# **Producer Manager User Guide**



A Guide to Producer Manager Inquiries November 2016 | Version 7.7



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## **Inquiries Menu**

The Inquiries menu offers options allowing you to query the system for specific information.

Inquiries 💦	
All Reports	
Information	•
Producer Management	•
Required Items	•
Appointment	•
Statistics	•
System Information	•
Producer Hierarchy	•
Carrier Requests	

Most inquiries provide an on-demand output option, but all inquiries provide an option to generate report results offline, which offers broader reporting parameters and better performance. All inquiries can be printed, downloaded to disk, converted to report-formatted Adobe PDF files, or exported to other formats, such as XML or CSV, for further analysis or for export to other systems.

The Inquiries menu offers the following sub-menu options:

- All Reports
- Information
- Producer Management
- Required Items
- <u>Appointment</u>
- Statistics
- System Information
- Producer Hierarchy
- <u>Carrier Requests</u>

An inquiry may be unavailable for selection based on your company's specific deployment of Producer Manager (carrier or agency/brokerage) or the security settings specific to your user account. For more information, see Maintain Security Role.

## **All Reports**

Use the **All Reports** tab to view a list of inquiries available in Producer Manager, along with a brief description of each report, and a question mark icon ((2)) that when clicked will open the online help for that particular report.

ensing - Companies - Inquiries	Express Services * Administration *	1
All Reports Recent Reports		
Information	Used to pull a printable version of a single individual's record, including name and contact information, and active and inactive licenses,	
ndividual Information Inquiry	qualifications, appointments, and agency asaociations. Used to pull a printable version of a single agency's record, including contact information, complete license information including status	
	history, and individual associations.	
Producer Management	Check the status of all producer license applications submitted or recorded within a certain date range. You can also view information about	
Producer License Application Inquiry	related qualifications, appointments, or associations.	
CE Reviews Due Inquiry	Which of your producers are due for an licensing education compliance review? Which are past due? Run the report to find out. Find out whose licenses are coming up for renewal. You can filter the report by due date, license state, license states, qualifications and	
License Renewals Due Inquiry	business unit.	
ndividual 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.	
Background Investigation Inquiry	Are appointments or licenses being held up by background investigation requests? Probe deeper into the issue and check BI status and	
	results by running this report. Get a "heads up" that a producer should be terminated by running this report to discover when other business units have already inactivated	
Business Unit Interest Inactivation Inquiry	the producer.	
Producer Licenses Inquiry	Generate late of produces, ether individuals or agencies, who are active or inactive in a given state. Filter the report to show only those agents associated with a specific agency. Or, narrow the late of display producers in a specific business unit or that are residents or non- residents of the selected state.	
CE Status Inquiry	Check on your agents' progress in completing all or any of their state licensing continuing education requirements. Or, simply obtain a list of those who are out of compliance.	
	Find out which of your agents have an AML, LTC, or other education credential that is coming due for renewal within a given timeframe.	
Credential Expiration Inquiry	Includes mailing and email addresses so you can inform the agent of the expiring credential	
Active Producers Per Business Unit Producer Costs Inquiry	Get a count of the active producers that belong to each one of your business units. Shows the regulatory costs essociated with producers.	
2.2	anowa ule regulatory costs associated with producers.	
Required Items		
Required Items Inquiry ndwduals w/ Assoc Firms Rqd Items	Find out which producers have not yet provided items required for licensure in any state or in just one.	
nquiry	Report the same information as the Individual Required items inquiry but on individuals associated with a specific agency.	
Appointment		
	Find out who holds or held an appointment with a particular company in a selected state in a given month. The report also shows appointments with fermination dates on or after the date range specified. Please note, if you choose to "View/Referah Report" the date range	
Company Appointment List Inquiry	appointments with information dates the or alter time aster range spectrem, restain note, it you catalants to or with the set of an or equal to 31 days. As occupied to the Company Aquation 31 days.	
Appointments by Type Inquiry	active and inactive appointments held by producers in a selected state, regardless of appointing company or period of time.	
Appointment Request Status Inquiry	Check the status of appointment requests in all one, or multiple states. If desired, filler by request status, state, submitting statif member, or business unit. If you elect to report appointment requests with multiple statuses, the report conveniently groups the output by request status (e.g., see all approved requests, then all denied requests, etc.).	
Appointment Confirmation Inquiry	Generate and send formatted letters to all producers (or just one producer) informing them of the results of appointment requests submitted on their behalf during a specified time period. You can their the report to show only those requests submitted by a particular staff member, for	
Firm Associated Individual Appointments Inquiry	a particular business unit, or with a particular resist (6.g., approved, denied, etc.). Check to see what appointment actions have occurred among producers associated with a selected agency in the past month. This flexible import list synchroade to view appointment data for individuals connected with firms either by a formal association or by an external system	
malid Individual Licensee Appointments	code. You can scan your producer records to find producers who hold invalid appointments because of non-existent or inactive associations or	
nquiry	direct or indirect agreements	
Business Unit Appointment Termination nquiry	Find out If and when producers were terminated by a business unit other than your own - a condition that could affect the producers' ability to set for your business unit.	
Appointments By State Inquiry	Look up active or inactive appointments held by individual or firm producers grouped by state. If an appointment was terminated, the report shows the termination date and reason.	
ndividual Appointments Inquiry	Review all appointment and termination activity for all producers (or just one producer) in your system during the past month.	
Statistics		
Operator Productivity Inquiry	Run a basic report on the types and volume of activities of one or multiple staff members during a specified time period.	
Advanced Operator Productivity Inquiry	Heed to account down to the second for staff members' time spent on activities? This report will ket you do it, along with the dates, total hours, minutes, and seconds one or multiple staff members were logged into Producer Manager while performing various activity types and authypes.	
Approved Appointments Inquiry	Access a list of approved appointments for a given company, state, and date range.	
System Information		
Database Processing Messages Inquiry	Check a log showing database errors that may have occurred during daily automated operations that may have stalled the successful	
	completion of a database job	
Staff Member Status Inquiry Producer Data Sources	Generate a list of active and/or inactive users in Producer Manager that includes system information, such as user name and role. Provides access to details of AML or Guick Load batch processes.	
Outbound Feed Reference	Cenerates a list of codes that night be used in an Outbound Data Feed file.	
Producer Hierarchy		
	Find out when producers' licenses are up for renewal. You can limit the report to show renewals due only for producers who report to a	
license Renewals Due	specified producer: Locate new producers added to the system in the past month. You can limit the report to show only new producers who report to a specified	
New Producer Inquiry	Locate new producers added to the system in the past month. You can limit the report to show only new producers who report to a specified producer.	
Producer Appointment Inquiry	Review all appointment and termination activity for all producers (or just one producer) in your system during the past month. You can limit the report to show appointment and termination activity only for producers who report to a specified producer.	
Report of Producers in a Hierarchy	Shows all the producers that have agreements that are "in the downline" for any given parent agreement. Parent agreements are specified by either selecting a specific agreement, or by a list of external system ids assigned to the agreements.	
	A Contract of the second	

Click an inquiry name to open its associated page where you can enter report criteria. If a report is not available to you, it will be listed but you will be unable to click the name of the report to open it. If you feel you should have access to the report, contact your system administrator. Reports are made available through the **Maintain Security Role** function on the **Administration** menu.

## Recent Reports

Use the **Recent Reports** tab to view, access, and maintain inquiries that have been generated offline. A report generated offline will display on the **Recent Reports** tab for 30 days or until a user deletes it.

Vertafore Prod	L	UAT for Logged in as Valued User				
Licensing - Companies - Inquiri	ies 👻 Express Services 👻 Administr	ation 👻	Ø* C	Vroducer Quick Sea	arch	
All Reports Recent Reports						
	Inquiries will be retained for a period o	f 30 days before being purged		Refresh	Cancel	
Delete Name	<u> ↑ Start Time</u>	Completion Time	Submitted By	<u>Status</u>	Download	
Abort Approved Appointments Inquiry	05-13-2014 9:12 AM	-	User, Valued	Running		
Individual Appointments Inqui	iry 05-13-2014 9:11 AM	05-13-2014 9:12 AM	User, Valued	Succeeded	📆 🐒	
License Renewals Due Inquiry	y 05-13-2014 9:10 AM	05-13-2014 9:11 AM	User, Valued	Succeeded	🔁 🕙	
Key: 📆 PDF Format Excel Format						
Delete				Refresh	Cancel	
	Home   Help   Co	ontact Us				

To open the **Recent Reports** tab, use one of the following methods:

- From the Inquiries menu, select All Reports, and then click the Recent Reports tab.
- From the Inquiries menu, select System Information, and then select Recent Reports.

Fields and controls include the following:

- All Reports: Click to open the <u>All Reports</u> page, displaying names and descriptions of all of Producer Manager's built-in reports.
- Abort: Available only for a report with a Status of Running. Click to stop processing a report.
- **Delete checkbox**: Click to checkmark the checkbox(es) corresponding to a report(s) you wish to purge from the offline inquiries queue.
- **Delete button**: With the **Delete** checkbox checkmarked corresponding to a report you wish to purge from the **Recent Reports** tab, click to purge the selected reports.
- Name: Click the name of a report to open it in the <u>Inquiry Output Window</u>.
- Download: Click the PDF (<sup>1</sup>/<sub>2</sub>) button to open the report in a separate window in PDF format, or click the Excel button (<sup>1</sup>/<sub>2</sub>) to open the report in Microsoft Excel.
- **Refresh**: Click to update the **Recent Reports** tab to display new reports or new statuses of existing reports.
- **Cancel**: Click to open the Producer Manager Home page.

