

PLM User Guide



A Guide to Tracking
Producer Compliance
with Federal
Anti-Money Laundering
Regulations

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Introduction

The U.S. Department of Treasury's Financial Crimes Enforcement Network requires life insurance companies to establish anti-money laundering programs. To comply, carriers are requiring all producers soliciting life, annuity, or large corporate market products on the carriers' behalf to complete annual Anti-Money Laundering training (AML).

PLM Producer Manager tracks, stores, and compliance. A quick glance at a producer in an instant the status of a producer's and other education requirements. You can also run a database report to identify producers who are non-compliant or

verifies your producers' AML record in Producer Manager tells you compliance with AML training

compliant.

Producer Manager's AML tracking feature reassures carriers by allowing them to certify that all new and existing producers and license affiliates have completed AML training. It also saves money and time by eliminating duplicate training and recordkeeping efforts.

In this guide we'll take a look at how Producer Manager helps you to track and manage AML training compliance.



Tracking AML Compliance

By working together with other systems, Producer Manager can automatically track AML training compliance. With Vertafore's exclusive, automated AML compliance management, you seldom would need to manually update producer records with AML training requirements or course completions.

To provide some understanding of how automated AML compliance tracking works, in this section we'll take a look at the two methods by which AML requirement and course information may be transmitted to Producer Manager. They are as follows:

- LIMRA integration
- Carrier integration

Then, this section concludes with a look at two ways carriers can check producer compliance with AML training requirements – through Producer Manager or through internal systems that are integrated with Producer Manager.

LIMRA Integration

Producer Manager integrates with LIMRA, the leading provider of AML training, for automated AML compliance tracking.

The LIMRA integration method consists of two phases: the producer list management phase and the course information management phase.

Producer List Management Phase

During the producer list management phase, the carrier submits to LIMRA a list of producers whom the carrier wants to track that have enrolled in LIMRA's AML training program. If a producer on the carrier-submitted list has not enrolled with LIMRA, LIMRA enrolls the producer automatically. LIMRA then prepares a file confirming all enrolled producers, PGP-encrypts the file, and places it on the LIMRA FTP server.

A Vertafore automated service picks up the confirmation file from LIMRA and places it on Vertafore's secure FTP server, where it is accessible to the carrier when needed (for example, for verification purposes). In the meantime, producers listed in the confirmation file begin to take AML training courses.

Figure 1 depicts the steps in the producer list management phase.

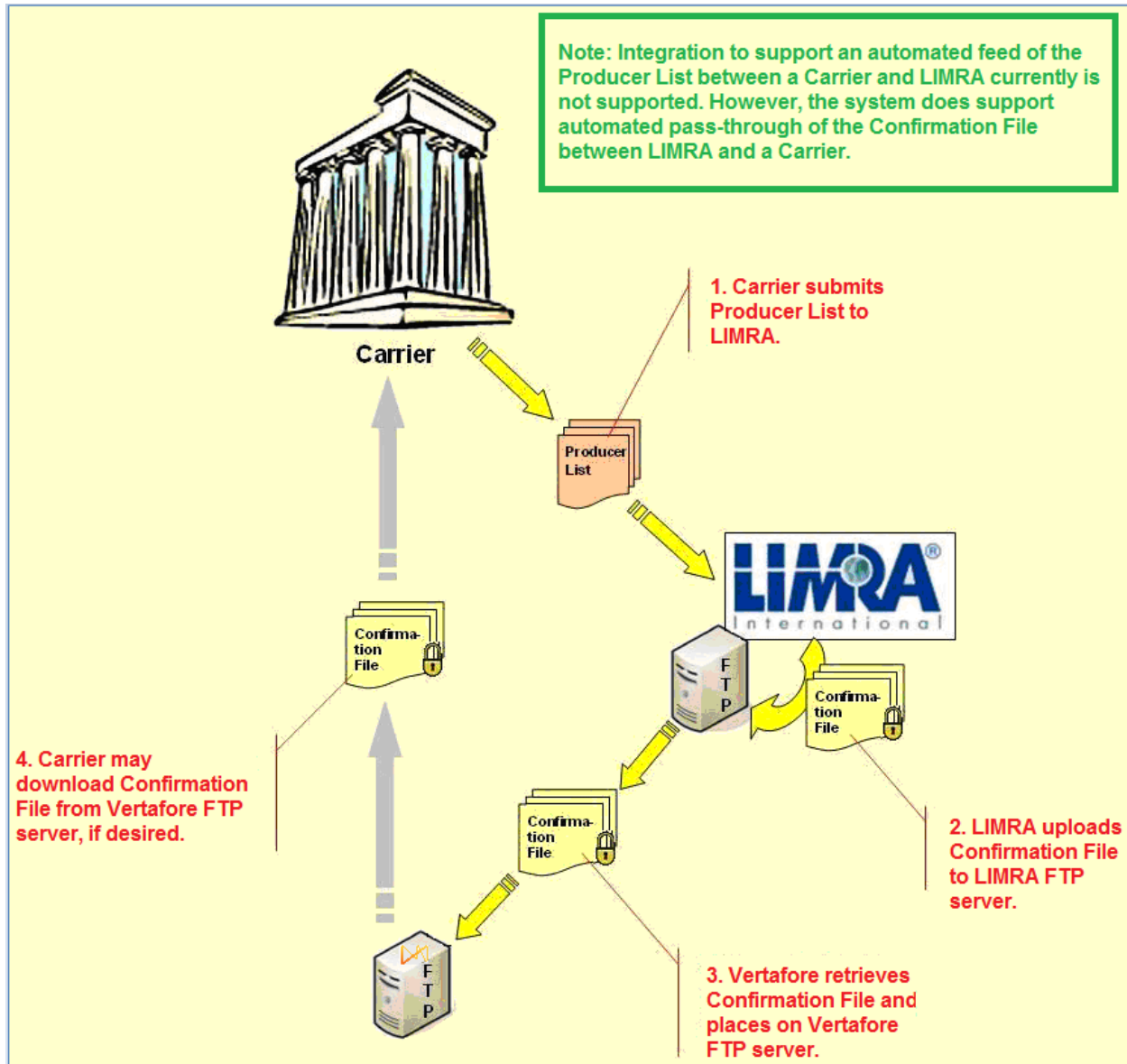


Figure 1. The process by which producer eligibility for AML compliance training is managed.

Course Information Management Phase

As producers undergo and complete AML training, LIMRA prepares a standardized data file containing updated AML course information for each producer. LIMRA places the AML course information file on the LIMRA FTP server and updates the file on an ongoing basis – typically every week but as often as every business day.

A Vertafore automated service checks every half hour for updates to the file and transmits the information to Producer Manager. Producer records in Producer Manager then are automatically updated with the AML training compliance information, including AML course name, course status, completion date, and LIMRA ID number.

Vertafore places a copy of the AML course information file on a secure Vertafore FTP server, from which it may be retrieved by the carrier.

Figure 2 depicts the steps in the course information management phase.

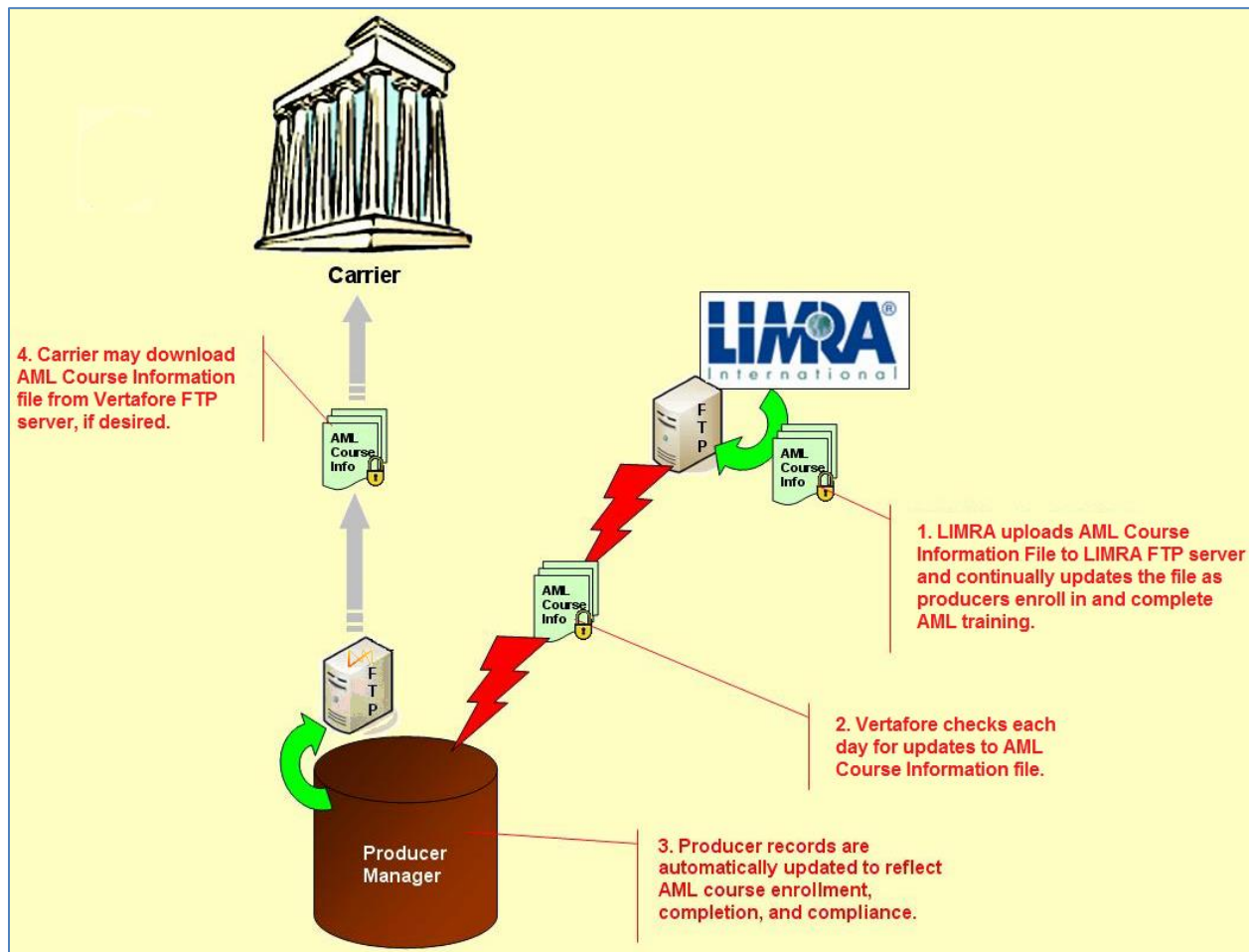


Figure 2. The process by which producer records in Producer Manager are updated with LIMRA AML training information.

Carrier Integration

Many producers affiliated with a broker/dealer, bank, or other distributor and who are intending to sell a carrier's products may have completed AML training already and are deemed by the distributor to be AML-certified.

In this case, a distributor may transmit a file to the carrier containing information about AML-certified producers and the AML coursework they have completed. The carrier then reviews the file to certify that the coursework information satisfies the carrier's AML compliance requirements.

After the review, the carrier formats the certified producer information to meet Vertafore-specified file format requirements, PGP-encrypts the file, and then uploads the file to a secure directory on Vertafore's secure FTP server.

