ID	Active BU	NPN	Resident State/License	Additional States/Licenses
	⊞ DEFAULT	1000000028	VA / 736178	⊞ AZ / 1000000005

Add Third Party Certification

↓Type	Regulatory Body	Source	Status	Start Date	Expiration Date	Status Message	Actions
Annuity Certification	Florida	Manual	Active	05-15-2023	06-02-2025		✏️✖

Key: ✏️ = Edit Certification ✖ = Delete Certification

One third party certification found.

Return

Section: Review & Maintain Producer Records

License Applications

Use the **License Applications** data section to review the status of license applications that were submitted to states electronically from Producer Central on behalf of the producer.

You also can review license applications that have been submitted outside of Producer Central if they were recorded on the producer's record.

License Applications				Top
				Add New License Applications
State	License Type	Status	Status Date	Responsible Staff Member
Illinois	Insurance Producer	Pending - State Approval	06-01-2023	Lauren Hall
		Update/Delete License Applications		

The License Applications data section includes the following fields:

- **Add New License Applications**: Click to open the Record License Applications page, where you can manually add license application information to the selected producer record.

- **State**: Name of the regulatory jurisdiction to which it was submitted.

- **License Type**: State-specific license class that was applied for.

- **Status**: The current status in the submission and/or state response process.

- **Status Date**: Date on which the value of the Status field last was updated.

- **Responsible Staff Member**: Name of the staff member who submitted or recorded the license application.

License Applications				Top
				Add New License Applications
State	License Type	Status	Status Date	Responsible Staff Member
Illinois	Insurance Producer	Pending - State Approval	06-01-2023	Lauren Hall
		Update/Delete License Applications		

MAINTAIN LICENSE APPLICATION

There are two different options to maintain license applications:

1. **Add New License Applications** – Use this option to manually add a license application to the producer record. When you use this option, a license application **will not** be sent to the state. This is just used to create a record within the producer record.

2. **Update/Delete License Applications** – Use this option to view the status of a license application submitted electronically through Producer Central. You can also use this option to update information about a license application that was submitted externally to Producer Central but manually recorded on the producer's record.

Add New License Applications

1. Click the **Add New License Applications** button.

License Applications					Top
					Add New License Applications
State	**License Type**	**Status**	**Status Date**	**Responsible Staff Member**	
Illinois	Insurance Producer	Pending - State Approval	06-01-2023	Lauren Hall	
		Update/Delete License Applications			

2. Select the **State**, or states, where you need to submit license applications.
3. Click **Next**.

Record License Applications

👤 **EASLEY, CORA** Unrated   **Search Producer**

External System ID	Active BU	NPN	Resident State/License	Additional States/Licenses
	⊞ DEFAULT	1000000028	VA / 736178	⊞ AZ / 1000000005

Select the states for which you wish to add license applications.

States

☐ Alabama	☐ Illinois	☐ Montana	☐ Rhode Island
☐ Alaska	☐ Indiana	☐ Nebraska	☐ South Carolina
☐ Arizona	☐ Iowa	☐ Nevada	☐ South Dakota
☐ Arkansas	☐ Kansas	☑ New Hampshire	☐ Tennessee
☐ California	☐ Kentucky	☐ New Jersey	☐ Texas
☐ Colorado	☐ Louisiana	☐ New Mexico	☐ Utah
☐ Connecticut	☐ Maine	☐ New York	☐ Vermont
☐ Delaware	☐ Maryland	☐ North Carolina	☐ Virginia
☐ District of Columbia	☐ Massachusetts	☐ North Dakota	☐ Washington
☐ Florida	☐ Michigan	☐ Ohio	☐ West Virginia
☐ Georgia	☐ Minnesota	☐ Oklahoma	☐ Wisconsin
☐ Hawaii	☐ Mississippi	☐ Oregon	☐ Wyoming
☐ Idaho	☐ Missouri	☐ Pennsylvania	

[Select All States] [Unselect All States]

[Next] [Return]

4. Select the **Responsible Staff Member** from the dropdown list. The value will default to your name.
5. For each state, click the check box next to the **License Type** you need to add.
6. Under the license type, enter the **License Number** and select the **Qualifications** to add to the license.

> **Note**: If the user is already licensed in the state, click the **Already Licensed** check box.

7. Update the license **Application Status** and **Status Date**.
8. Click **Save**.

9. You will receive a message that license applications were recorded for the producer. Click the **review this produce**r hyperlink to return to the producer record.

10. You can now see the license application record was added successfully.

Update/Delete License Applications

1. Click the **Update/Delete License Applications** button.

2. To edit a license application, click the **Edit** button.

3. In the **Update License Application** section, modify any fields that you need to update then click **Save**.

> **Note**: The Status of a license application submitted electronically through Producer Central is updated automatically with the initial state response. The state may issue a separate response to each related qualification (LOA) request; they are viewable in the License Applications section of the Maintain License Applications page.
>
> In most instances, once a license application that was submitted electronically through Producer Central is approved by a state, the Licenses/Qualifications data section on the affected producer record is updated automatically with the new license and qualification information.