## Inquiry Output Window

Output from inquiries is displayed in a separate DHTML popup window. The **Inquiry Output** window behaves the same as any ordinary browser window: You can minimize, maximize, or close it using standard Windows controls.

At the top of the **Inquiry Output** window is a toolbar with tools you can use to navigate to specific parts of the inquiry, save the inquiry in a number of formats, or print the inquiry. Among the toolbar options are the following:

- **TOC**: Click to display shortcut links to a list of companies from each page. Clicking the arrow to the left of a company name will expand the section and show the company names from each page.
- **First**: Click to navigate to the first page of the inquiry from any other page.
- **Prev**: Click to navigate to the preceding page of the inquiry (not available from the first page).
- **Next**: Click to navigate to the succeeding page of the inquiry (not available from the last page).
- Last: Click to navigate to the last page of the inquiry from any other page.
- **Goto**: With a page number entered in the **Page** field, click to navigate to the selected page.
- **Page**: Displays the number of the page currently open in the **Inquiry Output** window. You may overwrite the displayed value with a different page number and then click the **Goto** button (or press the Enter key) to navigate to the selected page.
- %: Select from the dropdown menu a value to decrease or enlarge the size of the text in the display. (Default is 100%)
- Search: Click to open a search pane on the left hand side of the report window. Once the pane is open, click on specific report output in the report window to populate the search pane with search criteria. In this manner you can search for any information you need (e.g., Firm ID, EIN, Name, etc.). Depending on the report, search expressions can be built by clicking on output column headings or the values displaying below the column headings. The **Display** checkbox defaults to view the criteria in the search results. Remove a criterion by clicking the **X** box located to the right of the criterion. After selecting the search values, click the **Search Now** button to retrieve the results. To download the results of the search, choose a format in which to save the results (such as **Comma delimited data** or **MS Excel File**), and then click the **Go** button.
- **Download**: Click to open a dialog box allowing you to select exporting options, including format, page size, and page range, for saving the inquiry to your system.
- **Print**: Click to open the inquiry in PDF format and to open a **Print** dialog box, allowing you to print a paper copy of the inquiry.
- Help: Click to open additional help on the Inquiry Output window.

### Exporting Search Results to Excel

Click the **Search** button in the search results window. A new pane will appear to the left of your search results, with the instructions to click on a report field to add it to the search.

If you hover your mouse pointer over an item in the search window and it is a searchable field, an information box will appear. Clicking on the field will refresh the page. You will now see that crosshatching appears over the item you just selected, indicating this field has been added to the search list.

In the search pane to the left, you will notice a new field has appeared. As you continue to add fields, they will appear in the search pane to the left of your search results. Once you have added all the fields that you want included in your search list, click the **Search Now** button

A list of the search results will appear in the pane.

You can quickly navigate to the information you are looking for by clicking one of the search result links, or, if you wish, you can create a new document that will display only the information you included in your search.

If you scroll to the bottom of the pane, you will find a dropdown menu labeled **Download search results as** that will allow you to select a file format in which to display your search results.

Click to select the file format you would like your search results to display in, and then click the **Go** button.

The search results will display in the file format you have selected.

### **Inquiries Data Cross-Comparison Matrix**

What's the difference between the <u>CE Reviews Due Inquiry</u> and the <u>CE Status Inquiry</u>? What data is returned with the <u>Company Appointment List Inquiry</u>?

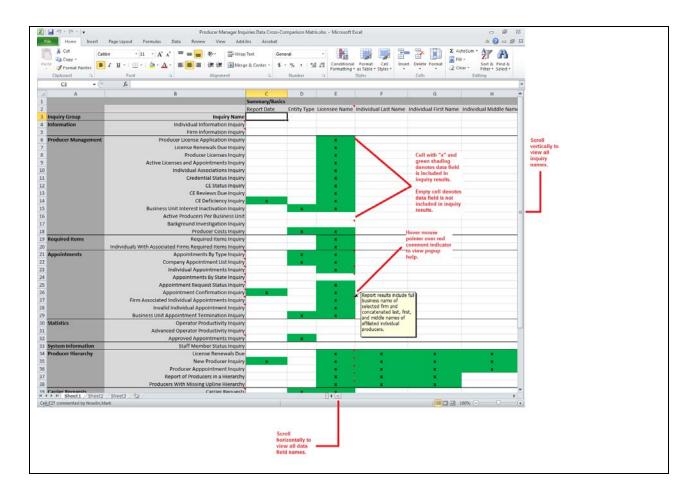
You can find the answers to these questions and more from the <u>Producer Manager Inquiries</u> <u>Data Cross-Comparison Matrix</u>. This document offers a side-by-side comparison in a sortable, filterable spreadsheet format of the data fields that are returned by nearly all of the <u>inquiries</u> in Producer Manager.

In the matrix, inquiry names appear along the Y (vertical) axis and data field names appear along the X (horizontal) axis. Scroll horizontally to the right to view data fields. The cell belonging to a data field that is included in the results of a particular inquiry is shaded green and contains a boldface "x".

Hover your mouse pointer over any cell in the spreadsheet that features a red triangle in the upper right corner. Additional popup help will open, providing more insight into a selected report or a specific data field in a report.

To view the Producer Manager Inquiries Data Cross-Comparison Matrix, <u>click here</u>.

If you experience difficulty mousing over a particular cell to view its popup help, in the Review ribbon at the top of the Microsoft Excel window, click the Show/Hide Comment button. Click the button again to hide the popup help.



## Information Inquiries

Get a comprehensive transcript of a single individual or agency producer's license record in Producer Manager by running an **Information** inquiry.

Inquiries 👻		_
All Reports		
Information		Individual Information Inquiry
Producer Management	15	Firm Information Inquiry
Required Items	•	
Appointment	•	
Statistics	•	
System Information	•	
Producer Hierarchy	•	
Carrier Requests		]

The Information sub-menu of the Inquiries menu may offer the following options:

- Individual Information Inquiry
- <u>Firm Information Inquiry</u>

An inquiry may be unavailable for selection based on your company's specific deployment of Producer Manager (carrier or agency/brokerage) or the security settings specific to your user account. For more information, see Maintain Security Role.

### Individual Information Inquiry

Run the **Individual Information Inquiry** to obtain a printable transcript of a single individual producer's record in Producer Manager, including active and inactive licenses, qualifications, license applications, appointments, firm associations, agreements, FINRA registration, required item follow-up dates, and bank information.

It also includes all contact information address types, alias/dba information, active business units, and external system identifiers.

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ising 👻 Com	ipanies 👻 I	nquiries 👻 I	Express Service	es 👻 Administr	ation 👻		3	Producer Quick Sea	rch	
Reports Reco	ent Reports	ndividual Infor	mation Inquiry							
			Indiv	idual Inform	ation Ing	uirv				
Used to pull a printal	ble version of a sir	ngle individual's rec					fications, appoir	tments, and agency assoc	iations.	
								Search	Producer	
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*-2112	MA 174			N/A		5742196		Massachusetts		
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To open the **Individual Information Inquiry** page, from the <u>Inquiries</u> menu select <u>Information</u>, and then select **Individual Information Inquiry**.

The Individual Information Inquiry page contains the following sections:

Search Producer

You can set report criteria for the **Individual Information Inquiry** simply by searching for a selected individual producer with a record in Producer Manager.

Use the **Search Producer** page to search for the individual producer with a record transcript you want to review.

The **Search Producer** page consists of the following sections:

### Search Fields

Use the **Search Fields** to enter search criteria for one or multiple individual producer records. At least one search criterion is required.

Fields and controls include the following:

- Last: Enter a search string on individual producer last name. You may use as few as two characters in your search string. Wildcard characters are not allowed. May not contain numeric characters or double quotation marks (").
- **First**: Must be used in combination with **Last** name criterion. You may use as few as one character in your search string. Wildcard characters are not allowed. May not contain numeric characters or double quotation marks (").
- **Middle**: Must be used in combination with **Last** name criterion. You may use as few as one character in your search string. Wildcard characters are not allowed. May not contain numeric characters or double quotation marks (").
- **SSN**: *Individual producers only*. Enter a producer's entire Social Security Number. Partial searches not allowed. Maximum 9 characters without separating hyphens or 11 characters with two separating hyphens.
- **NPN**: Enter a producer's entire National Producer Number. Partial searches not allowed. Maximum 10 characters.
- Active Business Unit: Select from the dropdown menu an the short name of an active business unit to which a producer is assigned. May not be the only search criterion.
- License Number: Enter the entire number of a producer's state license, either active or inactive. Partial searches not allowed. Maximum 15 characters.
- License State: Select from the dropdown menu a state in which a producer holds an active or inactive license.
- External System ID: Enter a producer's entire external system ID code, including leading zeroes, either active or inactive. Partial searches not allowed. Maximum 22 characters.
- Primary External ID Only: Click to checkmark the checkbox to constrain a search using an External System ID criterion to only those external system IDs marked as a "primary" ID on a producer's record. The search will ignore a match on an External System ID that is not marked as "primary." (For more information, see Maintain External System Identifiers.)
- **Records Per Page**: If multiple records met your search criteria, the default number of records displayed per page of results is 10. From the dropdown menu, select a value in increments of 10 up to 50 and then execute or re-execute the search to display a number of records up to the selected value in the **Search Results** sub-section.