A Vertafore automated service picks up the file from the FTP site and transmits the information to Producer Manager. Producer records in Producer Manager then are automatically updated with AML training compliance information, including AML course completion status, completion date, broker/dealer or bank name and/or ID number.

Figure 3 depicts carrier integration with Producer Manager.

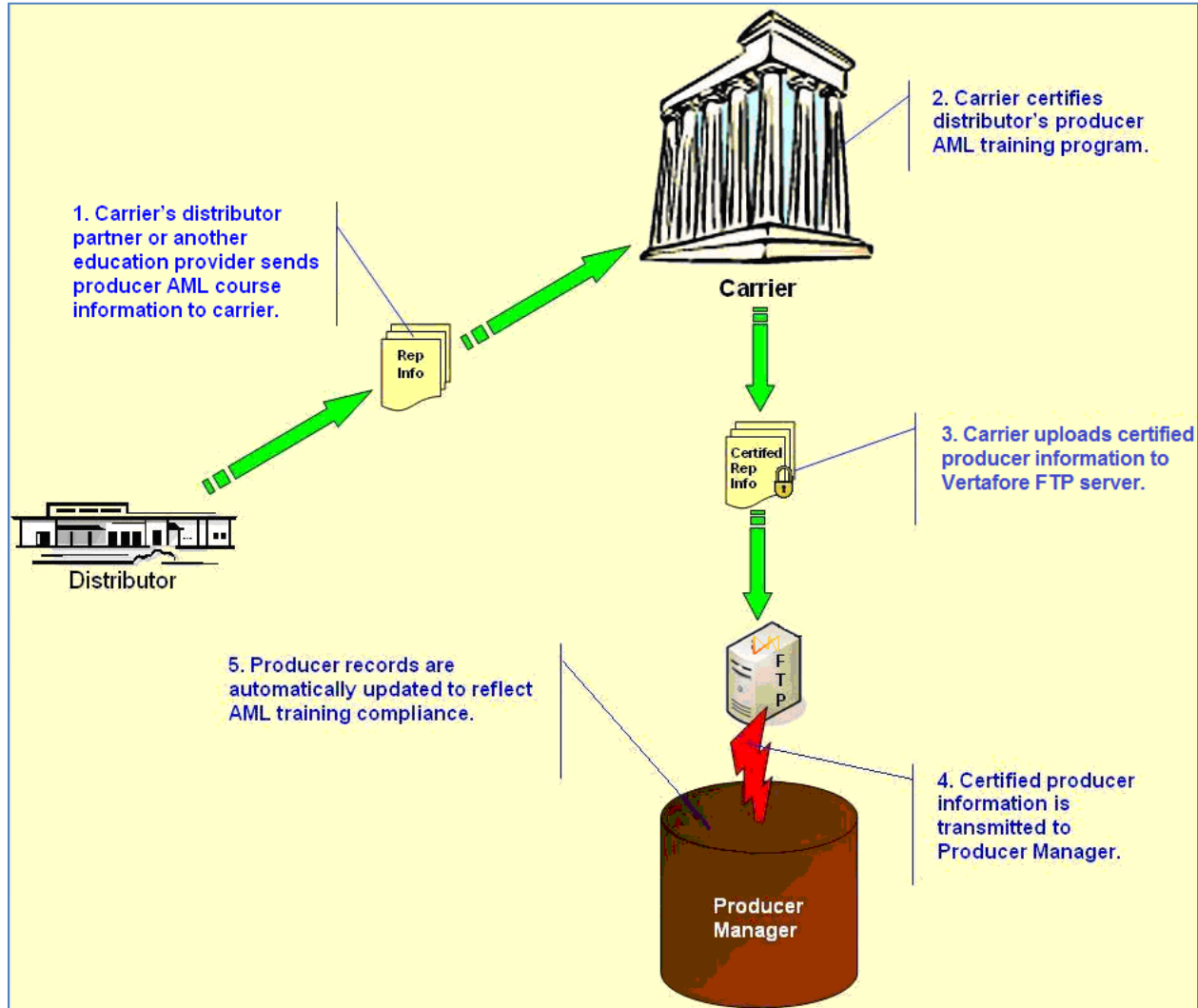


Figure 3. The process by which carrier-certified producer AML compliance information is transmitted to Producer Manager.

AML Integration Set-Up

PLM Producer Manager takes the guesswork out of tracking your producers' compliance with anti-money laundering training requirements.

In Producer Manager, a producer's ongoing compliance with AML training is expressed as an active "education credential." When a producer completes an initial or follow-up AML course, the course completion record is applied toward the producer's fulfillment of an AML-related "credential program."

When the producer maintains active licensure and meets all of the requirements of the credential program, Producer Manager calculates that the producer has an active AML education credential.

Producer Manager will keep tabs on a running basis, too. For example, if the producer's does not keep up with ongoing AML training requirements during the review period, the education credential will become inactive. Also, if the producer's license goes inactive, the education credential also will lapse.

All it takes to get started are some setup steps coordinated between your company's PLM system administrator and the Vertafore project team. The following sections describe what to do.

Set Carrier System Type

A producer's AML course completion information can be tied to the producer's unique ID in another of your company's back-office systems, such as new business, policy application, or commission systems. Then, when Producer Manager receives information that the producer has completed training, Producer Manager can send this information to one or more systems and keep them updated on the producer's eligibility to represent life, annuity, or other cash-value products.

In order for AML training info in Producer Manager to be linked to other systems, however, the following set-up tasks are required:

1. Your company must ensure that each producer's back-office system ID is passed to LIMRA in the AML IDs Confirmation File, if your company is using LIMRA Integration (see page 4), or is included in the broker/dealer certified course information file, if your company is using Carrier Integration (see page 6). This ID -- known going forward as the "carrier ID" -- will be merged to the producer's record in Producer Manager. (See "Appendix A: Integration File Layouts and Mapping" on page 35.)
2. Your company's PLM system administrator and the Vertafore project team must ensure that Producer Manager is configured with a code that identifies the backend system type. This code -- known henceforth as the "external system type" -- also will be merged to the producer's record in Producer Manager.

The first item depends on an export of producer information from your company's internal systems. It is therefore dependent on your company's resources and is not discussed in detail in this user guide.

Instead, we'll focus then on the second item. This set-up task must be accomplished in Producer Manager and therefore is very relevant to this user guide.

Quite possibly, the code you need already is configured in Producer Manager. Vertafore's implementation project staff worked closely with your project staff at the outset of your company's deployment of PLM and Producer Manager to obtain a great deal of external system information, and the set-up work might already have been taken care of at that time.

There are two important things to know about this step. One is that the code for the external system type that you choose must be mapped correctly to codes in the systems downstream from Producer Manager that are waiting to ingest producers' AML course completion information. This is something your company's IT staff can take care of.

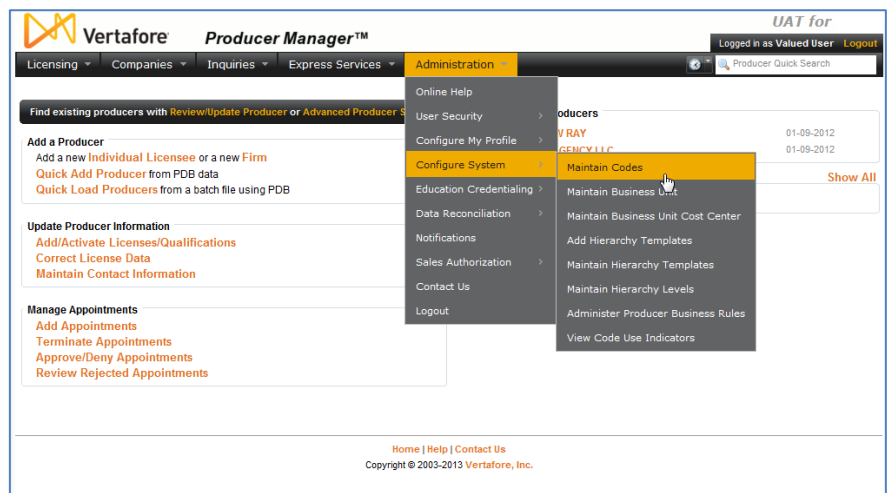
The other important thing is that the integration service will attempt to automatically add the external system type AND each producer's carrier ID to his or her record in Producer Manager. If the external system type is not configured first in Producer Manager, it will fail in this process.

Let's take a look at how to check configuration of the external system type and, if it isn't configured, how to add it...

From the **Administration** menu in Producer Manager, select **Configure System**.

Then, from the submenu, select **Maintain Codes**.

The **Maintain Codes** page will open.



The **Maintain Codes** page contains groups of user-configurable “lookup” codes and descriptions that are used to populate the options in dropdown menus throughout Producer Manager.

One such code group is INTRFC_TYPE_CD. This group contains codes that can tie a producer record in PLM to one or more other systems in your company’s back office.

Find the INTRFC_TYPE_CD group about halfway down the **Maintain Codes** page. Click the node or “plus box” to the left of its name. This will expand the table row to show you all of the codes in the INTRFC_TYPE_CD code group.

Some of the codes are active and in use throughout PLM. Others are historical and not currently in use. Active codes and their descriptions may be user-selected from the **External System ID** dropdown menu or radio button groupings throughout Producer Manager and Producer Express.

In reality, it is possible that the code you want to use to integrate AML training information stored in Producer Manager with other systems is already configured. If so, you need go no further in this step.

But in this example, however, the external system code we want to use for AML integration – CARRIER_ID – is not currently configured. To add a code to the INTRFC_TYPE_CD code group, click to select the radio button to the left of its name. Then, at the bottom of the **Maintain Codes** page, click the **Next** button.

Maintain Codes

Select the Code Group to add a new Code to or modify an existing Code for:

- ADVANCE_COMMISSION_CD Advance Commission Code
- ADVANCE_TRANSACTION_STS_CD Advance Transaction Status Code
- AGRMT_PRDCR_ROLE_CD Agreement Producer Role Code
- AGRMT_TRMN_RSN_CD Agreement Termination Reason Code
- AGRMT_TYPE_CD Agreement Type Code
- AGY_TYPE_CD Firm Type Code
- APPL_LOC_CD Application Location Code
- APPT_SBST_LTR_ST_CD Appointment Substitute Letter State Code
- ASSC_AGY_ASSC_CD Associated Agency Association Code
- BD_GROUP_CD Broker/Dealer groups
- BKGGRND_INV_TSTS_CD Background Investigation Status Code
- BKGGRND_INV_TTYPE_CD Background Investigation Type Code
- BUSINESS_VIA_DTCC_CD Conduct Business via DTCC Code
- BU_BUSINESS_SEGMENT_CD Business Unit Business Segment Code
- INDV_ORG_ASSC_POS_CD Individual Organization Association Position Code
- INTRFC_TYPE_CD Interface Type Code

Code	Short Description	Status	Begin Date	End Date	System Required	Long Description	Comment
AGENCYID	Agency Id	Historical	05-31-2011	04-30-2012	<input type="checkbox"/>	Agency Id	
AGENTID	Agent Id	Historical	05-31-2011	04-30-2012	<input type="checkbox"/>	Agent Id	
FIRMLD	Firm ID	Active	05-04-2012		<input type="checkbox"/>	STARS Firm ID	
HQID	HQ ID	Active	05-04-2012		<input type="checkbox"/>	STARS Headquarter ID	
PIVOTAL	Pivotal ID Number	Active	05-31-2011		<input type="checkbox"/>	Pivotal ID Number	
PRDCRCD	Producer Code	Historical	05-31-2011	04-30-2012	<input type="checkbox"/>	Producer Code	
WRTNGNBR	Writing Number	Active	05-31-2011		<input type="checkbox"/>	Writing Number	