4. To delete a record only license application, click the checkmark next to the application then click **Delete**.

Maintain License Applications

👤 **EASLEY, CORA** Unrated   Search Producer

External System ID	Active BU	NPN	Resident State/License	Additional States/Licenses
	⊞ DEFAULT	1000000028	VA / 736178	⊞ AZ / 1000000005

License Applications   Add New Application

	Delete	State	License Type	License Number	Status	Status Date	Expiration Date	Already Licensed	
⊞	☑	Illinois	Insurance Producer	879332423	Pending - State Approval	06-01-2023		☐	Edit
⊞	☐	New Hampshire	Adjuster	987239	Approved	06-01-2023		☐	Edit

Delete   Return

Update License Application   Clear

State	License Type	☐ Already Licensed
⌄	⌄	
Status	**Status Date**	☐ Copy Received
Approved ⌄	📅	
License Number	**Expiration Date**	**Responsible Staff Member**
	📅	⌄

     Save   Return

5. The license application will be removed from the producer record.

⊟ **License Applications**   Top

     Add New License Applications

State	License Type	Status	Status Date	Responsible Staff Member
New Hampshire	Adjuster	Approved	06-01-2023	Lauren Hall

Update/Delete License Applications

Comments

Use the **Comments** section to add and maintain notes on the producer record. This section allows you to record remarks, staff internal notes, or miscellaneous information about a producer.

The fields that are available in the comments section are:

- **Date**: Date the comment was first added to the record.
- **Last Modified Date**: Date the comment was last updated.
- **Comment**: Displays the contents of the comment.

Comments			Top
Date	**Last Modified Date**	**Comment**	
06-01-2023	06-01-2023	Producer is a top seller of annuities in Virginia.	
06-01-2023	06-01-2023	Producer is based in Virginia with the Dean & Davis Agency. Top seller in P&C product line.	
		Add/Update/Delete Comments	

MAINTAIN COMMENTS

1. Click the **Add/Update/Delete Comments** button to maintain the comments.

Comments			Top
Date	**Last Modified Date**	**Comment**	
06-01-2023	06-01-2023	Producer is a top seller of annuities in Virginia.	
06-01-2023	06-01-2023	Producer is based in Virginia with the Dean & Davis Agency. Top seller in P&C product line.	
		Add/Update/Delete Comments	

Add a Comment

1. To add a new comment, click the **Add New Comment** button.
2. In the Add/Update field. Enter the details into the **Comment** field.
3. Click **Save** or click **Save and Return** to save the information and return to the producer record.

Maintain Comments

👤 **EASLEY, CORA** Unrated   **Search Producer**

External System ID	**Active BU**	**NPN**	**Resident State/License**	**Additional States/Licenses**
	⊞ DEFAULT	1000000028	VA / 736178	⊞ AZ / 1000000005

Current Comments   **Add New Comment**

Delete	Date	Last Modified Date	Comment	
☐	06-01-2023	06-01-2023	Producer is based in Virginia with the Dean & Davis Agency. Top seller in P&C product line.	✏️

[Delete]   [Return]

Add/Update Comment

Date	06-01-2023
Last Modified Date	06-01-2023
Comment	Producer is a top seller of annuities in Virginia.

Clear

[Save] [Return] [Save and Return]

![Vertafore logo]

Section: Review & Maintain Producer Records

Edit a Comment

1. To edit an existing comment, click the **Edit** button next to the comment you want to modify.
2. The current comment will appear in the **Add/Update Comment** section.
3. Update the **Comment** details. The **Last Modified Date** will automatically update to the current date.
4. Click **Save** or click **Save and Return** to save the information and return to the producer record.

Delete a Comment

1. To delete a comment, click the checkbox next to the comment you want to modify then click the **Delete** button.

2. The comment will be removed from the producer record.

Maintain Comments

  EASLEY, CORA Unrated   Search Producer

External System ID	Active BU	NPN	Resident State/License	Additional States/Licenses
	⊞ DEFAULT	1000000028	VA / 736178	⊞ AZ / 1000000005

Current Comments   **Add New Comment**

Delete	Date	Last Modified Date	Comment	
☐	06-01-2023	06-06-2023	Producer is based in Virginia with the Dean & Davis Agency.	✎

Delete   Return

Add/Update Comment

Date	06-06-2023
Last Modified Date	06-06-2023
Comment	

Clear

Save Return Save and Return

Transaction History

Use the **Transaction History** data section to review a log of the producer's Producer Express onboarding or maintenance transaction requests.

1. **PX Transaction ID**: Displays the Producer Express request ID number, a unique and searchable identifier assigned by Producer Express to every request record created in the system.
2. **Transaction Type**: Displays the request or packet type.
3. **Status**: Displays the status of the request in Producer Express (e.g., Processed, Open, Pending, Error, User Closed).
4. **Last Modified Date**: Displays the date and time at which the request achieved its most recent milestone in Producer Express.
5. **Custom Tracking ID**: Displays the customer-assigned tracking identifier.