- **Search**: Click to execute the search based on the entered search criteria. If only one producer record met your search criteria, the Individual Information Inquiry page will refresh with the selected producer's transcript ready to be generated. If multiple records met your search criteria, they will display in the Search Results section.
- **Cancel**: Click to abort the operation and open the Producer Manager Home page.

#### Search Results

If multiple producer records met your search criteria, they will display in the **Search Results** section of the **Search Producer** page.

Fields and controls include the following:

- Name: For each listed producer record, displays a producer name as a blue hyperlink. Click a selected producer's Name hyperlink to refresh the Firm Information Inquiry page with the selected producer's appointment information ready to be generated into the report. Click the column heading to toggle alphabet or reverse alphabetic sorting of the Search Results on the Name field.
- **SSN**: For each listed producer record, displays a producer's Social Security Number. Click the column heading to toggle highest-to-lowest or lowest-to-highest sorting of the **Search Results** on the **SSN** field.
- License State/#: For each listed producer record, displays the state codes of the states in which a producer holds at least one active or inactive license and the corresponding license numbers. Click the node (⊞) to expand the record row to display all of the producer's license state and number information. Click the node (⊟) to collapse the information.
- NPN: For each listed producer record, displays a producer's National Producer Number. Click the column heading to toggle highest-to-lowest or lowest-to-highest sorting of the Search Results on the NPN field.
- Active BU: For each listed producer record, displays the name of the business unit(s) with which a producer is actively associated. Click the node (⊞) to expand the record row to display all of the producer's business unit information. Click the node (⊟) to collapse the information.
- **City**: For each listed producer record, displays the producer's mailing address city. Click the column heading to toggle alphabetic or reverse alphabetic sorting of the **Search Results** on the **City** field.
- State: For each listed producer record, displays the producer's mailing address state. Click the column heading to toggle alphabetic or reverse alphabetic sorting of the Search Results on the State field.
- **Displaying** [v] [w] (of [x] matching records): Displays the range in numbers of producer records currently displaying in the **Search Results** sub-section out of the total number of producer records returned by a search.
- **Page [y] of [z]**: Displays the number of the page currently displaying out of the total number of pages of producer records returned by a search.

- **Go To Page**: Available only when more than 10 records are returned by a search, resulting in multiple pages of **Search Results**. Select from the dropdown menu the number of the page of producer records to which you wish to navigate.
- Go: Click to navigate to the page number of **Search Results** selected in the Go To Page dropdown menu.

### Page Controls

Controls include the following:

- Search Producer: Click the link to start a new search for a producer whose record transcript you wish to review
- View/Refresh Report: Click to generate the inquiry "on demand" in HTML format online. The report will open in the separate Inquiry Output Window.
- Cancel: Click to open the Producer Manager Home page.

Results of the **Individual Information Inquiry** may contain unmasked, full Social Security Number information. It is not possible to configure the system to mask or hide these values in the report results. However, using a security role setting, a user with administrator permissions may deny other users the permission to run this inquiry or view inquiry results requested by other users. For more information, see Maintain Security Role.

### Firm Information Inquiry

Run the **Firm Information Inquiry** to obtain a printable transcript of a single firm producer's record in Producer Manager, including active and inactive licenses, qualifications, license applications, appointments, individual associations, agreements, FINRA registration, required item follow-up dates, and bank information.

It also includes all contact information address types, alias/dba information, active business units, and external system identifiers.

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icensing 👻 Companie	es 🔻 Inquiries 👻 Express Se	ervices • Administration •	,	3 Producer Quick Search
All Reports Recent Report	rts Firm Information Inquiry			
	Fi	rm Information Inquiry		
Used to pull a printab	le version of a single agency's record, includir	g contact information, complete license in	nformation including status h	nistory, and individual associations.
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08-06-2012	Firm Inform	nation Inquiry	Page 1	of 2
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Current Addresses				
Business Location	<no contact="" specified=""> 27780 NOVI ROAD, SUITE 265</no>			
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To open the **Firm Information Inquiry** page, from the <u>Inquiries</u> menu select <u>Information</u>, and then select **Firm Information Inquiry**.

The **Firm Information Inquiry** page contains the following sections:

#### Search Producer

You can set report criteria for the Firm Information Inquiry simply by searching for a selected firm producer with a record in Producer Manager.

Use the **Search Producer** page to search for the firm producer with a record transcript you want to review.

The Search Producer page consists of the following sections:

### Search Fields

Use the **Search Fields** to enter search criteria for one or multiple firm producer records. At least one search criterion is required.

Fields and controls include the following:

- Firm Name: Enter a search string on firm name. You may use as few as two characters in your search string. May contain numeric characters. Wildcard characters are not allowed. May not contain double quotation marks (").
- **EIN**: Enter a producer's entire Federal Employer Identification Number. Partial searches not allowed. Maximum 9 characters without a separating hyphen or 10 characters with a separating hyphen.
- **NPN**: Enter a producer's entire National Producer Number. Partial searches not allowed. Maximum 10 characters.
- Active Business Unit: Select from the dropdown menu an the short name of an active business unit to which a producer is assigned. May not be the only search criterion.
- License Number: Enter the entire number of a producer's state license, either active or inactive. Partial searches not allowed. Maximum 15 characters.
- License State: Select from the dropdown menu a state in which a producer holds an active or inactive license.
- External System ID: Enter a producer's entire external system ID code, including leading zeroes, either active or inactive. Partial searches not allowed. Maximum 22 characters.
- Primary External ID Only: Click to checkmark the checkbox to constrain a search using an External System ID criterion to only those external system IDs marked as a "primary" ID on a producer's record. The search will ignore a match on an External System ID that is not marked as "primary." (For more information, see Maintain External System Identifiers.)
- **Records Per Page**: If multiple records met your search criteria, the default number of records displayed per page of results is 10. From the dropdown menu, select a value in increments of 10 up to 50 and then execute or re-execute the search to display a number of records up to the selected value in the **Search Results** sub-section.
- Search: Click to execute the search based on the entered search criteria. If only one producer record met your search criteria, the Firm Information Inquiry page will refresh with the selected producer's transcript ready to be generated. If multiple records met your search criteria, they will display in the Search Results section.
- **Cancel**: Click to abort the operation and open the Producer Manager Home page.

### Search Results

If multiple producer records met your search criteria, they will display in the **Search Results** section of the **Search Producer** page.

Fields and controls include the following:

• **Name**: For each listed producer record, displays a producer name as a blue hyperlink.

Click a selected producer's **Name** hyperlink to refresh the **Firm Information Inquiry** page with the selected producer's appointment information ready to be generated into the report.

Click the column heading to toggle alphabet or reverse alphabetic sorting of the **Search Results** on the **Name** field.

- **SSN**: For each listed producer record, displays a producer's Social Security Number. Click the column heading to toggle highest-to-lowest or lowest-to-highest sorting of the **Search Results** on the **SSN** field.
- License State/#: For each listed producer record, displays the state codes of the states in which a producer holds at least one active or inactive license and the corresponding license numbers. Click the node (⊞) to expand the record row to display all of the producer's license state and number information. Click the node (⊟) to collapse the information.
- NPN: For each listed producer record, displays a producer's National Producer Number. Click the column heading to toggle highest-to-lowest or lowest-to-highest sorting of the Search Results on the NPN field.
- Active BU: For each listed producer record, displays the name of the business unit(s) with which a producer is actively associated. Click the node (⊞) to expand the record row to display all of the producer's business unit information. Click the node (⊟) to collapse the information.
- **City**: For each listed producer record, displays the producer's mailing address city. Click the column heading to toggle alphabetic or reverse alphabetic sorting of the **Search Results** on the **City** field.
- State: For each listed producer record, displays the producer's mailing address state. Click the column heading to toggle alphabetic or reverse alphabetic sorting of the Search Results on the State field.
- **Displaying** [v] [w] (of [x] matching records): Displays the range in numbers of producer records currently displaying in the **Search Results** sub-section out of the total number of producer records returned by a search.
- **Page [y] of [z]**: Displays the number of the page currently displaying out of the total number of pages of producer records returned by a search.
- **Go To Page**: Available only when more than 10 records are returned by a search, resulting in multiple pages of **Search Results**. Select from the dropdown menu the number of the page of producer records to which you wish to navigate.
- Go: Click to navigate to the page number of **Search Results** selected in the Go To Page dropdown menu.

### Page Controls

Controls include the following:

- **Search Producer**: Click the link to start a new search for a producer whose record transcript you wish to review
- View/Refresh Report: Click to generate the inquiry "on demand" in HTML format online. The report will open in the separate Inquiry Output Window.
- **Cancel**: Click to open the Producer Manager Home page.

Results of the **Firm Information Inquiry** may contain unmasked, full Social Security Number information for individual producers affiliated with the firm. It is not possible to configure the system to mask or hide these values in the report results. However, using a security role setting, a user with administrator permissions may deny other users the permission to run this inquiry or view inquiry results requested by other users. For more information, see Maintain Security Role.

## **Producer Management Inquiries**

Plan your department's "to-do" lists by running **Producer Management** inquiries.