MAIL_LBL_CAT_CD Mailing Label Category Code

MKT_STRGY_TYPE_CD Market Strategy Type Code

SM_ROLE_CD Staff Member Role Code

STG_PRDCR_LIC_RES_CD Stage Producer License Residency Code

ST_CD State Code

SUPPRESS_LETTER_TYPE_CD Suppressible Letter Type Code

SW_PROD_CD Software Product Code

TRMN_VEST_TYPE_CD Termination Vesting Type Code

[Next](#) [Return](#)

INTRFC_TYPE_CD Interface Type Code

Code	Short Description	Status	Begin Date	End Date	System Required	Long Description	Comment
AGENCYID	Agency Id	Historical	05-31-2011	04-30-2012	<input type="checkbox"/>	Agency Id	
AGENTID	Agent Id	Historical	05-31-2011	04-30-2012	<input type="checkbox"/>	Agent Id	
FIRMLD	Firm ID	Active	05-04-2012		<input type="checkbox"/>	STARS Firm ID	
HQID	HQ ID	Active	05-04-2012		<input type="checkbox"/>	STARS Headquarter ID	
PIVOTAL	Pivotal ID Number	Active	05-31-2011		<input type="checkbox"/>	Pivotal ID Number	
PRDCRCD	Producer Code	Historical	05-31-2011	04-30-2012	<input type="checkbox"/>	Producer Code	
WRTNGNBR	Writing Number	Active	05-31-2011		<input type="checkbox"/>	Writing Number	

TRMN_VEST_TYPE_CD Termination Vesting Type Code

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The **Maintain Codes** page will reload, allowing you to zero in on the INTRFC_TYPE_CD code group.

You'll see the currently configured codes – active and historical alike – in the **Codes** section at the top of the page. The **Add/Update Codes** section toward the bottom contains edit fields that allow you to add a new code.

It can be a useful practice to enter the same value in the **Code**, **Short Description**, and **Long Description** fields. This way, users don't get confused about which code the system is referring to when they see it in different places throughout PLM.

With this in mind, enter "CARRIER_ID" in all three fields. Accept the default **Begin Date** of the current date and default **Status** of Active. Click the **Save** button.

Maintain Codes

Current Code Group: INTRFC_TYPE_CD (Interface Type Code)

Code	Short Description	Status	Begin Date	End Date	System Required	Long Description	Comment
AGENCYID	Agency Id	Historical	05-31-2011	04-30-2012	<input type="checkbox"/>	Agency Id	Edit
AGENTID	Agent Id	Historical	05-31-2011	04-30-2012	<input type="checkbox"/>	Agent Id	Edit
FIRMID	Firm ID	Active	05-04-2012		<input type="checkbox"/>	STARS Firm ID	Edit
HQID	HQ ID	Active	05-04-2012		<input type="checkbox"/>	STARS Headquarter ID	Edit
PIVOTAL	Pivotal ID Number	Active	05-31-2011		<input type="checkbox"/>	Pivotal ID Number	Edit
PRDCRCD	Producer Code	Historical	05-31-2011	04-30-2012	<input type="checkbox"/>	Producer Code	Edit
WRNGNBR	Writing Number	Active	05-31-2011		<input type="checkbox"/>	Writing Number	Edit

Add/Update Codes

Code	Short Description	Status	Begin Date	End Date	System Required	Long Description
CARRIER_ID	CARRIER_ID	Active	04-23-2013		<input type="checkbox"/>	CARRIER_ID

Buttons: Previous, Save, Return

Now, you will see the new "CARRIER_ID" code added successfully to PLM. It is ready to be used to link producers' AML training records in Producer Manager to your company's other systems.

Maintain Codes

Current Code Group: INTRFC_TYPE_CD (Interface Type Code)

Code	Short Description	Status	Begin Date	End Date	System Required	Long Description	Comment
AGENCYID	Agency Id	Historical	05-31-2011	04-30-2012	<input type="checkbox"/>	Agency Id	Edit
AGENTID	Agent Id	Historical	05-31-2011	04-30-2012	<input type="checkbox"/>	Agent Id	Edit
CARRIER_ID	CARRIER_ID	Active	04-23-2013		<input type="checkbox"/>	CARRIER_ID	Edit
FIRMID	Firm ID	Active	05-04-2012		<input type="checkbox"/>	STARS Firm ID	Edit
HQID	HQ ID	Active	05-04-2012		<input type="checkbox"/>	STARS Headquarter ID	Edit
PIVOTAL	Pivotal ID Number	Active	05-31-2011		<input type="checkbox"/>	Pivotal ID Number	Edit
PRDCRCD	Producer Code	Historical	05-31-2011	04-30-2012	<input type="checkbox"/>	Producer Code	Edit
WRNGNBR	Writing Number	Active	05-31-2011		<input type="checkbox"/>	Writing Number	Edit

Add/Update Codes

Code	Short Description	Status	Begin Date	End Date	System Required	Long Description
		Active	04-23-2013		<input type="checkbox"/>	

Buttons: Previous, Save, Return

Also, the new “CARRIER_ID” code is available for manual user selection from the **External System Type** dropdown menu, throughout Producer Manager.

This is useful, to be sure. But even better is that when a producer’s AML training information reaches Producer Manager through either the LIMRA Integration or Carrier Integration, the producer’s unique ID in the configured external system can be automatically applied to his or her record.

The screenshot displays the 'Maintain External System Identifiers' interface in the Vertafore Producer Manager. At the top, the user is logged in as 'Valued User'. The page shows details for a producer named BRAY, MATTHEW, including their SSN, License State# (CO 306319), Active BU (NAD), NPN (6063192), and Resident States (Minnesota). Below this, there is a table of 'Current External System Identifiers' with columns for External System Type, External System ID, Business Unit, Primary, and Inactive. The table lists three entries: HQ ID (4526692), Producer Code (3166540), and another Producer Code (3167604). A dropdown menu for 'External System Type' is open, showing 'CARRIER_ID' as the selected option. Other options include Firm ID, HQ ID, Pivotal ID Number, and Writing Number. The page also includes buttons for 'Delete', 'Add New External System Identifier', 'Save', 'Return', and 'Save and Return'.

Set Up the Carrier ID Type Business Rule

With the correct carrier ID external system type configured in Producer Manager, the next step in the set-up process requires Vertafore project implementation staff to configure the external system type in the PLM system’s backend. They will set the exact value of the external system type code as a property of the **carrier.id.type** business rule.

Once this is done, and the AML integration service begins to merge course completion information to the records of producers who have completed AML coursework, the service will automatically apply the value of each producer’s backend system code (the carrier ID from the Optional 2 field in the integration file layout) together with the value of the configured external system type to the producer’s record in Producer Manager. (For more information, see “Set Carrier System Type” on page 8 and “Appendix A: Integration File Layouts and Mapping” on page 35.)

Then, if your company is using outbound integration services to connect with Producer Manager, such as the Outbound Data Feed or the Producer Data Web Service, your company’s downstream systems will be updated with the information that each producer has completed AML training. The systems will know which producer Producer Manager is talking about, based on the producer’s backend system code and its type.

Configure Other Business Rules

Vertafore implementation project staff will configure other business rules in the backend of PLM Producer Manager, many based on your company’s preferences. Among them are the following:

- **enable.LimraPassthroughWorkflowProcess:** Enables the producer list management phase of the LIMRA integration method for tracking AML compliance. For more information, see “Producer List Management Phase” on page 4.
- **enable.LimraCourseCompletionWorkflowProcess:** Enables the course information management phase of the LIMRA integration method for tracking AML compliance. For more information, see “Course Information Management Phase” on page 5.

- **enable.BrokerDealerCertifiedProducerWorkflowProcess:** Enables the carrier integration method for tracking AML compliance. For more information, see “Carrier Integration” on page 6.
- **enable.AuditFileCleanupWorkflowProcess:** Enables a job to purge auditing files from Vertafore internal databases that are older than 30 days.
- **allow.aml.producer.updates:** Determines whether the AML integration service will update a producer’s name information on his or her record in Producer Manager, if it is found to be different on the course completion file.
- **ec.credStatus.recordLatest:** Determines whether a producer’s education credential information will be exported in the Outbound Data Feed or made reportable in the Credential Status Inquiry in Producer Manager, if the producer’s education credential has been recalculated, based on changes to the producer’s supporting license or course completion information or to underlying education credential or credential programs. Converts the <CourseRequirements> data node of an Outbound Data Feed export file from being used for tracking a producer’s CE requirements to tracking a producer’s education credential eligibility and status.
- **ec.credStatus.recordLatest.includeNotApplicableStatus:** If the **ec.credStatus.recordLatest** business rule is enabled, determines whether an education credential that has been recalculated with a status of “N/A” will be exported or reported with a status value of either “NR” (No Longer Required) or “NC” (Not Compliant).
- **limra.ec.enabled:** Sets the AML integration service to merge course completion data to the Education Credentials data section on a producer’s record, rather than the Continuing Education data section. It should be set to “true” in all except extremely rare cases.
- **limra.src.dir:** For LIMRA AML integration service only. Sets the directory structure on the LIMRA FTP server where your company’s AML files are to be located. Oftentimes, the directory structure is something like as follows:
/AML/[YourCompanyName]/Prod_from_LIMRA. Your company will have a unique, secure directory.
- **limra.confirm.file.pattern:** For LIMRA AML integration service only. Sets the file name pattern for LIMRA confirmation (AML ID) files. Oftentimes, the file name pattern is something like as follows: *New AML IDs for [YourCompanyName].*?\.csv\pgp.* Note that file names are determined by Vertafore and LIMRA.
- **limra.course.file.pattern:** For LIMRA AML integration service only. Sets the file name pattern for LIMRA course information or status files. Oftentimes, the file name pattern is something like as follows: *AML Course Status for [YourCompanyName].*?\.csv\pgp.* Note that file names are determined by Vertafore and LIMRA.

Configure AML Credential Program

All of the “behind the scenes” set-up steps are out of the way, to wire up integration with inbound sources of AML training information and to feed information about AML-compliant producers to your company’s other systems.

Now the only configuration steps remaining are performed directly in Producer Manager.

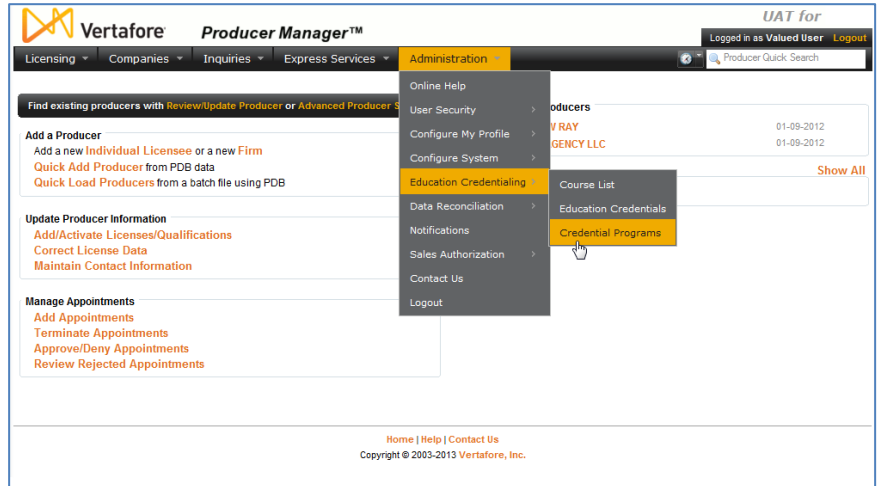
As discussed on page 8, as AML course completion data begins to flow in to Producer Manager through LIMRA Integration or Carrier Integration, the system can track on a running basis a producer's compliance with AML training requirements. An active AML "education credential" in Producer Manager can signify at a glance that a licensed producer is fully up-to-date with federal AML training mandates. Producer Manager can also export a producer's education credential status to your company's internal systems through the Outbound Data Feed.