⊟ **Transaction History**   Top

PX Transaction ID	Status	Last Modified Date	Transaction Type	Custom Tracking ID
No Results				

No producer requests found.

Professional Liability

Use the **Professional Liability** data section of a producer record to review information about a producer's professional liability coverage, such as errors and omissions (E&O) insurance or bonds insurance.

⊟ Professional Liability						Top
						Add/Update/Delete Professional Liability
Type	**Company**	**Policy Number**	**Coverage Period**	**Per-Incident Coverage**	**Total Coverage**	**# of Exclusions**
⊞ E&O Policy	Progressive Test Company	22453	05-01-2022 to 06-02-2025	$500,000.00	$2,000,000.00	*None*
						View 1 - 1 of 1

Fields that are included in the professional liability insurance section are:

- **Type**: Displays the type of professional liability coverage, either E&O Policy or Bond, held by the selected producer.
- **Company**: Name of the company issuing the producer's professional liability coverage.
- **Policy Number**: Policy number of the producer's professional liability coverage.
- **Coverage Period**: Beginning date and the ending date of the effective period of the producer's professional liability coverage.
- **Per-Incident Coverage**: The limit in dollars and cents payable per claim or incident under the producer's professional liability coverage. Note that a Bond coverage type does not typically have a per-incident coverage amount.
- **Total Coverage**: Aggregate limit in dollars and cents payable during the effective period under the producer's professional liability coverage.
- **# of Exclusions**: Displays the sum of types of claims specifically excluded under the terms of the producer's professional liability coverage.

Click the **Expand** button (⊞) to see more information about Exclusions and Audits.

⊟ Professional Liability						Top
						Add/Update/Delete Professional Liability
Type	**Company**	**Policy Number**	**Coverage Period**	**Per-Incident Coverage**	**Total Coverage**	**# of Exclusions**
⊞ E&O Policy	Progressive Test Company	22453	05-01-2022 to 06-02-2025	$500,000.00	$2,000,000.00	*None*
						View 1 - 1 of 1

You will now see the following information:

- **Exclusions**: Description and system code of types of claims specifically excluded under the terms of the producer's professional liability coverage. If the coverage includes no exclusions, displays "None."
- **Added By**: Name of the staff member responsible for adding the professional liability coverage to the system.
- **Updated By**: Name of the staff member responsible for the most recent update of the professional liability coverage information.

Note: In cases where the professional liability coverage information was added through integration with Producer Central, the **Added By/Updated By** fields will display the Request ID of the request that effectuated the coverage update.

You can click the Request ID to navigate to the specific request. The date of the most recent update of the professional liability coverage information displays in parentheses.

MAINTAIN PROFESSIONAL LIABILITY INSURANCE

1. Click the **Add/Update/Delete Professional Liability** button.

Add Professional Liability Insurance

1. Click the **Add Coverage** button from the *Maintain Professional Liability* page.

2. Select either **Errors & Omissions Policy** or **Bond** for the **Coverage Type**.
3. Type the **Policy Number** and select the **Effective Date** of the policy.
4. The other fields are optional. Enter the **Company Name**, **Expiration Date**, **Per-Incident Amount** and **Total Coverage Amount** if applicable.
5. Click **Save**.

6. You can now see the professional liability insurance in the producer record.

Edit Existing Professional Liability Insurance

1. From the *Maintain Professional Liability* page, click the **Edit** button (🖉) next to the professional liability option you want to edit.

2. The *Edit Professional Liability Coverage* pop-up window will appear. From here you can update any of the following fields: **Company Name**, **Expiration Date**, **Per-Incident Amount**, and **Total Coverage Amount**.
3. Click **Save**.

4. The updates will be reflected on the producer record.

Delete Professional Liability Insurance

1. From the *Maintain Professional Liability* page, click the **Delete** button (✖) next to the professional liability option you want to remove.

2. You will receive a message asking if you are sure you want to delete this record. Click **Confirm**.

Maintain Professional Liability

👤 **EASLEY, CORA** Unrated

Search Producer

External System ID	Active BU	NPN	Resident State/License	Additional States/Licenses
	⊞ DEFAULT	1000000028	VA / 736178	⊞ AZ / 1000000005

Add Coverage

Confirm Delete ✖

Are you sure you want to delete this record?

	Type	Company	Policy Nu...		age	Total Coverage	# of Exclusions	Actions
⊞	E&O Policy	Progressive Test Company	22453			$1,000,000.00	*None*	🖉 ✖
⊞	Bond	Bond Insurance Example	08334			$1,000,000.00	*None*	🖉 ✖