Inquiries 👻	
All Reports	
Information	
Producer Management	Producer License Application Inquiry
Required Items	CE Reviews Due Inquiry
	License Renewals Due Inquiry
Statistics •	Individual Associations Inquiry
System Information	Background Investigation Inquiry
Producer Hierarchy	Business Unit Interest Inactivation Inquiry
Carrier Requests	Producer Licenses Inquiry
	CE Status Inquiry
	Credential Status Inquiry
	Active Producers Per Business Unit
	Active Licenses and Appointments Inquiry
	Producer Costs Inquiry
	CE Deficiency Inquiry

The Producer Management sub-menu of the Inquiries menu may offer the following options:

- Producer License Application Inquiry
- <u>CE Reviews Due Inquiry</u>
- License Renewals Due Inquiry
- Individual Associations Inquiry
- Background Investigation Inquiry
- Business Unit Interest Inactivation Inquiry
- Producer Licenses Inquiry
- <u>CE Status Inquiry</u>
- <u>Credential Expiration Inquiry</u>
- <u>Active Producers Per Business Unit</u>
- <u>Active Licenses and Appointments Inquiry</u>
- Producer Costs Inquiry
- <u>CE Deficiency Inquiry</u>
- Professional Liability Insufficient Coverage Inquiry

An inquiry may be unavailable for selection based on your company's specific deployment of Producer Manager (carrier or agency/brokerage) or the security settings specific to your user account. For more information, see Maintain Security Role.

### Producer License Application Inquiry

Use the **Producer License Application Inquiry** page to run a report to check the status of all producer license applications submitted or recorded within a certain date range. You can also view information about related qualifications, appointments, or associations.

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To open the **Producer License Application Inquiry** page, from the **Inquiries** menu, select **Producer Management**, and then select **Producer License Application Inquiry**.

The **Producer License Application Inquiry** page contains the following sections:

### **Report Criteria**

Report criteria include the following:

- **Application Status Dates Between**: Enter a date range in which to search for license application records. Enter the following:
  - Begin Date: Required. Enter the beginning date of a date range in which to run the search. Use the *mmddyyyy* date format. Or, click the Calendar button (<sup>19</sup>) to open a popup calendar from which you can click to select a date.
  - **End Date**: *Required*. Enter the last date of a date range in which to run the search. Use the *mmddyyyy* date format. Or, click the **Calendar** button ()) to open a popup calendar from which you can click to select a date.
- **Producer Type**: To report applications from individual producers, from the dropdown menu, select **Individual**. To report applications from agency producers, from the dropdown menu, select **Firm**.
- **Responsible Staff Member**: To report license applications belonging to a particular staff member, from the dropdown menu select the name of the staff member. If no selections are made, the inquiry will report all license applications belonging to all staff members.
- External System ID: To report applications linked to a specific external system identifier, enter the ID code.
- Active External System IDs Only: To report applications for producers with an active link to the ID code entered in the External System ID field, click to checkmark the checkbox.
- **Application Statuses**: Click to select one or multiple license application status criteria to apply to the report. If no selections are made, the inquiry will report all statuses. To select multiples, press and hold the CTRL key while clicking.
- **States**: Click to select one or multiple state criteria to apply to the report. If no selections are made, the inquiry will report all states. To select multiples, press and hold the CTRL key while clicking.

### Report Results

Displays producer license application information stored in your company's instance of Producer Manager that met the report criteria. Results may be narrowed by selected filter criteria.

The header of the report results window displays a summary of the selected report criteria.

License application information is grouped in alphabetical order by **State** and then are subgrouped in alphabetical order by **Status**.

Results include the following data fields:

- **State**: Displays the name of a state to which one or multiple license applications was submitted or recorded. Information about each license application is grouped under each state name.
  - **Status**: Displays the processing status of one or multiple license applications submitted or recorded in the state.
    - **Appl ID**: For each license application submitted to the displayed **State** with the displayed **Status**, displays its unique Producer Manager transaction ID.
    - Status Date: For each license application submitted to the displayed State with the displayed Status, displays the date on which the value of the Status field was last updated.

- License Type: For each license application submitted to the displayed State with the displayed Status, displays the type of license applied for.
- **Name**: For each license application submitted to the displayed **State** with the displayed **Status**, displays the name of the individual or firm applicant.
- **SSN**: *Individual license applicants only*. For each license application submitted to the displayed **State** with the displayed **Status**, displays the individual applicant's Social Security Number.
- **EIN**: *Firm license applicants only*. For each license application submitted to the displayed **State** with the displayed **Status**, displays the firm applicant's Federal Employer Identification Number.
- Indv ID: Individual license applicants only. For each license application submitted to the displayed State with the displayed Status, displays the unique, systemassigned identifier of the producer's record in Producer Manager.
- Firm ID: Firm license applicants only. For each license application submitted to the displayed **State** with the displayed **Status**, displays the unique, system-assigned identifier of the producer's record in Producer Manager.
- External System ID: For each license application submitted to the displayed State with the displayed Status, displays the producer's external system IDs.
- **Qualifications**: For each license application submitted to the displayed **State** with the displayed **Status**, displays license lines (LOA) also applied for.
  - Qualification Type: For each license application submitted to the displayed State with the displayed Status, displays license lines (LOA) also applied for.
  - Status: For each qualification, displays its processing status.
  - **Status Date**: For each qualification, displays the date on which the value of the Status field was last updated.

### Page Controls

Controls include the following:

- **Submit Offline**: Click to generate the inquiry offline, where it can be retrieved in multiple output formats by any staff member with the permissions to view it. For more information, see <u>Recent Reports</u>.
- View/Refresh Report: Click to generate the inquiry "on demand" in HTML format online. The report will open in the separate <u>Inquiry Output Window</u>.
- **Cancel**: Click to open the Producer Manager Home page.

Results of the **Producer License Application Inquiry** may contain unmasked, full Social Security Number information for individual producers. It is not possible to configure the system to mask or hide these values in the report results. However, using a security role setting, a user with administrator permissions may deny other users the permission to run this inquiry or view inquiry results requested by other users. For more information, see Maintain Security Role.

If you suspect a producer was once but is no longer connected to the ID code entered in the **External System ID** field, uncheckmark this checkbox to find the producer's application.

The **License Application Activity Inquiry**, available under Inquiries from the Express Services menu, can offer additional processing details about a license application.

### CE Reviews Due Inquiry

Use the **CE Reviews Due Inquiry** page to report individual producers' continuing education compliance by a certain review date.

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Licensing - Companies -	Inquiries 👻 Express Service	es 👻 Administration 👻	🐼 🎽 🔍 Producer Quick Search
All Reports Recent Reports	CE Reviews Due Inquiry		
	CE	Reviews Due Inquiry	
Whi	ch of your producers are due for an licens	sing education compliance review? Which are past due? Run the rep	port to find out.
Please enter, at a minimum, the	CE Reviews Due By' date.		
CE Reviews Due By	05-31-2014	State   Sort Order Name And State	Requirement Status
		Submit	t Offline View/Refresh Report Cancel
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To open the **CE Reviews Due Inquiry** page, from the **Inquiries** menu, select **Producer Management**, and then select **CE Reviews Due Inquiry**.

#### Report Criteria

Report criteria include the following:

- **CE Reviews Due By**: *Required*. Enter the date by which continuing education compliance is due for the reported producers. Use the *mmddyyyy* date format. Or, click the **Calendar** button () to open a popup calendar from which you can click to select a date.
- **State**: To report producers' education compliance in a particular state, select the state from the dropdown menu. If no selection is made, the inquiry will report all states.
- Sort Order: From the dropdown menu choose the grouping and sorting method for the report, either Name And State or State And Name.
- **Requirement Status**: Click to select one or multiple education requirement status criteria to apply to the report. If no selections are made, the inquiry will report all requirement statuses. To make multiple selections in the **Requirement Status** field, press and hold the CTRL key while clicking.

### Report Results

Displays producer license application information stored in your company's instance of Producer Manager that met the report criteria. Results may be narrowed by selected filter criteria.

The header of the report results window displays a summary of the selected report criteria.

Individual Name

- Email Address
- Indv ID
- SSN
- State
- Requirement
- Review Date
- Status
- Required Hours
- Applied Hours

### Page Controls

Controls include the following:

- **Submit Offline**: Click to generate the inquiry offline, where it can be retrieved in multiple output formats by any staff member with the permissions to view it. For more information, see <u>Recent</u> <u>Reports</u>.
- View/Refresh Report: Click to generate the inquiry "on demand" in HTML format online. The report will open in the separate <u>Inquiry Output Window</u>.
- **Cancel**: Click to open the Producer Manager Home page.

Results of the **CE Reviews Due Inquiry** may contain unmasked, full Social Security Number information for individual producers. It is not possible to configure the system to mask or hide these values in the report results. However, using a security role setting, a user with administrator permissions may deny other users the permission to run this inquiry or view inquiry results requested by other users. For more information, see Maintain Security Role.

### License Renewals Due Inquiry

Use the **License Renewals Due Inquiry** page to run a report to find out which individual or firm producers' licenses are due for renewal or whose licenses are lapsed.

The report is keyed on the license **Expiration Date** field recorded in the Licenses/Qualifications data section of individual and firm producer records in Producer Manager.