The first step in making this happen, however, is to set up a credential program in Producer Manager, with requirements that will be satisfied by the AML courses as they start to roll in through the AML integration service.

From the **Administration** menu in Producer Manager, select **Education Credentialing**.

Then, from the submenu, select **Credential Programs**.

The **Credential Programs** page will open.

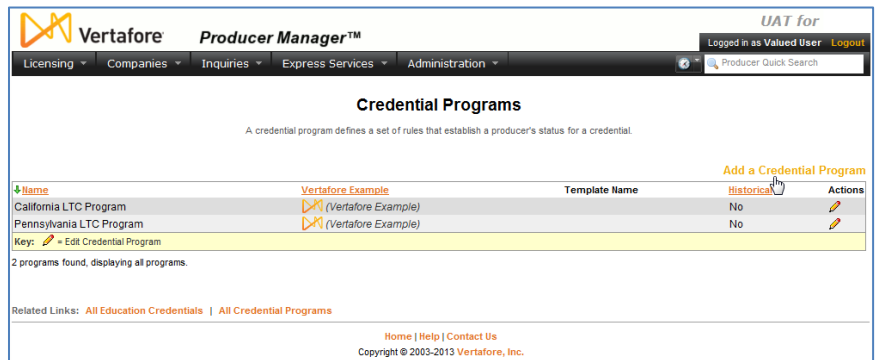


A credential program defines the education requirements that a producer is required to meet in order to attain or maintain an education credential. A credential program specifies the following:

- The types of producers that are eligible to fulfill the credential program
- The types of education courses that are applicable to the credential program
- The number of required course hours in the credential program
- The frequency with which the requirements of the credential program must be met
- The coverage period during which a producer's satisfaction of the requirements remains effective.

A credential program must be applied to an education credential in order to use an “education credential” to track the eligibility of a producer to represent certain lines of business or product types.

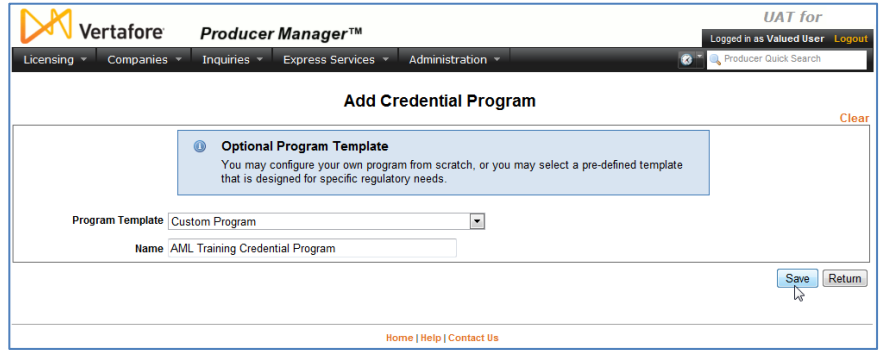
In our example, we want to add a new AML credential program. On the **Credential Programs** page, click the **Add a Credential Program** link at the upper right. The **Add Credential Program** page will open.



From the **Program Template** dropdown menu, select Custom Program.

Then, in the **Name** field, enter a name for the new AML credential program.

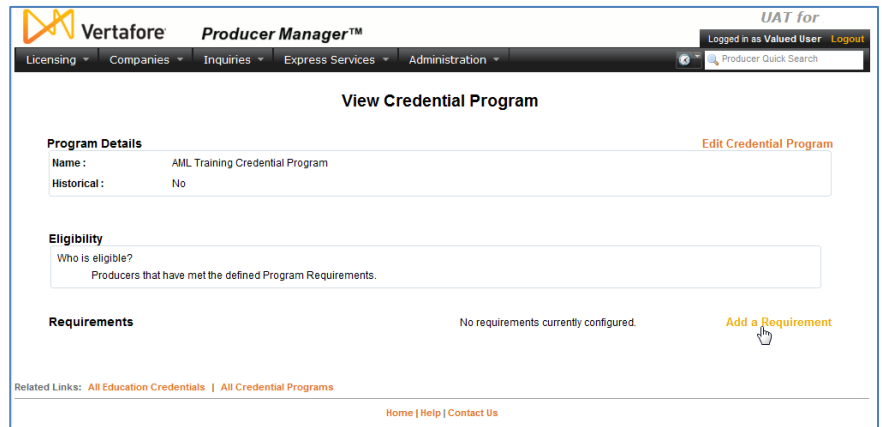
Click the **Save** button. The **View Credential Program** page will open.



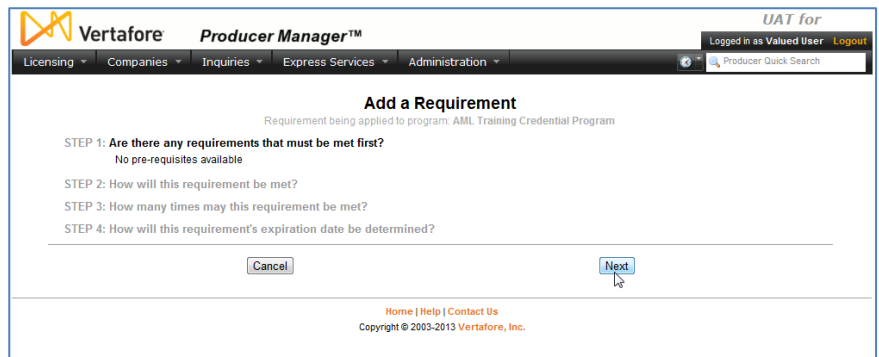
At this point, we have a credential program, but we don't yet have any requirements defined for it.

In the **Requirements** section of the **View Credential Program** page, click the **Add a Requirement** link.

The **Add a Requirement** page will open.



No pre-requisite courses are necessary for a producer to take and fulfill an initial AML training course, so click the **Next** button to continue.



In the **Step 2** section, we need to set up the requirement for initial AML training.

We also want to specify that when AML course completions stream in through AML integration, they will be recognized by their course category rather than by their specific course information, such as course name, course ID, provider ID, etc.

We do not have to worry at all about AML course specifics, because as long as we have the right course categories configured, Producer Manager will automatically add all specific course information to producer records.

Click the **Course Completions**

(**by Category**) radio button, and then in the **Category** multi-select box, you have some options:

- If your company is using LIMRA AML Integration, click to select Anti-Money Laundering
- If your company is using Carrier AML Integration, click to select AML Certification
- If your company is using both, press and hold the CTRL key while clicking to select both Anti-Money Laundering and AML Certification

NOTE: If Anti-Money Laundering or AML Certification are not available as options, their codes may not be active in the system. Check the CRS_CTGRY_CD code group on the **Maintain Codes** page. For more information on working with the **Maintain Codes** page, see page 8.

From the **Sub Category** dropdown menu, select Initial. This particular requirement is for producers' initial AML training; we'll set a requirement for ongoing or "refresher" AML training a bit later.

From the **Regulatory Body** dropdown menu, select Internal.

Leave the **Hours to meet** field blank.

When you are finished, click the **Add Criteria** button.

The page will reload to show you your selected credential program requirements so far.

Click the **Next** button to continue.

In the **Step 3** section, you can tell the system the frequency with which the specified coursework must be taken to fulfill the requirement.

Since this requirement governs an initial AML training course, click to select the **Once** radio button.

Then, click the **Next** button.

Step 4 asks you to set a coverage period for the requirement (i.e., the period of time that a producer, after having met the requirement, maintains good standing before coverage will expire or before needing to meet a subsequent requirement).

This setting is based largely on a company's interpretation of federal anti-money laundering training requirements. Generally, most companies interpret the law to mean that a producer is required to take an initial AML training course and then a refresher course every year. However, some companies have fixed dates by which their producers must have completed their initial or ongoing training.

In this example, we will configure the requirement so that an initial AML training covers producers for one full year. Then, we will configure each annual refresher AML training to cover producers for one calendar year. Using this model, the record of a compliant producer should reflect a training completion date in each year of compliance.

In the **Step 4** section, click to select the **Course Completion Date** radio button. This will enable the **Period** field.

In the **Period** field, enter "1". This will set producers' coverage period under the requirement to expire one year after an initial AML course is completed.

Click the **Next** button.

The last step in setting up the requirement for initial AML training is to give the requirement a name.

In the **Name** field, enter “AML Training – Initial”.

Then, click the **Finish** button. The **View Credential Programs** page will open again, this time showing the AML Training Credential Program with its initial training requirement configured.

Next, we will need to set up the requirement for producers’ ongoing AML training, so that they can stay in compliance and maintain an AML education credential. We will set up the ongoing requirement so that it “dovetails” with the initial requirement and prevents any gaps in coverage tracking.

As before when we set up the initial requirement, the procedure begins by clicking the **Add a Requirement** link on the **View Credential Program** page.

In the **Step 1** section, we need to set the initial training as a prerequisite to ongoing AML training. Click to checkmark the checkbox, and then click the **Next** button.

As before, we need to set up course criteria for the requirement.

Again choose **Course Completions (by Category)**, and then select the same course categories you chose when setting up the initial training requirement. (See page 17 for a reminder.)

From the **Sub Category** dropdown menu, this time select "Ongoing".

Select "Internal" from the **Regulatory Body** dropdown menu.

Again, leave the **Hours to meet** field blank.

Click the **Add Criteria** button to save your choices and move on.

Click the **Next** button.

For producers to stay compliant, they will need AML training on an ongoing basis. So, in **Step 3**, click to select the **Multiple Times** radio button.

Then, click the **Next** button.

For the recurring training requirement, we want to set it up so that producers are compelled to complete an ongoing AML training course each calendar year.

In the Step 4 section, click to select the **Fixed Review Date** radio button.

Select December 31 from the **Review Date** fields.

Then, enter “1” in the **Period** field. This will make ongoing training an annual requirement that must be met by December 31 each year.

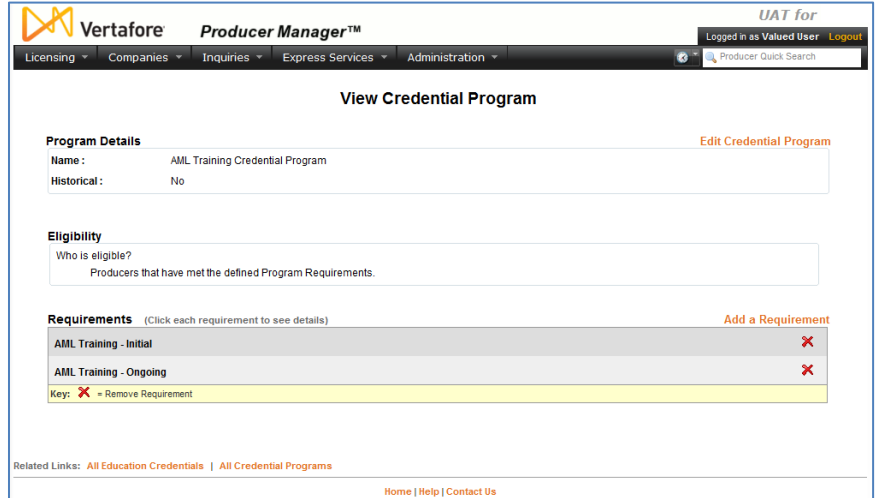
Click the **Next** button.