Confirm | Cancel
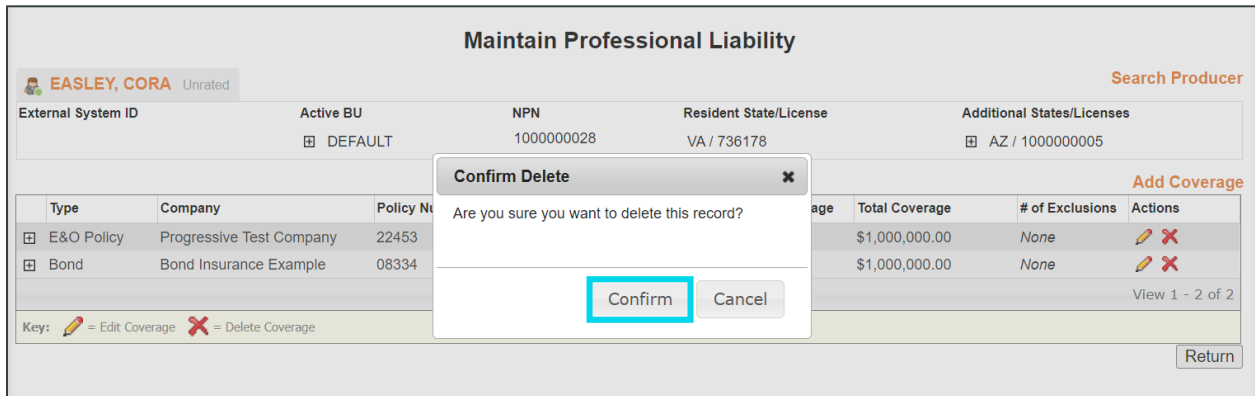
View 1 - 2 of 2

Key: 🖉 = Edit Coverage ✖ = Delete Coverage

Return

Securities Information (Individual Licensees Only)

Use the **Securities Information** data section of an individual producer record to review active securities registrations and examinations related to a producer's affiliated firm (broker/dealer).

The Securities section are sorted into two groups:

- Registrations
- Exams

REGISTRATIONS

The **Registrations** section displays a selected producer's active state and self-regulatory organization (SRO) registrations, grouped by the firm (broker/dealer) with which the producer's registration is associated.

By default, Producer Central will only display active registrations that are associated with an affiliated firm.

If the producer record does not contain any active registration information, the following message will display: "No Active Records."

> **Note**: Pending and inactive registrations will not display on this screen, but they may be logged within Producer Central.

Click the **Expand** button (⊞) next to the security firm to see more information about the registrations.

Securities Information   Top

Add/Update/Delete Securities Information

Registrations

⊞ **AGENCYFIRM**   0 SRO   1 State

⊞ **DEAN AND DAVIS INSURANCE AGENCY**   1 SRO   0 State

⊞ **Exams**

You can now see the following fields:

- **[AGENCYFIRM]**: The name of the firm (broker/dealer) associated with the producer's securities registrations. The total number of SRO and State registrations will be displayed following the firm name.

> **Note**: If the producer's securities registration information was verified through an external source, the following message: "Verified Externally" will be displayed.

- **SRO**: Name of the self-regulatory organization (SRO).
- **State**: Name of the state.
- **Category**: Registrations category (for example, OT – Authorized Trader or ST – Securities Trader).
- **FINRA Status**: Status of the registration with the Financial Industry Regulatory Authority (FINRA).
- **Approval Date**: Date the registration was approved.
- **Status Date**: Date on which the registration's FINRA Status last was updated.
- **Added By**: Username of the staff member, or system user, that added the registration to the producer record and the date on which it occurred.
- **Updated By**: Username of the staff member, or system user, that last modified the registration on the producer record and the date on which it occurred.

Securities Information   Top

Add/Update/Delete Securities Information

Registrations

⊟ **AGENCYFIRM**   0 SRO   1 State

SRO REGISTRATIONS

No Active Records

STATE REGISTRATIONS

State	Category	FINRA Status	Approval Date	Status Date	Added By	Updated By
Virginia	AG - Broker-Dealer Agent	Approved	04/14/2020	06/01/2023	Lauren Hall *06/02/2023*	N/A

⊟ **DEAN AND DAVIS INSURANCE AGENCY**   1 SRO   0 State

SRO REGISTRATIONS

SRO	Category	FINRA Status	Approval Date	Status Date	Added By	Updated By
Financial Industry Regulatory Authority	ST-Securities Trader	Approved	02/06/2023	06/02/2023	Lauren Hall *06/02/2023*	N/A

EXAMS

Under the **Exams** section, you can see the status of all the securities exams associated with the producer. Click the **Expand** button (⊞) to see the exam details.

DEAN AND DAVIS INSURANCE AGENCY ① SRO ⓪ State						
SRO REGISTRATIONS						
SRO	**Category**	**FINRA Status**	**Approval Date**	**Status Date**	**Added By**	**Updated By**
Financial Industry Regulatory Authority	ST-Securities Trader	Approved	02/06/2023	06/02/2023	Lauren Hall *06/02/2023*	N/A
STATE REGISTRATIONS						
No Active Records						

⊞ **Exams**

The fields under the **Exams** section are:

- **Type**: Shows the type of securities examination the producer completed (for example, the Series 6 exam or the Securities Industry Regulation Exam).

- **Status**: Shows the status of the securities exam (for example, Passed or Reinstated).

- **Status Date**: Date on which the **Status** was last updated.

- **Added By**: Username of the staff member, or system user, that added the examination information to the producer record and the date on which it occurred.