	<ul> <li>Companies</li> </ul>	anager™ ▼ Inquiries	<ul> <li>Express Services</li> </ul>	<ul> <li>Logged in as Sircon Demouser Log</li> <li>Administration</li> </ul>	-
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Reports Rec	cent Reports License Renewals D	Due Inquiry			
		License Renew	als Due Inquiry		
	Find out whose licenses are coming up		rt by due date, license state, license status, qua	ifications and business unit.	
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Licensee Name					Email Ad	dress	EII	W/SSN	Res State	Res Lic Nbr	BU(s)		
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3 California	DOIT, HOWE	Active		111111111				Non-Res Insurance Producer	Active	01-31-2012	100356	Life Only
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	EASTINDVVV, JUNE MAY	Active	dproetsch@sircon.com	1111111111	Michigan	000000000	123TEST (MyCost)	Non-Resident Producer	Inactive	01-31-2012		(No Relat
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	HANGER, CHARLES JEFFREY	Active		111111111	Pennsylvania			Non-Resident Producer	Active	02-04-2012		Casuaty
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	HANGER, CHARLES JEFFREY	Active		111111111	Pennsylvania			Resident Producer Individual	Active	01-31-2012		Accident
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8 Connecticut	JANES A CONNORS ASSOCIATES INC	Active		1111111111				Non-Resident Producer Firm	Active	01-31-2012		Property
9 Connecticut	JANES A CONNORS ASSOCIATES INC	Active		1111111111				Non-Resident Producer Firm	Active	01-31-2012		Travel
	JAMES & CONNORS ASSOCIATES INC	Active		1111111111				Non-Res Ins. Intermed. Firm	Active	02-15-2012		None
	MALLE ANNE A	Pending		1111111111	Michigan	MI15996	YQBU2	Non-Resident Producer	Active		234524352345234	
	MALLE ANNE A	Pending		1111111111		MI15996	YQBU2	Non-Resident Producer	Active		234524352345234	
	MALLE ANNE A	Pending		111111111		MI15996	YQBU2	Non-Resident Producer	Active		\$34524352345234	
4 Massachusetts	MASSCORP	Active		111111111	MI	500000000		Non-Res Prder Business Entity	inactive	03-02-2012	1745728	(No Relat
5 Massachusetts	MASSCORP	Active		111111111	MI	000000000		Non-Resident Broker	Active	03-02-2012	9992745728	Life
6 Massachusetts	MASSINDV. JM	Active		111111111	Maryland	RP121294		Non-Resident Broker	Active	03-02-2012	\$55555745728	Life
7 Massachusetts	MASSPOET CORP	Active		111111111	MI	01012010		Non-Res Proor Business Entity	inactive	03-02-2012	1745728	(No Relat
	NELSON, GLORIA JEAN	Active		111111111		0A93385		Resident Insurance Producer	Active	02-29-2012		Fire and ¢
	NEWTON, ISAAC A		ogroetsch@sircon.com			100356		Non-Res Producer Individual	Active		03-18-2010	Variable I
	NEWTON, ISAAC A	Active	doroetsch@sircon.com			100356		Non-Res Producer Individual	Active		03-18-2010	Life and I
	POCHE, JOHN	Active		1111111111		100356	TEST BU	Non-Resident Producer	Active	01-31-2012		Casuaty
	POCHE, JOHN	Active		111111111		100356	TEST BU	Non-Resident Producer	Active	01-31-2012		Heath an
	POCHE, JOHN	Active		1111111111		100356	TEST BU	Non-Resident Producer	Active	01-31-2012		Life
	POCHE, JOHN	Active		111111111		100356	TEST BU	Non-Resident Producer	Active	01-31-2012		Var Life a
	POCHE, JOHN	Active		111111111		100356	TEST BU	Non-Resident Producer	Active	01-31-2012		Property
6 Massachusetts 7 Massachusetts		Active		111111111		C0000000000 RPI 21294		Non-Res Prdcr Business Entity Non-Resident Producer	Active	03-01-2012		Life
	POET, MA SMITH, J BRIAN JR	Active Pending		111111111		HPI 21294 708482		Non-Resident Producer Non-Resident Producer	Active	01-31-2012		Disability
	SMITH, J BRIAN JR SMITH, J BRIAN JR	Pending		111111111		708482		Non-Resident Producer	Active	01-31-2012		Life
	SMITH, J BRIAN JR	Pending		111111111		708482		Non-Resident Producer	Active	01-31-2012		Accident .
	SMITH, J BRIAN JR	Pending				708482		Non-Resident Producer	Active	01.31.2012		Life
	SMITH, J BRIAN JR	Pending				708482		Non-Resident Producer	Active	01-31-2012		Life
3 New Jersey	SMITH, J BRIAN JR	Pending		111111111		708482		Non-Resident Producer	Active	01-31-2012		Accident
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To open the License Renewals Due Inquiry page, from the <u>Inquiries</u> menu select <u>Producer</u> <u>Management</u>, and then select License Renewals Due Inquiry.

The License Renewals Due Inquiry page contains the following sections:

### Report Criteria

Use the filter fields to enter report criteria and tailor the report results to suit your needs.

Fields and controls include the following:

- **Producer Type**: To report license renewals due for all entity types, click to select the **Both** radio button (default). Or, to filter the report to include license renewals due only for individual producers, click to select the **Individual** radio button. Or, to filter the report to include license renewals due only for firm producers, click to select the **Firm** radio button.
- **Due Dates**: *Required.* Enter a date range in which to search for license renewals due. Enter the following:
  - From: Enter the first date of a date range in which to search for the value of the Expiration Date field in producer license information. Use the *mmddyyyy* date format. Or, click the Calendar button () to open a popup calendar from which you can click to select a date.
  - to: Enter the last date of a date range in which to search for the value of the Expiration Date field in producer license information. Use the *mmddyyyy* date format. Or, click the Calendar button () to open a popup calendar from which you can click to select a date.

- **State**: To report license renewals due in all states, make no selection from the dropdown menu. Or, to filter the report to include only license renewals due in a particular state, select the state name from the dropdown menu.
- License Status: To report license renewals due regardless of the active or inactive status of the license, make no selection from the dropdown menu. Or, to filter the report to include only license renewals due for active licenses, select Active from the dropdown menu. Or, to filter the report to include only license renewals due for inactive or lapsed licenses, select Inactive from the dropdown menu.
- **Qualifications**: To report license renewals due without regard to lines of authority (qualifications) criteria, make no selection from the box. Or, to filter the report to include license renewals due relating only to one or multiple lines of authority, click to select one or multiple qualifications in the box. To select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select.
- **Business Unit**: To report license renewals due without regard to producer business unit criteria, make no selection from the box. Or, to filter the report to include only license renewals due for producers assigned to one or multiple business units, click to select one or multiple business unit short names in the box. To select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select.
- **Sort Order**: From the dropdown menu choose the grouping and sorting method for the licenses due for renewal displaying in the report results. Select one of the following:
  - **Licensee Name, then State and License Type**: *Default*. Groups report results by licensee name and then sorts license information by license state and then license type
  - **State and License Type, then Licensee Name**: Groups report results by license state and license type, and then sorts license information by licensee name.
- **Spreadsheet View**: Click to checkmark the checkbox to export the report results in a tabular spreadsheet format. To generate the report in a spreadsheet format, click the

**Submit Offline** button and then click the **Excel Format** button (<sup>(1)</sup>) associated with the inquiry on the <u>Recent Reports</u> page to view the spreadsheet.

### Report Results

Displays information about producer licenses with expiration dates that fall within the date range entered in the **Report Criteria** section. Results may be narrowed by selected filter criteria.

The header of the report results window displays a summary of the selected report criteria.

If **Licensee Name, then State and License Type** is selected from the **Sort Order** dropdown menu (default), then results include the following data fields:

- Licensee Name: For each producer with one or multiple licenses that met the report criteria, displays the name of the individual or firm producer. Producer data fields include the following:
  - **Status**: Displays the status of the producer's record in Producer Manager, based on certain carrier or firm relationship conditions. (For more information, see Details.)
  - **Email Address**: Displays the producer's valid email address (e.g. "joeproducer@producermail.com").

- EIN/SSN: For an individual producer, displays the producer's Social Security Number. For a firm producer, displays the producer's Federal Employer Identification Number.
- **Res State**: Displays the names of the states that the producer claims as a residence state for licensing purposes (sorted alphabetically).
- **Res Lic Nbr**: Displays the producer's license number in each residence state.
- BU(s): Displays the short name of the business units to which a producer is actively assigned (sorted alphabetically). Also, if a business unit is configured with a related cost center, the cost center name displays in parentheses to the right of the business unit short name.
- **License State**: For each license held by the producer, displays the name of the license state. License information data fields include the following:
  - License Type: For each listed license, displays its state-specific name or description.
  - **Status**: For each license listed, displays its current status in Producer Manager.
  - **Expiration Date**: For each license listed, displays the state-regulated date on which the license expires. Also known as the "renewal date."
  - License Number: For each license listed, displays the state license number or identifier.
  - Related Active Qualifications: For each license listed, displays active qualifications (lines of authority of LOA) related to the license, sorted alphabetically.