The final step is to give the ongoing AML training requirement a name, similar to the initial requirement.

Click the **Finish** button when you're done.

Now you have successfully added initial and ongoing AML training requirements to the AML credential program. When course completion records for producers' initial AML training flood in through AML integration, producers will automatically get credit for them, and they will apply toward producers' fulfillment of the AML credential program.

Next, our very last configuration step is to hook up the AML credential program to an AML education credential.



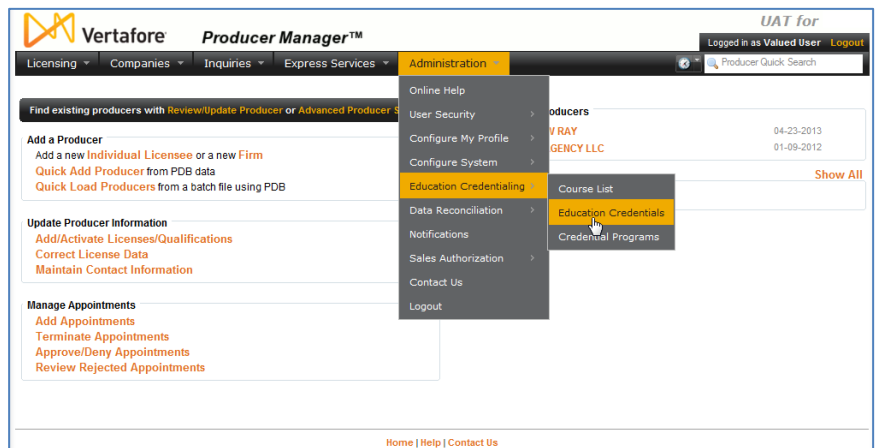
Set Up AML Education Credential

After you have successfully configured an AML training credential program, you will need create an AML education credential in Producer Manager and tie it to the credential program. That way, as producers fulfill the requirements of the credential program, their attainment of the AML education credential – their “badge of compliance” – will be reflected automatically on their records and Producer Manager and passed to downstream systems through other integration services.

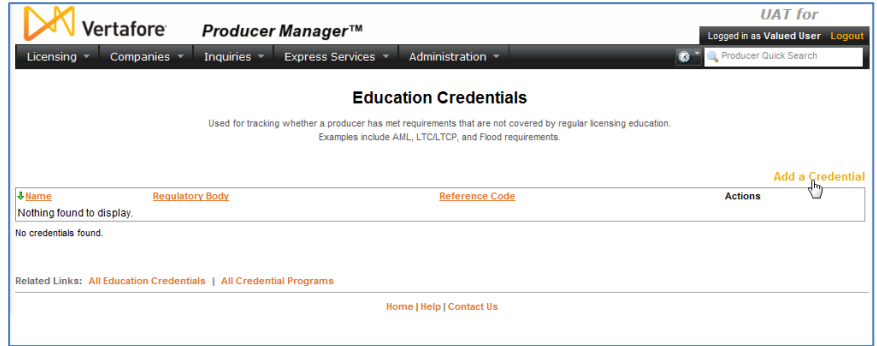
From the **Administration** menu in Producer Manager, select **Education Credentialing**.

Then, from the submenu, select **Education Credentials**.

The **Education Credentials** page will open.



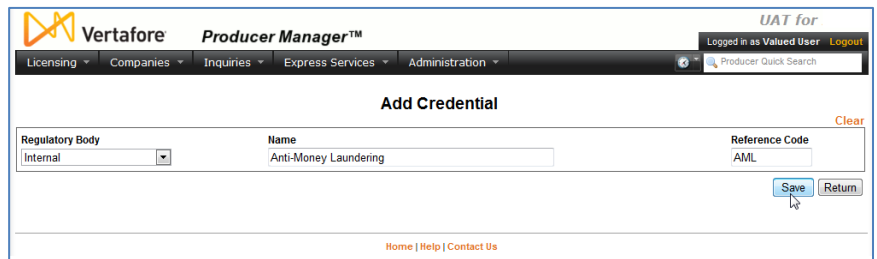
To add a new AML education credential, click the **Add a Credential** link. The **Add Credential** page will open.



From the **Regulatory Body** dropdown menu, select Internal.

In the **Name** field, enter “Anti-Money Laundering,” and in the **Reference Code** field, enter “AML”.

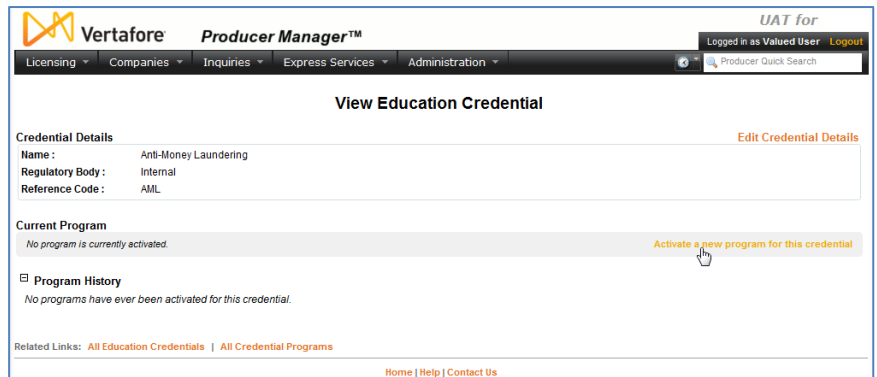
Click the **Save** button. The **View Education Credential** page will open, showing your newly configured education credential.



The thing is, the education credential doesn't do anything yet, because you haven't yet tied it to your AML credential. Let's do it...

On the **View Education Credential** page, click the **Activate a new program for this credential** link.

The page will reload, offering you some choices.



In the **Current Program** section, click the radio button to the left of the AML credential program you created in the “Configure AML Credential Program” chapter beginning on page 13.

This will enable the **Begin Date** field.

The **Begin Date** field is kind of a big deal. This is the date that the education credential becomes associated with the specific requirements of its active credential program. So, this is the benchmark date that the system will use to calculate producers’ historical and ongoing attainment and maintenance of the education credential.

From the date of a producer’s first eligibility for an education credential until the day before the education credential’s **Begin Date**, a producer’s record will display “N/A” for the education credential. Up to that point, there simply was no education credential in place for the producer to attain.

But from the **Begin Date** onward, and for as long as the current credential program is associated with the education credential, the producer’s record will display “Active” for the duration that the producer is meeting all requirements of the credential program. It will display “Inactive” for the duration that the producer is *not* meeting the requirements.

The **Begin Date** will default to today’s date. However, you may likely choose to backdate it, if retroactive AML course completions will be feeding into your system and updating producer records. This will show a richer history of producers holding the AML education credential and could provide better audit information. If you have questions or concerns, please ask your Vertafore representative.

To enter a date in the **Begin Date** field, use the *mm-dd-yyyy* date format.

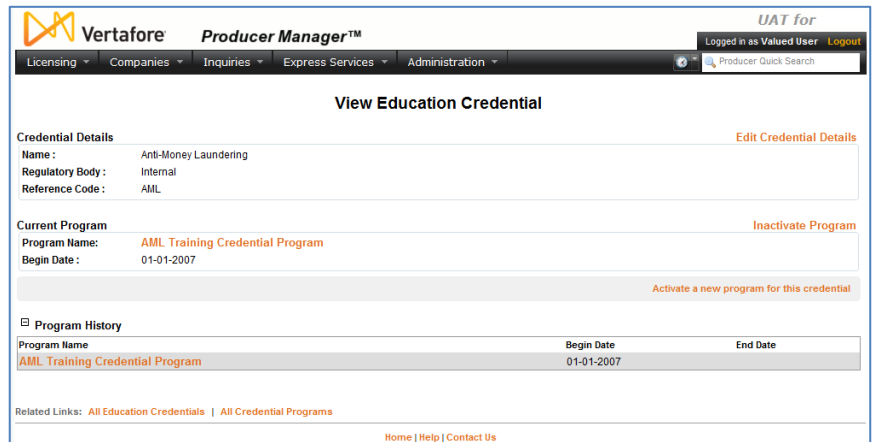
Then, click the **Activate** button.

The screenshot shows the 'View Education Credential' page in the Vertafore Producer Manager. The page is titled 'View Education Credential' and has a navigation bar with 'Licensing', 'Companies', 'Inquiries', 'Express Services', and 'Administration'. The user is logged in as 'Valued User' and is using 'UAT for' (User Acceptance Testing). The page displays the following information:

- Credential Details:** Name: Anti-Money Laundering, Regulatory Body: Internal, Reference Code: AML. There is an 'Edit Credential Details' link.
- Current Program:** A section for activating a new program. It shows 'Selected Program: AML Training Credential Program' and 'Begin Date: 01-01-2007'. Below this is a list of programs with radio buttons:
 - AML Training Credential Program
 - California LTC Program (Unavailable - regulatory body does not match)
 - Pennsylvania LTC Program (Unavailable - regulatory body does not match)
- At the bottom right of the program selection area, there are 'Activate' and 'Cancel Activation' buttons.
- Program History:** A section showing 'No programs have ever been activated for this credential.'
- At the bottom, there are 'Related Links: All Education Credentials | All Credential Programs' and a footer with 'Home | Help | Contact Us'.

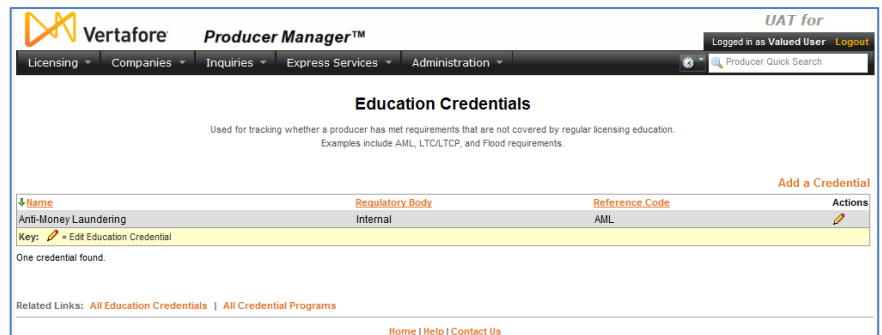
The new AML education credential is successfully configured. Beginning tonight, the system will calculate each night your producers' eligibility for the education credential as of the **Begin Date**.

On nights when the system calculates they are in complete fulfillment of the requirements of the credential program, producers' records in Producer Manager will reflect an active Anti-Money Laundering education credential. On nights when the system detects they are no longer in compliance with the requirements of the credential program, because of a loss of license or recurring AML training classes not taken, their AML education credential will become inactive.



On the **Education Credentials** page, you now can see the Anti-Money Laundering education credential displayed.

Over time, your company may choose to establish additional training “badges” that producers may attain: Long-Term Care, Annuities, Supplemental Disability, Privacy, or any internal or product training initiative of your company’s choosing.