- **Updated By**: Username of the staff member, or system user, that last modified the examination information on the producer record and the date on which it occurred.

⊟ **Exams**				
Type	**Status**	**Status Date**	**Added By**	**Updated By**
Securities Industry Regulation Exam	Passed	11/12/2013	Lauren Hall *06/02/2023*	N/A
Series 44	Passed	10/04/2022	Lauren Hall *06/02/2023*	N/A

MAINTAIN SECURITIES INFORMATION

In the maintain securities information section, you can add, edit, and delete regulations and exams.

1. Click the **Add/Update/Delete Securities Information** button.

2. You will now see the *Maintain Securities Information* page. You will see all the active registrations and exams that are associated with the producer record.

3. Click the **Include Pending & Inactive Registrations** checkbox to view all the producer's registrations, regardless of the FINRA Status. Uncheck the checkbox to only view the producer's active registrations only.

Maintain Securities Information

Add Registration

1. Click the **Add Registration** button.

2. The *Add Registration* popup window will appear.
3. Start by selecting the **Firm** the producer's securities information is associated.
4. Click the dropdown window and select an existing firm or click **Add a New Firm**.

Note: In this example, we are clicking the **Add a New Firm** button.

5. Search for the firm by entering search criteria in at least one of the fields below.
6. Click **Search**.

Maintain Securities Information

Search Firm

Please enter at least one of the search criteria below:

Firm Name		
EIN	NPN	Active Business Unit ⌄
License Number		License State ⌄
External System ID		Primary External ID Only ☐

Records Per Page: 10 ⌄   [Search] [Cancel]

7. If multiple firms match your search criteria, select the **Name** of the firm from the list of records.

Maintain Securities Information

Search Firm

Please enter at least one of the search criteria below:

Firm Name	agency	
EIN	NPN	Active Business Unit ⌄
License Number		License State ⌄
External System ID		Primary External ID Only ☐

Records Per Page: 10 ⌄   [Search] [Cancel]

Displaying 1 - 4 (of 4 matching records)   Page 1 of 1

Name ▲	EIN	⊞ License State/#	NPN	⊞ Active BU	City	State
AGENCY1ONBOARDING1	00-0123123			PC	Sodus	MI
AGENCYFIRM	78-5216952	MI LIC791		HEALTH	Sodus	MI
AgencyOlivia	00-1234567					
AgencyUn	85-1254879				Munising	MI

Displaying 1 - 4 (of 4 matching records)   Page 1 of 1

8. You will now see the *Add Registration* page.
9. Select the **Registration Type**: either **SRO** or **State**.
10. Enter information into the following fields:

- **SRO**

- **State**

- **FINRA Status**

- **Category**

- **Status Date**

Note: The **Approval Date** field is optional. Use this field to indicate if a registration was approved by FINRA.

11. Click **Save**.

SRO Registration

Add Registration: Registration Details

EASLEY, CORA Unrated

Search Producer

External System ID	Active BU	NPN	Resident State/License	Additional States/Licenses
	⊞ DEFAULT	1000000028	VA / 736178	⊞ AZ / 1000000005

FIRM

AGENCYFIRM

Change

Registration

☐ Externally Verified

Note: By checking this box you agree to verify the producer's registration with this firm from another source.

Registration Type* ● SRO ○ State

SRO*
NYSE-MKT LLC

FINRA Status*
Pending

Category*
SM - Securities Manager

Approval Date

Status Date*
06-07-2023

Cancel　　　　　　　　　　　　　　　　　　　　Save

State Registration

Add Registration: Registration Details

EASLEY, CORA Unrated

Search Producer

External System ID	Active BU	NPN	Resident State/License	Additional States/Licenses
	⊞ DEFAULT	1000000028	VA / 736178	⊞ AZ / 1000000005

FIRM

AGENCYFIRM

Change

Registration

☐ Externally Verified

Note: By checking this box you agree to verify the producer's registration with this firm from another source.

Registration Type* ○ SRO ● State

State*
Virginia

FINRA Status*
Approved

Category*
AG - Broker-Dealer Agent

Approval Date
04-14-2020

Status Date*
06-01-2023

Cancel　　　　　　　　　　　　　　　　　　　　Save

12. If the FINRA status is approved, you will now see the registration on the producer record.

Add Exam

1. From the *Maintain Securities Information* screen, click the **Add Exam** button.

2. The **Add Exam** popup will appear.
3. From the dropdown lists, select the exam **Type** and the **Status**.
4. Enter a **Date** that reflects the exam status.
5. Click **Save**.
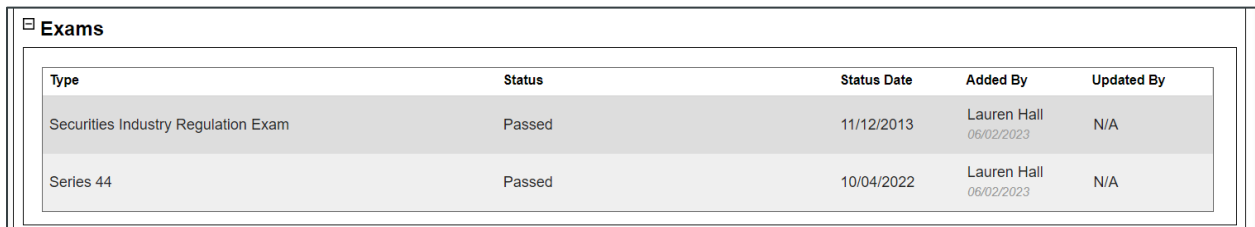
6. You will now see the Exam in the producer record.