If **State** and License Type, then Licensee Name is selected from the Sort Order dropdown menu, then results include the following data fields:

- License State: For each license that met the report criteria, displays the name of the license state.
- License Type: For each license in the license state that met the report criteria, displays its state-specific name or description.
  - Licensee Name: For each producer with one or multiple licenses of the selected type in the selected state, displays the name of the individual or firm producer. Licensee data fields include the following:
    - Licensee Status: Displays the status of the producer's record in Producer Manager, based on certain carrier or firm relationship conditions. (For more information, see Details.)
    - **Email Address**: Displays the producer's valid email address (e.g. "joeproducer@producermail.com").
    - **EIN/SSN**: For an individual producer, displays the producer's Social Security Number. For a firm producer, displays the producer's Federal Employer Identification Number.
    - BU(s): Displays the short name of the business units to which a producer is actively assigned (sorted alphabetically).
    - License Status: For each license of the selected type in the selected state held by the listed producer, displays the current status of the license in Producer Manager. License information data fields include the following:

- **Expiration Date**: For each license listed, displays the state-regulated date on which the license expires. Also known as the "renewal date."
- License Number: For each license listed, displays the state license number or identifier.
- **Res State**: Displays the names of the states that the producer claims as a residence state for licensing purposes (sorted alphabetically).
- **Res Lic Nbr**: Displays the producer's license number in each residence state.
- **Related Active Qualifications**: For each license listed, displays active qualifications (lines of authority of LOA) related to the license, sorted alphabetically.

### Page Controls

Controls include the following:

- **Submit Offline**: Click to generate the inquiry offline, where it can be retrieved in multiple output formats by any staff member with the permissions to view it. For more information, see Recent Reports.
- View/Refresh Report: Click to generate the inquiry "on demand" in HTML format online. The report will open in the separate Inquiry Output Window.
- Cancel: Click to open the Producer Manager Home page.

Results of the **License Renewals Due Inquiry** may contain unmasked, full Social Security Number information for individual producers. It is not possible to configure the system to mask or hide these values in the report results. However, using a security role setting, a user with administrator permissions may deny other users the permission to run this inquiry or view inquiry results requested by other users. For more information, see Maintain Security Role.

The results of the **License Renewals Due Inquiry** may not contain certain Louisiana individual licenses that are due for renewal, if your company has chosen to implement Vertafore configuration that automatically inserts an **Expiration Date** in producer records (business rule: dr.derive.expirationdate). The configuration inserts the furthest-future qualification (LOA) **Expiration Date** into the license **Expiration Date**. If the producer also holds under the same license another LOA with an earlier **Expiration Date**, the earlier renewal date will not be reflected in the report results. To avoid lapsed licensure due to failure to renew a license or qualification, for any individual producer license in Louisiana returned in the report results we recommend a manual review of Licenses/Qualifications data section on the producer's record. For more information, see Configuration Options, <u>Automated Data Reconciliation Data</u> Normalizers and Processing Messages Guide, or consult your Vertafore representative.

The **License Renewals Due Inquiry** reports license information only as recorded in your company's instance of Producer Manager. It does not verify license expiration date information directly with state records. However, if your company is using Producer Manager's automated data reconciliation utilities, such as Scheduled Syncs, to keep producer license data refreshed continually, the **License Renewals Due Inquiry** report results should be synchronized with state records.

Be aware that several states issue a "perpetual" producer license. A license from perpetual license states does not include an expiration date and therefore usually will not be included in the report results of the **License Renewals Due Inquiry**. However, for licenses from such states, your company may adopt a policy to record a "placeholder" expiration date -- usually far in the future -- either to remind your staff to pay state maintenance fees or to trigger action in another internal system downstream from Producer Manager. Also, your company may choose to enable a Vertafore-configurable business rule (dr.derive.expirationdate) that can automatically insert a license expiration date for certain states in producer records. For more information, see Configuration Options, <u>Automated Data Reconciliation Data Normalizers and Processing Messages Guide</u>, or consult your Vertafore representative.

If you are generating an "on-demand" report by clicking the **View/Refresh Report** button, the range between the **Due Dates From** and **to** fields may not exceed 60 days. To expand the date range in which to report license renewals due, generate the report offline by clicking the **Submit Offline** button. After it generates, the report will be available for download from the <u>Recent</u> <u>Reports</u> page.

After identifying licenses due for renewal, you may use the **License Renewals** service in Compliance Express to submit state license renewal transactions. The **License Renewals** service is available from the License Renewals page under the Express Services menu. For more information, refer to the Compliance Express online help.

Producer Manager can send automated email notifications to individual agents who have an expired license or a license nearing expiration. For more information, see Notifications. For easier viewing of the report results in any chosen output format, we recommend always checkmarking the **Spreadsheet View** checkbox.

### Individual Associations Inquiry

Use the **Individual Associations Inquiry** page to run a report identifying individual producers (agents) that hold active or inactive state associations or affiliations with a specific firm producer (agency).

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ITZGERALD CLAYTN			00-9924714						MILWAUKEE	WI		
TZGERALD CLAYTOR		EN	39-1570826	⊞AZ	30430				MILWAUKEE	WI		
TZGERALD INS AGE			01-5426861									
ITZGERALD INSURAN			00-9950059									
ITZGERALD INSURAN			00-9933802									
TZGERALD INSURAN	ICE AGENCY INC		00-9940491									
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-05-2012 rm IZGIBBONS ARNOLD & CO Associated Individuals		Associations Page 1 of 4 Firm ID EIN 7876 34-1675020	
Individual Name		SSN Begin Date End Date	
ARNOLD, DAVID M		-3679 03-06-1997	
Association State Ohio			
Association Type Agent	Position	Begin Date End Date State Registered 03-06-1997 No	
Individual Name		SSN Begin Date End Date	
ARNOLD, RICHARD E		-3126 09-13-1989	
Association State Pennsylvania	<b>D</b> 14		
Association Type Broker Association State Ohio	Position	Begin Date End Date State Registered 08-20-1998 No	
Association Type Agent	Position	Begin Date End Date State Registered 09-13-1989 No	
Individual Name		SSN Begin Date End Date	
BLATNIK, MATTHEW W		2403 11-24-1995	
Association State Ohio			
Association Type Agent	Position	Begin Date End Date State Registered 11-24-1995 No	
Individual Name		SSN Begin Date End Date	
BROWN, CATHY A Association State Ohio		-6122 11-24-1995	
Association Type Agent	Position	Begin Date End Date State Registered 11-24-1995 No	
Individual Name		SSN Begin Date End Date	
DELFS, EDWARD R		-7818 09-03-1995 12-08-1995	
Association State Ohio			
Association Type Agent	Position	Begin Date End Date State Registered 09-03-1995 12-08-1995 No	
Individual Name		SSN Begin Date End Date	
DILLON, GERTRUDE M		-3402 11-25-1985	
Association State Washington			
Association Type Agent	Position	Begin Date End Date State Registered 04-23-1998 No	

To open the **Individual Associations Inquiry** page, choose one of the following methods:

- From the <u>Inquiries</u> menu select <u>Producer Management</u>, and then select **Individual** Associations Inquiry
- In the Individual Associations data section of a firm record that is open in the Review/Update Producer page, click the **View Individual Associations** link.

The Individual Associations Inquiry page contains the following sections:

### **Report Criteria**

Use the **Search Firm** page to search for the firm whose individual producer associations you want to report.

The Search Firm page consists of the following sub-sections:

**Search Fields** 

Use the Search Fields to enter report criteria. At least one report criterion is required.

Fields and controls include the following:

- **Firm Name**: Enter a search string on firm name. You may use as few as two characters in your search string. May contain numeric characters. Wildcard characters are not allowed. May not contain double quotation marks (").
- **EIN**: Enter a producer's entire Federal Employer Identification Number. Partial searches not allowed. Maximum 9 characters without a separating hyphen or 10 characters with a separating hyphen.
- **NPN**: Enter a producer's entire National Producer Number. Partial searches not allowed. Maximum 10 characters.
- Active Business Unit: Select from the dropdown menu an the short name of an active business unit to which a producer is assigned. May not be the only search criterion.
- License Number: Enter the entire number of a producer's state license, either active or inactive. Partial searches not allowed. Maximum 15 characters.
- License State: Select from the dropdown menu a state in which a producer holds an active or inactive license.
- External System ID: Enter a producer's entire external system ID code, including leading zeroes, either active or inactive. Partial searches not allowed. Maximum 22 characters.
- Primary External ID Only: Click to checkmark the checkbox to constrain a search using an External System ID criterion to only those external system IDs marked as a "primary" ID on a producer's record. The search will ignore a match on an External System ID that is not marked as "primary." (For more information, see Maintain External System Identifiers.)
- **Records Per Page**: If multiple records met your search criteria, the default number of records displayed per page of results is 10. From the dropdown menu, select a value in increments of 10 up to 50 and then execute or re-execute the search to display a number of records up to the selected value in the **Report Results** sub-section.
- Search: Click to execute the search based on the entered search criteria. If only one record met your search criteria, the report will generate and the **Report Results** for the selected firm will open in the <u>Inquiry Output Window</u>. If multiple records met your search criteria, they will display in the **Search Results** section. You then must click the **Name** of a selected firm to generate the report and display the **Report Results** in the <u>Inquiry</u> <u>Output Window</u>.
- **Cancel**: Click to abort the page operation and open the Producer Manager Home page.

### **Search Results**

If multiple producer records met your search criteria, they will display in the **Search Results** sub-section of the **Search Firm** section.

Fields and controls include the following:

• **Name**: For each listed producer record, displays a producer name as a blue hyperlink. Click the column heading to toggle alphabet or reverse alphabetic sorting of the **Search**  **Results** on the **Name** field. To generate the report and open the **Report Results** in the <u>Inquiry Output Window</u>, click a desired producer **Name** hyperlink.