Turn On Integration Service

With all AML integration configuration and set-up completed, it's time to “open the valve” and let the AML course completions begin to flow into the system.

Vertafore implementation project staff will work closely with your company’s project team to coordinate testing activities. Testing will take place in your company User Acceptance Testing (UAT) environment first. Then, if everything looks in good order, and when your company is ready, AML integration can be enabled in your company’s production PLM environment.

Prior to enabling integration testing, the Vertafore team will make sure that other important set-up activities are completed in the system’s backend, such as the following:

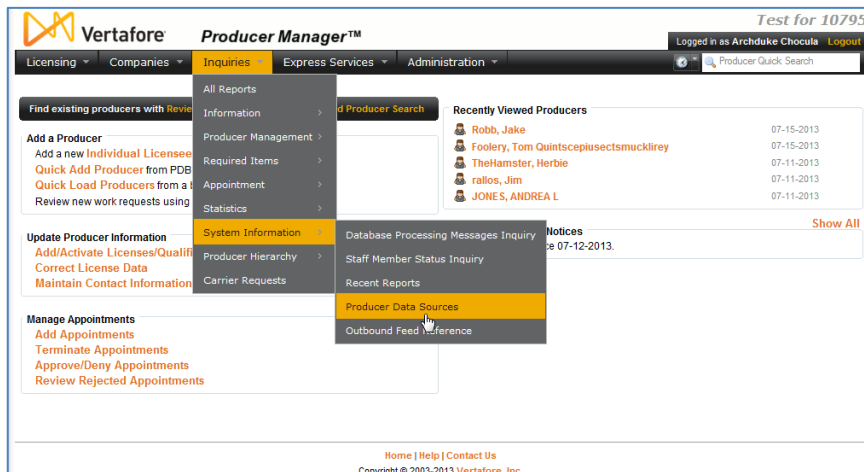
- Establishing on the LDAP authentication server a user name for your company’s integration client
- Establishing on the LDAP authentication server a password for your company’s integration client

- Obtaining from your company's IT staff your company's PGP encryption public key file and configuring the public key information on the LDAP server. Note that files must be PGP-encrypted, not PGP-encrypted and signed

In a coordinated fashion, these tasks will be carried out in your company's UAT and production environments alike.

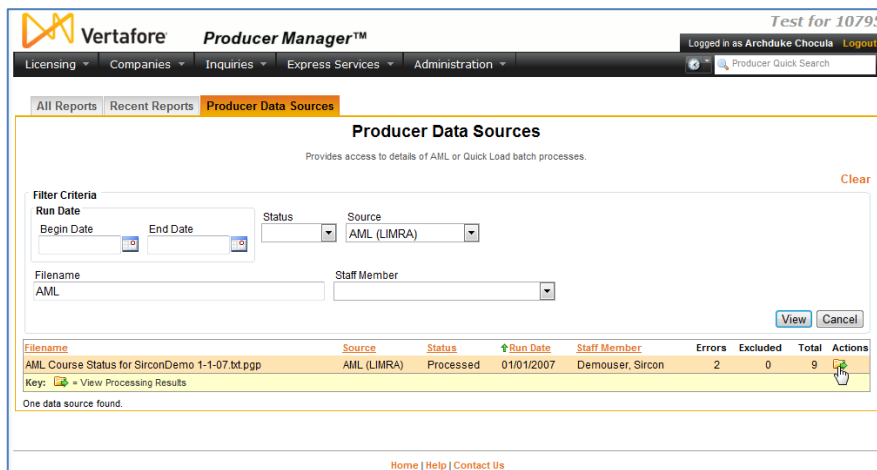
Verify the Flow of Data

Once AML integration is working, you can verify the receipt of course information files by Producer Manager.



From the **Inquiries** menu, select **System Information**, and then select **Producer Data Sources**.

The **Producer Data Sources** page will open. It



The **Producer Data Sources** page may contain a large volume of files uploaded to or ingested by Producer Manager. You can use the **Filter Criteria**, including **Filename**, **Source**, or **Run Date** range, to narrow the display.

You can view the processing details of a selected file. In the **Actions** column, click the **View Processing Results** (📄) button associated with the file you want to review.

Processing Results

Processing results for the selected producer data source:

Filename	Source	Status	Run Date	Staff Member
AML Course Status for SirconDemo 1-1-07.bt.pgp	AML (LIMRA)	Processed	01-01-2007	Sircon Demouser

Filter Criteria: Producer Type, Last Name/Firm Name, SSN/EIN, Status

Name	TIN	Producer Type	Status	Processing Messages	Actions
Snarf	****5655	Individual	Processed		
TestEightLast	****8888	Individual	Error	LIMRA Producer with last name: TestEightLast and with TIN: ****8888 does not exist.	
TestFourLast	****4444	Individual	Processed		
TestFourteenSixteenLast	****4161	Individual	Error	LIMRA Producer with last name: TestFourteenSixteenLast and with TIN: ****4161 does not exist.	
TestSevenLast	****7777	Individual	Processed		
TestSixLast	****6666	Individual	Processed		
TestThreeLast	****3333	Individual	Processed		
TestTwoLast	****2222	Individual	Processed		
Thayer	****3057	Individual	Processed		

Key: Show/Hide Processing Messages

9 results found, displaying all results.

The **Processing Results** page will redraw to show the specific producers whose records were updated with course completions from the integration source.

You can click the **Show/Hide Processing Messages** button () in the **Action** column associated with a producer whose course information update encountered an error.

You can click the name of a specific producer in the list to open his or her record to review course or credential information, in the **Course Completions** or **Education Credentials** data sections, respectively.

AML Compliance Tracking

When producer compliance information is updated automatically through either LIMRA Integration or Carrier Integration, Producer Manager makes it easy to tell if one or multiple producers have met all required AML training requirements. You can check for compliance of a single producer directly on his or her record. Or, you can run a report to show a filtered list of producers who are in compliance.

In this section, we'll discuss how these compliance checks are performed.

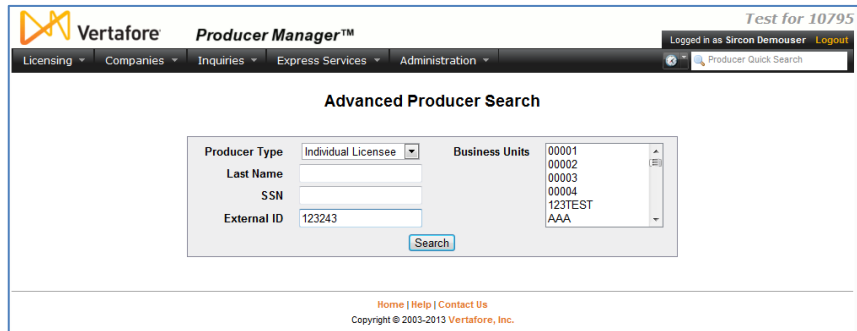
To get started, log in to Producer Manager. The Producer Manager **Home** page will open. The **Home** page is the launching point for performing any activity in Producer Manager.

Home | Help | Contact Us
Copyright © 2003-2013 Vertafore, Inc.

Check AML Compliance on a Producer's Record

Telling whether or not a producer is compliant with anti-money laundering training requirements is as easy as opening the producer's record in Producer Manager.

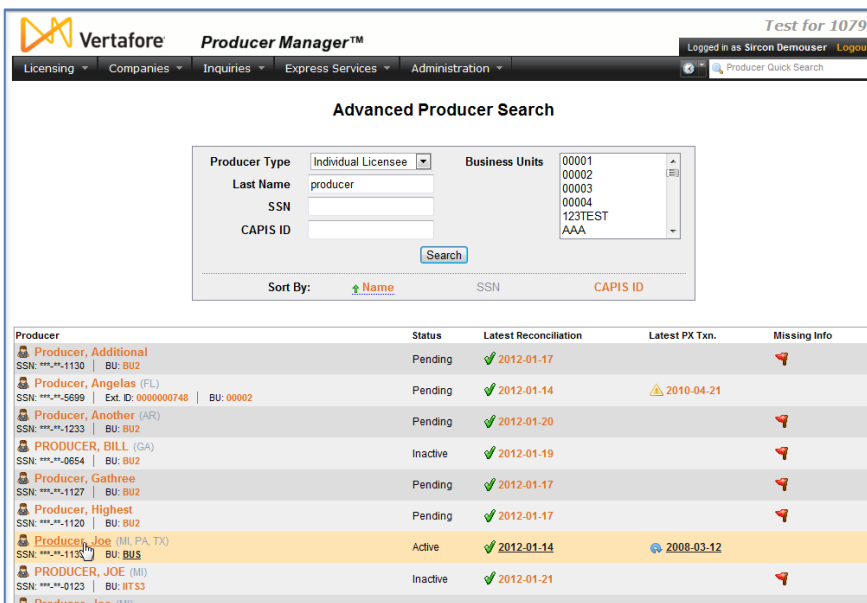
From the Producer Manager **Home** page, search for the record of a producer whose AML compliance you want to check. (For more information about searching for records, review the “Searching for Records” topic in the Producer Manager online help.)



Search for the producer whose record you want to check. Use any of the search criteria you like,

such as name, SSN, NPN, or others.

Note: In the **External ID** field, you could enter a producer’s unique carrier ID that may have been copied to the producer’s record along with his or her AML training course completion information.



In this example, we’ll search by name. Enter the producer’s last name in the **Last** field. You need enter only as few as two characters in name search fields.

Then click the **Search** button.

If only one producer record met your search criteria, the record would open directly. But if there were multiple records meeting your search criteria, you will need to select the one you want to work with, as illustrated

here.

Click the name of producer whose record you want to open. The name is a link to the record.

Vertafore Producer Manager™ Test for 10795
 Logged in as Sircon Demouser [Logout](#)

Licensing ▾ Companies ▾ Inquiries ▾ Express Services ▾ Administration ▾

Review/Update Individual

Producer, Joe Unrated [Search Producer](#)

SSN	License State/#	Active BU	NPN	Resident States
111-22-1133	MI 100356	BUS	2043	Michigan

Expand All

Individual Details Comments Producer Business Rules Resident States External Sys IDs Contact Information Address History Email Messages	Licenses/Qualifications Appointments Agreements Firm Associations Employment History Aliases Data Reconciliation State Producer Numbers	Education/Prof. Design. FINRA Information Required Items Background Investigations Business Units Locations and Departments Costs Education Credentials	Course Completions CE Requirements CE Courses Third Party Certifications License Applications Product Certifications Transaction History
--	--	--	--

Individual Details Top

Indv ID	Status	Eff Date	Term Date	Licensee
181028	Active	06-25-2001		<input checked="" type="checkbox"/>

The record of the selected producer opens up for review.

The section at the top of the producer’s record is called the **Quick Links** box. It gives you handy hyperlink access to all of the data sections on the record.

Find **Education Credentials** in the **Quick Links** box, and click it. This action will zoom you directly down to the producer’s education credentials.

Costs Top

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
<input type="checkbox"/> Internal	Anti-Money Laundering	Inactive	01-01-2009	
		Active	02-21-2007	12-31-2008
		Inactive	02-01-2007	02-20-2007
		N/A	08-20-2002	01-31-2007

Course Completions Top

Course Name	Provider Name	Provider Subscriber ID	Provider Course ID	Category	Subcategory	Regulatory Body	Credit Hours	Completion Date	Document Reference
Anti-Money Laundering for Insurance Producers	LIMRA			Anti-Money Laundering	Initial			02-21-2007	

One course completion found.