Exams

Type	Status	Status Date	Added By	Updated By
Securities Industry Regulation Exam	Passed	11/12/2013	Lauren Hall *06/02/2023*	N/A
Series 44	Passed	10/04/2022	Lauren Hall *06/02/2023*	N/A

Vertafore

Section: Review & Maintain Producer Records

Edit Registration or Exam

1. To edit a securities registration or exam, click the **Edit** button (✏) next to the record.

2. The *Edit Registration* or *Edit Exam* popup screen will appear.
3. Update any field(s) you need to edit, then click **Save**.

Edit Registration

Edit Exam

Registrations						☐ Include Pending & Inactive Registrations	**Add Registration**

DEAN AND DAVIS INSURANCE AGENCY   1   SRO   0   State   ✖

SRO REGISTRATIONS

SRO	Category	FINRA Status	Approval Date	Status Date	Added By	Updated By	Actions
Financial Industry Regulatory Authority	ST-Securitie...				Lauren Hall 2023	N/A	✏️ ✖

Edit Exam   ✖

Type
Series 44

Status *

[Passed ▾]

Status Date

[10-04-2022] 📅

[Save] [Cancel]

STATE REGISTRATIONS
   No Active Records

☐ Externally Verified

Exams							**Add Exam**

Type					By	Updated By	Actions
Series 44					n Hall 2023	N/A	✏️ ✖

[Return]

4. The updates will appear on the producer record.

Maintain Securities Information

👤 **EASLEY, CORA**   Unrated   **Search Producer**

External System ID	Active BU	NPN	Resident State/License	Additional States/Licenses
	⊞ DEFAULT	1000000028	VA / 736178	⊞ AZ / 1000000005

Registrations						☐ Include Pending & Inactive Registrations	**Add Registration**

DEAN AND DAVIS INSURANCE AGENCY   1   SRO   0   State   ✖

SRO REGISTRATIONS

SRO	Category	FINRA Status	Approval Date	Status Date	Added By	Updated By	Actions
Financial Industry Regulatory Authority	ST-Securities Trader	Approved	02/06/2023	06/02/2023	Lauren Hall *06/02/2023*	N/A	✏️ ✖

STATE REGISTRATIONS
   No Active Records

☐ Externally Verified

Exams							**Add Exam**

Type	Status		Status Date	Added By	Updated By	Actions
Series 44	Passed		10/04/2022	Lauren Hall *06/02/2023*	N/A	✏️ ✖

[Return]

Delete Registration or Exam

1. To remove a securities registration or exam record, click the **Delete** (✖) button next to the record.

2. You will receive a message that asks if you are sure you want to delete this record.
3. Click **Confirm**.

Authorization Overrides

Use authorization overrides to suspend a producer from selling. Overrides may be configured by state, product, sales event, and/or writing company. They may be set to be effective for a specified time or indefinitely.

You can configure an individual or firm producer record in Producer Central to override an "Authorized" result of a sales authorization check, based on specific override criteria.

A sales authorization check on a producer with authorization override configured will return a "Not Authorized" result, regardless of the producer's sales authorization credentials.

Use the *Authorization Overrides* data section of a producer record to view sales authorization override information for the producer.

	Type	Effective Dates	State	Product	Sales Event	Created By
⊟	Authorized	06-02-2023 - 06-09-2023	Alabama	Annuity - Individual	Request Quote	Lauren Hall *06-02-2023*
	Reason: License qualification pending					

Authorization Overrides — Add/Update/Delete Authorization Overrides / Top

- **Type**: Result of the producer's sales authorization check as a consequence of the authorization override (e.g., "Not Authorized).
- **Effective Dates**: Begin and end dates of the producer's sales authorization override. You will see "No End Date" if the override is set to be in effect indefinitely.
- **State**: Name of the state in which the producer's sales authorization result is overridden. Displays "All States" if the override is in effect for all states.
- **Product**: Product type for which the producer's sales authorization result is overridden. Displays "All Products" if the override is in effect for all available product types.
- **Sales Event**: Sales event for which the producer's sales authorization result is overridden. Displays "All Sales Events" if the override is in effect for all sales events.
- **Writing Company**: Aggregate limit in dollars and cents payable during the effective period under the producer's professional liability coverage. Displays "All Writing Companies" if the override is in effect for all available appointing companies.
- **Created By**: Name of the staff member responsible for adding the authorization override information to the system.
- In cases where the Sircon system added the authorization override information through integration with Producer Express, displays the Request ID of the Producer Express request that effectuated the added coverage.