- **EIN**: For each listed producer record, displays a producer's federal Employer Identification Number. Click the column heading to toggle highest-to-lowest or lowest-to-highest sorting of the **Search Results** on the **EIN** field.
- License State/#: For each listed producer record, displays the state codes of the states in which a producer holds at least one active or inactive license and the corresponding license numbers. Click the node (⊞) to expand the record row to display all of the producer's license state and number information. Click the node (⊟) to collapse the information.
- NPN: For each listed producer record, displays a producer's National Producer Number. Click the column heading to toggle highest-to-lowest or lowest-to-highest sorting of the Search Results on the NPN field.
- Active BU: For each listed producer record, displays the name of the business unit(s) with which a producer is actively associated. Click the node (⊞) to expand the record row to display all of the producer's business unit information. Click the node (⊟) to collapse the information.
- **City**: For each listed producer record, displays the producer's mailing address city. Click the column heading to toggle alphabetic or reverse alphabetic sorting of the **Search Results** on the **City** field.
- State: For each listed producer record, displays the producer's mailing address state. Click the column heading to toggle alphabetic or reverse alphabetic sorting of the Search Results on the State field.
- **Displaying** [v] [w] (of [x] matching records): Displays the range in numbers of producer records currently displaying in the **Search Results** sub-section out of the total number of producer records returned by a search.
- **Page [y] of [z]**: Displays the number of the page currently displaying out of the total number of pages of producer records returned by a search.
- **Go To Page**: Available only when more than 10 records are returned by a search, resulting in multiple pages of **Search Results**. Select from the dropdown menu the number of the page of producer records to which you wish to navigate.
- Go: Click to navigate to the page number of **Search Results** selected in the Go To Page dropdown menu.

### Report Results

Displays information about each individual with an active or inactive association with the selected firm.

Results include the following data fields:

- **Firm**: Displays the name of the firm selected as the subject of the inquiry. Firm data fields include the following:
  - **Firm ID**: Displays the unique, system-assigned identifier of the selected firm producer record.
  - **EIN**: Displays the selected firm producer's Federal Employer Identification Number.

- Associated Individuals: For each individual producer listed, displays information about the individual producer's active or inactive associations with the selected firm. Associated individual data fields include the following:
  - **Individual Name**: For each associated individual listed, displays the producer's last, first, and middle name.
  - **SSN**: For each associated individual listed, displays the producer's Social Security Number.
  - **Begin Date**: For each associated individual listed, displays the date on which the individual's first state association with the selected firm became active.
  - **End Date**: *Inactive associations only*. For each associated individual listed, displays the date on which the individual's last state association with the selected firm ended.
  - **Association State**: Displays the name of each state in which an association between the listed individual producer and the selected firm is recorded. State association data fields include the following:
    - **Association Type**: For each association state listed, displays the relationship of the individual to the firm in the selected association state.
    - **Position**: For each association state listed, displays the employment title of the individual with the firm in the selected association state.
    - Begin Date: For each association state listed, displays the date on which the individual became associated with the firm in the selected association state.
    - End Date: *Inactive state associations only.* For each inactive association state listed, displays the date on which the association between the individual and the firm became inactive in the selected association state.
    - State Registered: For each association state listed, 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).

### Page Controls

Controls include the following:

- Submit Offline: Click to generate the inquiry offline, where it can be retrieved in multiple output formats by you or any staff member with the permissions to view it. For more information, see Recent Reports.
- View/Refresh Report: Click to generate the inquiry "on demand" in HTML format online. The report will open in the separate Inquiry Output Window.
- Cancel: Click to open the Producer Manager Home page.

Results of the **Individual Associations Inquiry** may contain unmasked, full Social Security Number information for individual producers. It is not possible to configure the system to mask or hide these values in the report results. However, using a security role setting, a user with administrator permissions may deny other users the permission to run this inquiry or view inquiry results requested by other users. For more information, see Maintain Security Role. The **Individual Associations Inquiry** reports information only as recorded in your company's instance of Producer Manager using the Add Associations page or added to producer records through an automated update or a Vertafore-performed custom data load. It does not obtain association or affiliation information directly from state records.

The **State Registered** indicator is updated only through manual record-keeping using the Add Individual Firm Association/Association State or Correct State Association Data pages. It is not automatically updated through an automated data reconciliation with state records.

You may review a selected firm's individual-to-firm associations (affiliations) as officially registered in a selected "Sircon State" by running the **Firm Status Inquiry** in Compliance Express. The **Firm Status Inquiry** is available from the Inquiries page under the Express Services menu. For more information, refer to the Compliance Express online help.

### **Background Investigation Inquiry**

Use the **Background Investigation Inquiry** page to report background investigation statuses and results and related appointment or license application requests.

Vertafore Producer Manager™ Test for 1079	
Licensing 🔹 Companies 🔹 Inquiries 👻 Express Services 🔹 Administration 🔹 🛛 🔞 🎽 🔍 Producer Quick Search	
All Reports Recent Reports Background Investigation Inquiry	_
Background Investigation Inquiry	
Are appointments or licenses being held up by background investigation requests? Probe deeper into the issue and check BI status and results by running this report.	
Please enter, at a minimum, the Begin and End dates. Clear	1
Background Investigations	
Status Date      Request Date      Result Date      Review Date     BI Status     BI Status     BI Status	
Begin Date Pending Submission Processed	
BI Result     Fail     Review Result     Fail     Last Updated By     BAKER, PAT       Pass     Pass     BarAJAS, JUAN     Image: Compare the second s	
Related Appointment Requests	
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BI Processing Status BI Processed A Cancelled due to BI On Hold pending BI Result	
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BI Firm Name	Request Dat Result Comr		Status Date Error Descr		BI Result Date Cost Center	Review Result Method	Last Review By SIRCON ID	
GIS	09-17-2009	Processed	09-17-2009		09-17-2009		SYSTEM_USE R	
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GIS	09-17-2009	Processed	09-17-2009	Pass	09-17-2009		SYSTEM_USE	
						SIRCON	R 10190971	
Investigation Credit Chec		Crin	ninal Federal		Crimina	Local/County		
GIS	к 09-17-2009		09-17-2009	Dees	09-17-2009	Local/County	SYSTEM USE	
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Credit Chec	•••	Crin	ninal Federal		Crimina	Local/County		
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Investigation Credit Chec		Crin	ninal Federal		Crimina	Local/County		
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Investigation Credit Chec		Crin	ninal Federal		Crimina	Local/County		
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To open the **Background Investigation Inquiry** page, from the **Inquiries** menu, select **Producer Management**, and then select **Background Investigation Inquiry**.

#### Report Criteria

Report criteria include the following:

- **Clear**: Click to de-select all currently selected criteria.
- Date Type: *Required*. Click to select the Status Date, Request Date, Result Date, or Review Date radio button to set the date type to be used as search criteria.
- **Between**: *Required*. Enter the beginning date of a date range in which to run the search. Use the *mmddyyyy* date format. Or, click the **Calendar** button ( ) to open a popup calendar from which you can click to select a date.
- And: *Required*. Enter the last date of a date range in which to run the search. 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 Status:** Click to select one or multiple status criteria to apply to the report. If no selections are made, the inquiry will report all statuses. To make multiple selections, press and hold the CTRL key while clicking.
- **BI Result:** Click to select one or multiple result criteria to apply to the report. If no selections are made, the inquiry will report all results. To make multiple selections, press and hold the CTRL key while clicking.
- **Review Result:** Click to select one or multiple review result criteria to apply to the report. If no selections are made, the inquiry will report all review results. To make multiple selections, press and hold the CTRL key while clicking.

- Last Updated By: Click to select one or multiple name criteria to apply to the report. If no selections are made, the inquiry will report all names. To make multiple selections, press and hold the CTRL key while clicking.
- **Submit Status:** Click to select one or multiple status criteria to apply to the report. If no selections are made, the inquiry will report all statuses. To make multiple selections, press and hold the CTRL key while clicking.
- **BI Processing Instruction:** Click to select one or multiple processing instruction criteria to apply to the report. If no selections are made, the inquiry will report all processing instructions. To make multiple selections, press and hold the CTRL key while clicking.
- **BI Processing Status:** Click to select one or multiple status criteria to apply to the report. If no selections are made, the inquiry will report all statuses. To make multiple selections, press and hold the CTRL key while clicking.

### Report Results

Report results include the following:

- **BI Firm Name**: For each background investigation listed, displays the name of the firm that processed the background investigation request.
- **Request Date**: For each background investigation listed, displays the date on which the background investigation request was submitted for processing.
- **Status**: For each background investigation listed, displays the processing status of the background investigation request.
- **Status Date**: For each background investigation listed, displays the date on which the value of the **Status** field last was updated.
- **BI Result**: For each background investigation listed, displays the result of the background investigation request (e.g., Fail, Pass, Review).
- **BI Result Date**: For each background investigation listed, displays the date on which the value of the **BI Result** last was updated.
- **Review Result**: For each background investigation listed, displays the result of the internal staff review of the background investigation results (e.g., Fail, Pass, Review).
- Last Review By: For each background investigation listed, displays the name of the staff member who last updated the background investigation information.
- **Result Comment**: For each background investigation listed, displays a comment returned with processing from the background investigation vendor.
- Error Description: For each background investigation listed with a value of "Error" in the Status field, displays a description of the processing error.
- **Cost Center**: For each background investigation listed, displays the name of the cost center to which the background investigation fees were assigned.
- **Method**: For each background investigation listed, displays background investigation method.
- **SIRCON ID**: For each background investigation listed, displays the identifier of the background investigation request transaction.
- Investigation Types: For each background investigation listed, displays

- **Related Appointment Requests**: For each background investigation listed that was tied to an appointment request, displays details about each appointment request.
- **Related License Applications**: For each background investigation listed that was tied to a license application, displays details about each appointment request.