[Add/Delete Course Completions](#)

CE Requirements Top

Here you can see the selected producer’s history with the Anti-Money Laundering education credential. All education credentials that are in Active status display in the **Active Credentials** sub-section. All those that are currently in Inactive status display in the **Inactive Credentials** sub-section.

Below the **Education Credentials** data section is the **Course Completions** data section. Click the node or “plus box” (⊕) to the left of it to expand its contents. In it, you can view all of the education course completions that have been recorded either automatically through third-party integration services (such as AML integration) or manually by a staff member.

Note that this producer completed his initial AML training course on 02-21-2007.

Now take a look again at the **Education Credentials** data section, and read the values of the **Status**, **Start Date**, and **End Date** field from the bottom up. Notice that from 08-20-2002 until 01-31-2007, the producer’s status with the AML education credential was “N/A” – not applicable.

This interval reflects the period of time when the producer first became eligible for an education credential of any kind – probably beginning with the original issue date of the producer’s residence state license – but before there was an active AML education credential in the system.

Next, notice that between 02-01-2007 until 02-20-2007, the producer’s compliance status with the AML education credential changed to “Inactive.”

This interval reflects the period of time between the date that the Anti-Money Laundering education credential was associated with a credential program’s requirements (the education credential’s **Begin Date**) and the date just prior to the producer receiving credit for his initial AML training course. Technically speaking, for this period the producer would have been out of federal AML training compliance to sell cash-value products, such as life insurance or annuities.

Next, notice that from 02-21-2007 (the day the producer completed the initial AML course) and 12-31-2008, the producer’s status for the AML education credential was “Active.”

This interval reflects the producer’s education credential coverage period, a period when he was deemed to be in compliance with federal AML training regulations. The producer was covered by his initial AML training for one full year – 02-21-2007 to 02-20-2008. Further, under the requirements of the ongoing AML requirement, the producer had until the first day of the following year (01-01-2009) to complete his first “refresher” AML training course. The system kept his AML education credential in Active status for the entire calendar year of 2008.

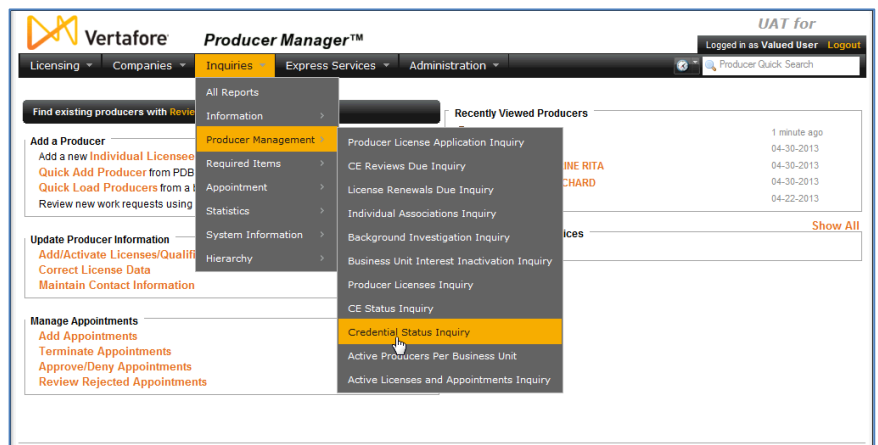
But then, at last, when the producer failed to take his first ongoing AML course, the system changed his education credential status to “Inactive,” on the first day that his coverage period expired. If the producer took another AML course sometime in 2009, his active status could be restored for the term of the ongoing training requirement.

Check a Group of Producers’ AML Compliance

You can easily check to see the status of an entire group of producers’ AML education credentials. It’s as easy as running a simple report.

From the **Inquiries** menu, select **Producer Management**, and then select the **Credential Status Inquiry** submenu option.

The **Credential Status Inquiry** page will open.



There are a number of different ways that you can view this report.

You could, for example, simply pull together a list of every producer with an active Anti-Money Laundering education credential. To do this, simply click the **Active Credentials** radio button in the **Filter Criteria** section of the page, and run the inquiry.


Or, you could find out which producers' AML education credentials have lapsed. To do so, just click the **Inactive Credentials** radio button.

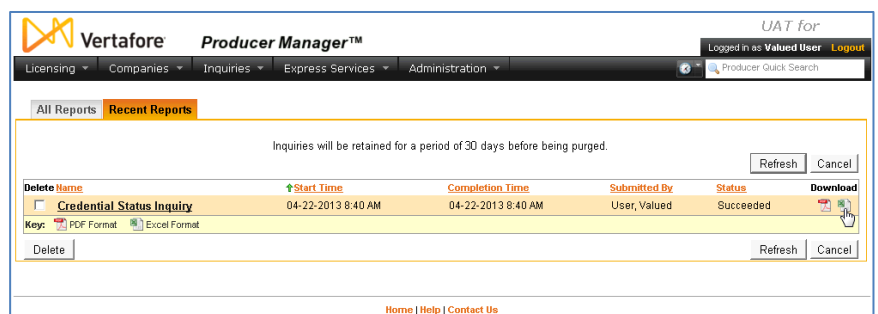
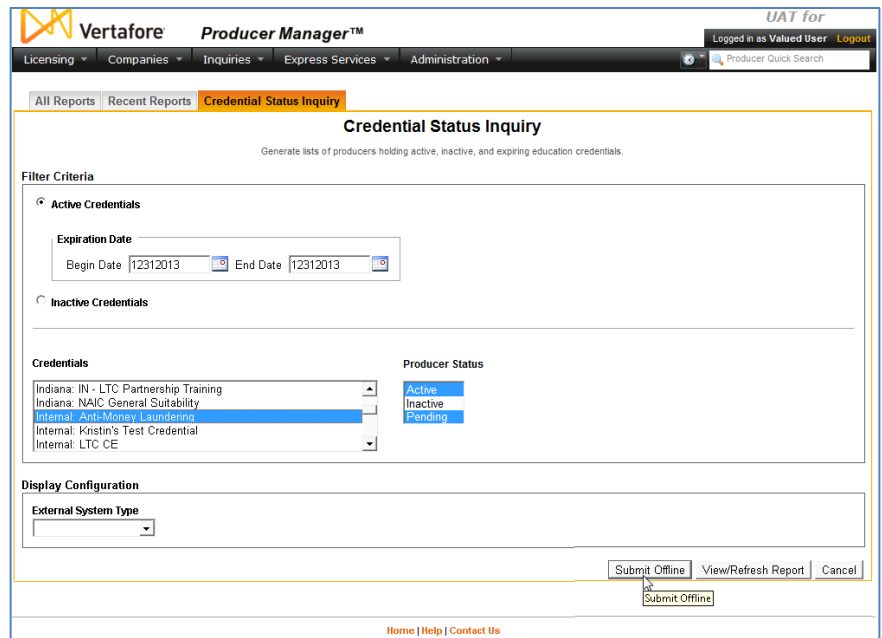
Or – as in this example – you could find out which producers' AML education credentials expire on a certain date. For this inquiry, put an identical date in the **Begin Date** and **End Date** fields. (You could also put in a date range, if desired, to find out which education credentials expire on some date within the range.)

From the **Credentials** multi-select box, select “Internal – Anti-Money Laundering” or whatever name you gave to your AML education credential when you configured it. Note that the education credentials are sorted in the box by **Regulatory Body** name (also set as “Internal” when you configured the education credential).

If desired, you can filter the report by a selected **External System Type**, such as the “CARRIER_ID” external system type that we showed you how to configure beginning on the page 8.

When you are finished, click the **Submit Offline** button. This will send the inquiry job to a background queue to process. You will be able to track its progress on the **Recent Reports** tab. Click the **Refresh** button while the inquiry is running to get updated processing status.

When the **Status** is Succeeded, click the Microsoft Excel icon () to open the report in a spreadsheet application.



There is your list of producers that met your inquiry criteria. You can view and manipulate the report as you would any other spreadsheet output.

Tracking Producer Compliance with Federal Anti-Money Laundering Regulations

5/1/2013										
Credential Status Inquiry										
Expiration Date: 12/31/2013 to 12/31/2013										
Credential(s): Internal - Anti-Money Laundering										
Producer Status: Active (AC), Pending (PH)										
Individual Name	External System	Regulatory Body	Credential Name	Expiration Date	Mailing Address Line 1	Mailing Address Line 2	City	State	Postal Code	E-mail
PRODUCER, JOE	12345	Wisconsin	Internal - Anti-Money Laundering	12-31-2013	1234 Springtime Lane		MADISON	VA	537192	
PRODUCER, JOE	12346	Pennsylvania	Internal - Anti-Money Laundering	12-31-2013	1235 Springtime Lane		DOMINGTO VMI	PA	19392724	
PRODUCER, JOE	12347	Arizona	Internal - Anti-Money Laundering	12-31-2013	1236 Springtime Lane		STATE COLLEGE	PA	168018309	
PRODUCER, JOE	12348	Ohio	Internal - Anti-Money Laundering	12-31-2013	1237 Springtime Lane		STATE COLLEGE	PA	168018309	
PRODUCER, JOE	12349	Kansas	Internal - Anti-Money Laundering	12-31-2013	1238 Springtime Lane		LENEKA	KS	662152827	
PRODUCER, JOE	12350	Ohio	Internal - Anti-Money Laundering	12-31-2013	1239 Springtime Lane		KANSAS CITY	MO	641143312	
PRODUCER, JOE	12351	Iowa	Internal - Anti-Money Laundering	12-31-2013	1240 Springtime Lane		CHESTERFIELD	MO	63017	
PRODUCER, JOE	12352	Iowa	Internal - Anti-Money Laundering	12-31-2013	1241 Springtime Lane		BLAIRSTOWN	NJ	078253032	
PRODUCER, JOE	12353	Pennsylvania	Internal - Anti-Money Laundering	12-31-2013	1242 Springtime Lane		BLAIRSTOWN	NJ	078253032	
PRODUCER, JOE	12354	Maryland	Internal - Anti-Money Laundering	12-31-2013	1243 Springtime Lane		CYPRESS	TX	774294374	
PRODUCER, JOE	12355	Pennsylvania	Internal - Anti-Money Laundering	12-31-2013	1244 Springtime Lane		CYPRESS	TX	774294374	
PRODUCER, JOE	12356	North Carolina	Internal - Anti-Money Laundering	12-31-2013	1245 Springtime Lane		CHARLOTTE	NC	58210	
PRODUCER, JOE	12357	South Carolina	Internal - Anti-Money Laundering	12-31-2013	1246 Springtime Lane		CHARLOTTE	NC	58210	

Click the **Cancel** button to close the **Recent Reports** page and return to the Producer Manager **Home** page.

Check AML Education Compliance Status through Internal Systems

Using information obtained from the Outbound Data Feed (OBDF), carriers also can track producers' AML training compliance status through their internal systems, such as new business and compensation. Producer Manager can transmit producer compliance data that can be viewed from within your company's enterprise systems. This means that, for example, when a producer has business in hand, you can check through your new business system to ensure that the producer is compliant.

Education Credentials and Status

The latest status of a producer's education credential populates the CourseRequirements node in an OBDF export file.