- You can click the Request ID to open Producer Express and navigate to the specific request. The date on which the authorization override information was first added to the system displays in italics.
- **Reason**: A free text comment related to the sales authorization override. Displays "No reason found to display" if a reason was not entered.

MAINTAIN AUTHORIZATION OVERRIDES

1. Click the **Add/Update/Delete Authorization Overrides** button.

⊟ Authorization Overrides   Top

                                                                 Add/Update/Delete Authorization Overrides

	Type	Effective Dates	State	Product	Sales Event	Created By
⊟	Authorized	06-02-2023 - 06-09-2023	Alabama	Annuity - Individual	Request Quote	Lauren Hall *06-02-2023*
	Reason: License qualification pending					

Add Authorization Override

1. Click the **Add Authorization Override** button.

Maintain Authorization Overrides

👤 **EASLEY, CORA** Unrated   Search Producer

External System ID	Active BU	NPN	Resident State/License	Additional States/Licenses
	⊞ DEFAULT	1000000028	VA / 736178	⊞ AZ / 1000000005

                                                                                 Add Authorization Override

	Type	Effective Dates	Status	State	Product	Sales Event	Created By	Actions
⊟	Authorized	06-02-2023 - 06-09-2023	Active	Alabama	Annuity - Group	Request Quote	Lauren Hall *06-02-2023*	✏️ ❌
	Reason: License qualification pending							

                                                                                                        Return

---

2. The *Add Authorization Override* popup window will appear.
3. Select the **Type of Override**, either **Not Authorized** or **Authorized**.
   - If you select **Not Authorized**, the sales authorization will fail if it matches the criteria you enter in this section.
   - If you select **Authorized**, the sales authorization will pass if it matches the criteria you enter in this section.
4. Select the **Start Date**. This is the date the authorization override will begin.
5. You can optionally select an **End Date** to restrict the authorization override to a specific date range.
6. You can optionally select details from the **State/Jurisdiction**, **Product**, or **Sales Event** fields to restrict the authorization override to the specified criteria.
7. Use the **Comment** field to add the details about the authorization override. This fields is optional.
8. Click **Save**.

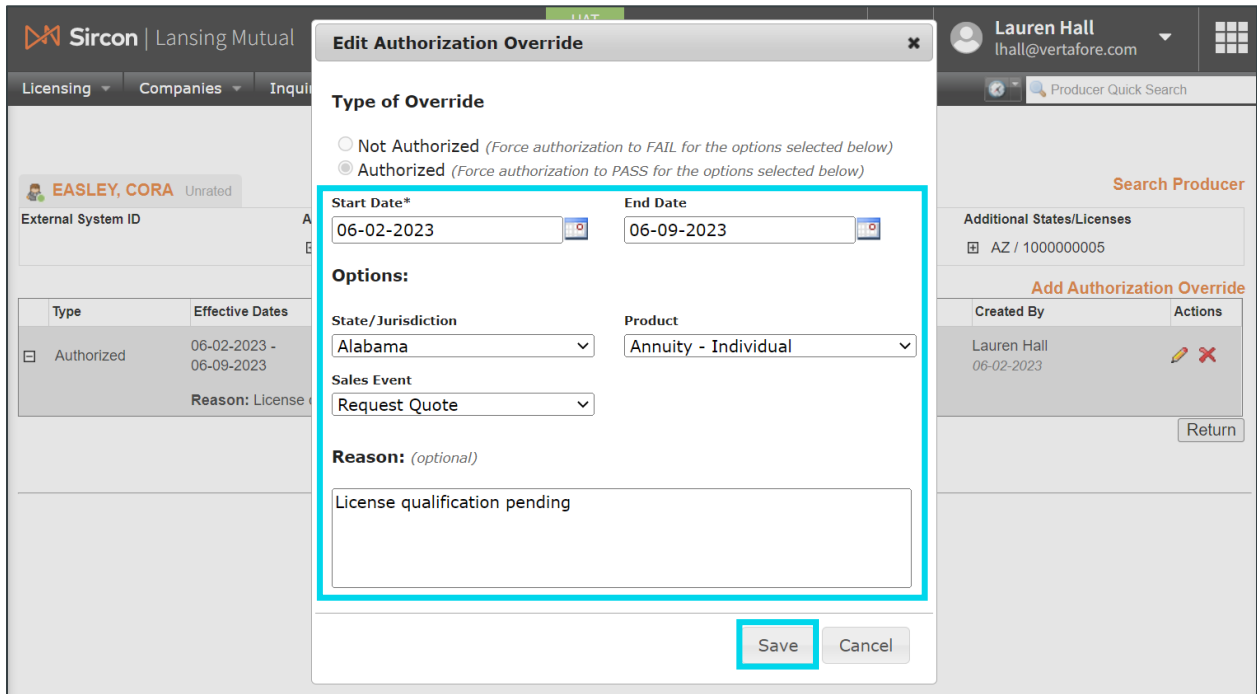9. You will now see the authorization override in the producer record.

Edit Existing Authorization

1. In the *Maintain Authorization Overrides* screen, click the **Edit** button (✏) to modify an authorization override record.

2. Modify any of the fields in the **Edit Authorization Override** popup window.
3. Click **Save** to confirm the changes.

4. You can now see the changes reflected in the producer record.

Vertafore

Section: Review & Maintain Producer Records
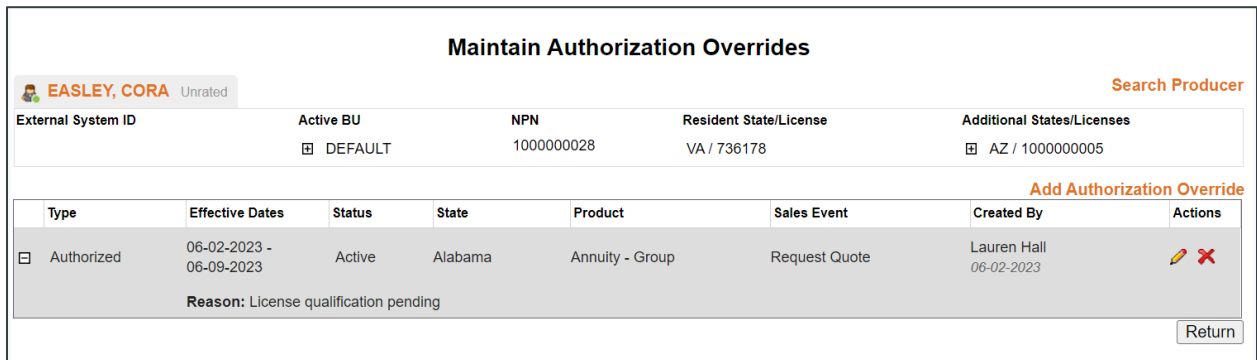
Delete Authorization Override

1. In the **Maintain Authorization Overrides** screen, click the **Delete** button (❌) to remove an authorization override record.

2. You will see a popup message that asks you if you are sure you want to delete this record.
3. Click **Delete**.

APPENDIX 1: Sircon for Carriers Help Resources

Help is just a click away. Vertafore has two resources available to support you 24/7:

- My Vertafore

- Sircon Support

My Vertafore

My Vertafore is our free online customer support portal and knowledge base.

With My Vertafore you can:

- **Log a Case** – Cases are used to request product support

- **Submit Ideas** – Send Vertafore ideas for new product features or enhancements

- **Search Knowledgebase** – Search for detailed articles on the Sircon Knowledge Base
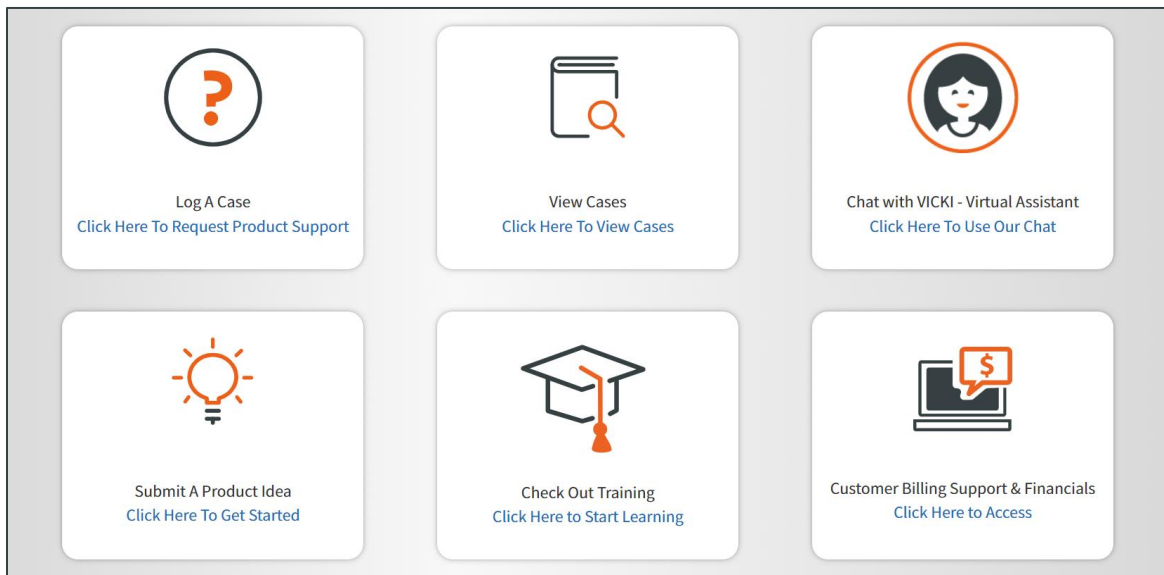
> **Note**: Sircon does not use the Submit a Product Idea or Chat with VICKI functions.

Contact Vertafore Customer Support

Cannot find what you are looking for at My Vertafore? Our Customer Support team is here to help. Click here to email Support or call 877-876-4430.

APPENDIX 2: Document History

Version	Revision Date	Revision Record
1.0	5/19/2023	Original Document

999 18th St | Denver, CO, 80202 | 877.876.4430| Vertafore.com