The following fields are included for a single CourseRequirement (i.e., education credential) nested in the CourseRequirements node:

<CourseRequirement> Child Element	Definition
Type - Code (attribute of CourseRequirement)	Value of Reference Code field (configured on the Add Credential page)
Type - Value (attribute of CourseRequirement)	Values of Regulatory Body:Education Credential Name (configured on the Add Credential page)
InsertUserId	User ID audit field for user who inserted the education credential
InsertDateTime	Date and timestamp audit field for when the education credential was inserted
UpdateUserId	User ID audit field for user who most recently updated the education credential
UpdateDateTime	Date and timestamp audit field when the education credential was most recently updated
State	Value of Regulatory Body field
Status	See below *
StatusDate	Current Status Start Date field
AssignedReviewDate	Current Status End Date field
RequiredHours	Not used with education credentials
AppliedHours	Not used with education credentials
<p>* Education credential status in the OBDF and Credential Status Inquiry is not quite the same as that displayed in the Education Credentials data section on a producer's record in Producer Manager.</p> <p>Furthermore, the status in the OBDF and Credential Status Inquiry can be modified based on customer requirements by the setting of a system business rule: (ec.credStatus.recordLatest.includeNotApplicableStatus). If the business rule is disabled (set to "N"), the following status codes apply:</p> <ul style="list-style-type: none"> • NC (Not Compliant): Value if status on producer record is IN (Inactive) or N/A (Not currently applicable) • CM (Compliant): Value if status on producer record is AC (Active) 	

If the business rule is enabled (set to “Y”), the following status codes apply:

- **NC** (Not Compliant): Value if status on producer record is IN (Inactive)
- **CM** (Compliant): Value if status on producer record is AC (Active)
- **NR** (No Longer Required): Value if status on producer record is N/A (Not currently applicable)

Course Completions

Course completions populate the Courses node in an OBD export file.

The following fields are included for a single Course nested in the Courses node:

<Course> Child Element	Definition
InsertUserId	User ID audit field for user who inserted the course completion
InsertDateTime	Date and timestamp audit field for when the course completion was inserted
UpdateUserId	User ID audit field for user who most recently updated the course completion
UpdateDateTime	Date and timestamp audit field when the course completion was most recently updated
Number	Optional. Value of the course ID of the course in the Producer Manager database. (Value of “0” for manually entered course completions.
CompletionDate	Value of the course’s Completion Date field
Name	Value of course Name field
Hours	Value of course Hours field
Category	Value of Course Category field
Subcategory	Value of Sub Category field
RegulatoryBody	Value of Regulatory Body field
DocumentReference	Value of Document Reference field
ProviderName	Value of Provider Name field
ProviderId	Value of Provider ID field
ProviderSubscriberId	Value of provider’s Vertafore subscriber ID
Status	Value will always be CMPLT (complete) for course completions

Appendix A: Integration File Layouts and Mapping

LIMRA Integration

For description and illustration of process, see “LIMRA Integration” on page 4.

Producer List File (Carrier to LIMRA)

The layout of the pass-through file is determined by the carrier and LIMRA. Vertafore does not modify the format or contents of the file during the integration process.

Below is an illustration of an example Producer List File:

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S
1	Company or Subsidiary ID (Optional)	Agency or Division ID (Optional)	Last Name	First Name	Middle Initial	Social Security Number	Course Type: 1=Home office, 2= Producer	Optional 1	Optional 2										
2	Text	Text	Text	Text	Text	Text	Text	Text	Text										
3	255	50	30	255	255	12		1	50	50									
4																			
5																			
6																			
7																			
8																			
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10																			
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Course Information File Layout (LIMRA to Vertafore)

The following specifies the fixed-width file layout of the file containing producer course completions obtained by Vertafore from LIMRA. It also includes the mapping of data from the LIMRA file to named fields in Producer Manager.

Note that in addition using course completion data received through integration to automatically create **Course Completions** on affected producer records in Producer Manager, the system also will use it to automatically add courses to the **Course List** page, which is accessible to PLM users with administrator permissions. All courses added to the **Course List** page will by default have the **Make course available for new course completions** checkbox disabled, which means that the course will be unavailable to use to manually add course completion records.

Field Name	Data Type	Max Width	Description	Producer Manager Producer Record Field Mapping ¹
Company Name	Text	100	Carrier name	Ignored

Field Name	Data Type	Max Width	Description	Producer Manager Producer Record Field Mapping ¹
Company or Subsidiary ID	Text	255	Ignored	Ignored
Agency or Division ID	Text	50	Ignored	Ignored
Last Name	Text	255	Producer's last name	Ignored, or actual value of Last Name field in LIMRA file is merged to the Last field in the Individual Details data section ²
First Name	Text	255	Producer's first name	Ignored, or actual value of First Name field in LIMRA file is merged to the First field in the Individual Details data section ²
Middle Initial	Text	255	Producer's middle name first initial	Ignored, or actual value of Middle Initial field in LIMRA file is merged to the Middle field in the Individual Details data section ²
ID	Text	12	Producer's LIMRA ID	<ul style="list-style-type: none"> Value of "LIMRA" is merged to the External System Type field in the External Sys IDs data section Actual value of ID field in LIMRA file is merged to the External System Identifier field in the External Sys IDs data section
Optional 1	Text	50	Producer's Social Security Number	<ul style="list-style-type: none"> Value of Optional 1 field is used to validate existence of matching producer record in Producer Manager Value is ignored for merging/mapping purposes

Field Name	Data Type	Max Width	Description	Producer Manager Producer Record Field Mapping ¹
Optional 2	Text	50	Producer's carrier ID	<ul style="list-style-type: none"> Value of external system type configured in the INTRFC_TYPE_CD code group on the Maintain Codes page and set in the carrier.system.id business rule is merged to the External System Type field in the External Sys IDs data section³ Actual value of Optional 2 field in LIMRA file is merged to the External System Identifier field in the External Sys IDs data section
Date Submitted	Date/Time		Date producer submitted to LIMRA	Ignored
courseid	Text	100	LIMRA course name	Value of courseid field in LIMRA file is merged to the Course Name field in the Course Completions data section ⁴
Course Status	Text	50	LIMRA course status (e.g., "Base Course Completed" or "Course Completed")	<ul style="list-style-type: none"> Value of "Base Course Completed" in the Course Status field of the LIMRA file is mapped to the "Initial" value of the Subcategory field in the Course Completions data section Value of "Course Completed" in the Course Status field of the LIMRA file is mapped to the "Ongoing" value of the Subcategory field in the Course Completions data section All other values in the LIMRA file are ignored
Last Accessed	Date/Time		Producer's course completion date and timestamp ⁵	<ul style="list-style-type: none"> Date value of Last Accessed field of the LIMRA file is merged to the Completion Date field in the Course Completions data section. Timestamp is ignored

Field Name	Data Type	Max Width	Description	Producer Manager Producer Record Field Mapping ¹
<p>¹ In addition to the specified field mappings, a valid LIMRA course completion file also results in the following data merges to a producer record in Producer Manager:</p> <ul style="list-style-type: none"> • Value of “LIMRA” is merged to the Provider Name field in the Course Completions data section and the Add Course page • Value of “Anti-Money Laundering” is merged to the Category field in the Course Completions data section and the Add Course page • Value of “Internal” is merged to the Regulatory Body field in the Course Completions data section and the Add Course page • The Course Hours field on the Course Completions data section and Add Course page is null <p>² If the allow.aml.producer.updates business rule is not enabled through Vertafore configuration in the system’s backend, values will not be merged to producer records. If the allow.aml.producer.updates business rule is enabled by Vertafore configuration, producer records will be updated with name information from the course completions file.</p> <p>³ Merged value <u>must</u> be configured as a code in the INTRFC_TYPE_CD code group on the Maintain Codes page in Producer Manager (Administration menu>Configure System>Maintain Codes). Identical value must be Vertafore-configured as the setting of the carrier.system.id business rule in the system’s backend.</p> <p>⁴ Merged value must be configured as a Course Name on the Course List page in Producer Manager (Administration menu>Education Credentialing>Course List).</p> <p>⁵ Date must be formatted as <i>mm/dd/yyyy hh:mm:ss</i>.</p>				

Carrier Integration

For description and illustration of process, see “Carrier Integration” on page 6.

Distributor Certified File Layout (Distributor to Carrier to Vertafore)

Field Name	Data Type	Max Width	Description	Producer Manager Producer Record Field Mapping ¹
Company Name	Text	100	Must be included, but need not contain a value	Ignored
Company or Subsidiary ID	Text	255	Must be included, but need not contain a value	Ignored

Field Name	Data Type	Max Width	Description	Producer Manager Producer Record Field Mapping ¹
Agency or Division ID	Text	50	Tax ID of certifying distributor (e.g., broker/dealer or bank)	Value is merged to the Provider ID in the Course Completions data section
Last Name	Text	255	Producer's last name	Ignored, or actual value of Last Name field in distributor-certified file is merged to the Last field in the Individual Details data section ²
First Name	Text	255	Producer's first name	Ignored, or actual value of Last Name field in distributor-certified file is merged to the First field in the Individual Details data section ²
Middle Initial	Text	255	Producer's middle name first initial	Ignored, or actual value of Last Name field in distributor-certified file is merged to the Middle field in the Individual Details data section ²
ID	Text	12	Must be included, but need not contain a value	Ignored
Optional 1	Text	50	Producer's Tax ID	<ul style="list-style-type: none"> Value of Optional 1 field is used to validate existence of matching producer record in Producer Manager Value is ignored for merging/mapping purposes
Optional 2	Text	50	Producer's carrier ID	<ul style="list-style-type: none"> Value of external system type configured in the INTRFC_TYPE_CD code group on the Maintain Codes page and set in the carrier.system.id business rule is merged to the External System Type field in the External Sys IDs data section³ Actual value of Optional 2 field in distributor-certified file is merged to the External System Identifier field in the External Sys IDs data section
Date Submitted	Date/Time		Must be included, but need not contain a value	Ignored

Field Name	Data Type	Max Width	Description	Producer Manager Producer Record Field Mapping ¹
courseid	Text	100	BDCERT	Value of courseid field in distributor-certified file is merged to the Course Name field in the Course Completions data section
Course Status	Text	50	Base Course Completed	Value of “Base Course Completed” in the Course Status field of the LIMRA file is mapped to the “Initial” value of the Subcategory field in the Course Completions data section
Last Accessed	Date/Time		File save date	Ignored
Broker/Dealer or Bank Name	Text	72	Name of certifying distributor	Value is merged to the Provider Name in the Course Completions data section
Name Suffix	Text	3	Name suffix of certified producer	Ignored, or actual value of Last Name field in distributor-certified file is merged to the Suffix field in the Individual Details data section ²

¹ In addition to the specified field mappings, a valid distributor-certified course completion file also results in the following data merges to a producer record in Producer Manager:

- Value of “AML Certification” is merged to the Course Category field in the Course Completions data section and the Add Course page
- The Subcategory field in the Course Completions data section and Add Course page is null
- Value of “Internal” is merged to the Regulatory Body field in the Course Completions data section and the Add Course page
- The Course Hours field on the Course Completions data section and Add Course page is null

² If the allow.aml.producer.updates business rule is not enabled through Vertafore configuration in the system’s backend, values will not be merged to producer records. If the allow.aml.producer.updates business rule is enabled by Vertafore configuration, producer records will be updated with name information from the course completions file.

³ Merged value must be configured as a code in the INTRFC_TYPE_CD code group on the Maintain Codes page in Producer Manager. Identical value must be Vertafore-configured as the setting of the carrier.system.id business rule in the system’s backend.