### Page Controls

Controls include the following:

- **Submit Offline**: Click to generate the inquiry offline, where it can be retrieved in multiple output formats by any staff member with the permissions to view it. For more information, see <u>Recent Reports</u>.
- **View/Refresh Report**: Click to generate the inquiry "on demand" in HTML format online. The report will open in the separate <u>Inquiry Output Window</u>.
- **Cancel**: Click to open the Producer Manager Home page.

For security reasons, the results of the **Background Investigation Inquiry** in Producer Manager does not show identifying information about the subject of a background check. To run a report on background investigation results that includes related producer information, use the **Background Investigation Activity Inquiry**. To open the **Background investigation Activity Inquiry**, from the Express Services menu select Inquiries, and then click the **Background Investigation Activity Inquiry** link. For more information, consult the Compliance Express online help.

The results of the **Background Investigation Activity Inquiry** available through Express Services contain more useful or actionable data than the **Background Investigation Inquiry** available in Producer Manager. We recommend its use for Producer Express and Producer Managers users wishing to follow up on background check requests. The **Background Investigation Activity Inquiry** is available in the Inquiries menu under the Express Services menu in Producer Manager.

### **Business Unit Interest Inactivation Inquiry**

Use the **Business Unit Interest Inactivation Inquiry** page to run a report showing producers whose business units were inactivated during a selected date range. You can run this report to gain two different types of information:

- 1. Producers who have been inactivated in your business unit but who remain active in another business unit
- 2. Producers who have been inactivated from any business unit

This information could prompt you to take additional actions on the producer record, such as an appointment termination.

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To open the **Business Unit Interest Inactivation Inquiry** page, from the <u>Inquiries</u> menu, select <u>Producer Management</u>, and then select **Business Unit Interest Inactivation Inquiry**.

#### Report Criteria

Use the following fields to set criteria for the report:

- **Business Unit Interest Inactivation, Between**: Set the range of dates during which producers' business units were inactivated:
  - Begin Date: Required. Enter the beginning date of a date range in which to run the search. Use the *mmddyyyy* date format. Or, click the Calendar button (<sup>10</sup>) to open a popup calendar from which you can click to select a date.
  - End Date: *Required*. Enter the last date of a date range in which to run the search. Use the *mmddyyyy* date format. Or, click the **Calendar** button ()) to open a popup calendar from which you can click to select a date.
- Search By: *Required*. Use the following controls to choose the type of report you want to run:
  - **Staff Member**: Click to run a report showing producers who were inactivated in your business unit during the selected date range but who remain active in another business unit.
  - **Business Unit**: Click to run a report showing producers who were inactivated during the selected date range from any business unit.
  - BU Name: Available only with the Business Unit radio button selected. Click to select one or multiple business units whose producers were inactivated during the selected date range. If no selections are made, the inquiry will report producers inactivated from all business units. To make multiple selections, press and hold the CTRL key while clicking.

### Report Results

Displays producer business unit information stored in your company's instance of Producer Manager that met the report criteria. Results may be narrowed by selected report criteria.

The header of the report results window displays a summary of the selected report criteria.

Results are grouped by entity type, either Firm or Individual Licensee, and are sorted alphabetically by producer name.

Results include the following data fields:

- **Producer Name**: For each producer listed, displays the producer's name.
- **SSN**: Individual producers only. For each producer listed, displays the producer's Social Security Number.
- **EIN**: Firm producers only. For each producer listed, displays the producer's Federal Employer Identification Number.
- **Business Unit(s)**: For each producer listed, displays the producer's current active business units. If the producer currently has no active business units, the field will be empty.
- **BU Name**: In a report showing producers who were inactivated in your business unit(s) during the selected date range but who remain active in another business unit, for each producer listed, displays the name of the producer's inactive, shared business unit(s). Or, in a report showing producers who were inactivated during the selected date range from any or all business units, for each producer listed, displays the name(s) of the business unit(s) that were inactivated.
- **Status**: For each producer listed, displays Inactive, to reflect the status of the inactivated business unit(s).
- **Begin Date**: For each producer listed, displays the date on which the producer was actively associated with the business unit.
- End Date: For each producer listed, displays the date on which the business unit was inactivated for the producer.

### Page Controls

Controls include the following:

- **Submit Offline**: Click to generate the inquiry offline, where it can be retrieved in multiple output formats by any staff member with the permissions to view it. For more information, see Recent Reports.
- View/Refresh Report: Click to generate the inquiry "on demand" in HTML format online. The report will open in the separate Inquiry Output Window.
- **Cancel**: Click to open the Producer Manager Home page.

Results of the **Business Unit Interest Inactivation Inquiry** may contain unmasked, full Social Security Number information for individual producers. It is not possible to configure the system to mask or hide these values in the report results. However, using a security role setting, a user

with administrator permissions may deny other users the permission to run this inquiry or view inquiry results requested by other users. For more information, see Maintain Security Role.

The **BU Name** list box in the report criteria and all business unit information in the report results display business unit **Short Name**. For more information, see Maintain Business Unit.

### Producer Licenses Inquiry

Use the **Producer Licenses Inquiry** page to generate a list of individual or firm producers with a license in all states or only a selected state.

You may filter the report results in numerous ways, such as to include only individual producers associated with a specific firm, only producers assigned to a specific business unit, or only producers with a license of a license type that is no longer valid or has become historical in a selected state.

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To open the **Producer Licenses Inquiry** page, from the <u>Inquiries</u> menu select <u>Producer</u> <u>Management</u>, and then select **Producer Licenses Inquiry**.

The **Producer Licenses Inquiry** page contains the following sections:

### Report Criteria

Use the filter fields to enter report criteria and tailor the report results to suit your needs.

Fields and controls include the following:

- **Producer Type**: To filter the report to include licenses only for individual producers, select Individual from the dropdown menu. Or, to filter the report to include licenses only for firm producers, select Firm from the dropdown menu.
- State: To report licenses in all states, click to select the All States radio button. Or, to filter the report to include only licenses in a particular state, click to select the Select a State radio button, and then select the name of the desired state from the dropdown menu.
- License Status: To report licenses regardless of their active or inactive status, make no selection from the dropdown menu. Or, to filter the report to include only active licenses, select Active from the dropdown menu. Or, to filter the report to include only inactive licenses, select Inactive from the dropdown menu.
- **Begin Date**: To report licenses that became active within a selected range of dates (keyed on the value of the **Effective Date** field as recorded in the Licenses/Qualifications data section), enter the beginning date of the date range. Use the *mmddyyyy* date format. Or, click the **Calendar** button (
- End Date: To report licenses that became active within a selected range of dates (keyed on the value of the Effective Date field as recorded in the Licenses/Qualifications data section), enter the ending date of the date range. Use the *mmddyyyy* date format. Or, click the Calendar button () to open a popup calendar from which you can click to select a date.
- **Business Unit**: To report licenses without regard to producer business unit criteria, make no selection from the box. Or, to filter the report to include only licenses of producers assigned to one or multiple business units, click to select one or multiple business unit short names in the box. To select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select.
- License Types: To report licenses without regard to license class or license type criteria, make no selection from the box. Or, to filter the report to include only licenses of a certain type, click to select one or multiple license types in the box. To select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select.
- Show Historical: Click to checkmark the checkbox to include in the License Types box license classes that are no longer valid or supported in the selected state. Or, uncheckmark the checkbox to disinclude license classes that are no longer valid or supported in the selected states.
- Search Specific Firm: Available only if value of **Producer Type** field is Individual. Click to open the **Search Firm** page, where you can perform a producer search for a firm producer. Once you have selected a firm producer, the report results will be filtered to include only licenses held by individual producers who are associated (affiliated) with the selected firm.

- **Firm Name**: *Displays only if a firm producer is being used as filter criteria.* Displays the name of the firm selected as filter criteria. Click the firm name to open the selected firm's record in the Review/Update Producer page.
- **EIN**: Contains a value only if a firm producer is being used as filter criteria. Displays the selected firm producer's Federal Employer Identification Number.
- License State/#: Contains a value only if a firm producer is being used as filter criteria. Displays the codes of the states in which the selected firm producer holds active or inactive licenses (sorted alphabetically), along with respective state license numbers. To expand the field to display all license states and license numbers, click the node (⊞).
- Active BU: Contains a value only if a firm producer is being used as filter criteria. Displays the short name of the business units to which the selected firm producer is actively assigned (sorted alphabetically). To expand the field to display all active business units, click the node (⊞).
- NPN: Contains a value only if a firm producer is being used as filter criteria. Displays the selected firm producer's unique National Producer Number, assigned by the National Insurance Producer Registry (NIPR).
- **Resident States**: Contains a value only if a firm producer is being used as filter criteria. Displays the names of the states that the selected firm producer claims as a resident state for licensing purposes (sorted alphabetically). To expand the field to display all resident states, click the node (⊞).
- The criteria you have selected will result in a report containing [x] licenses: Displays the system-calculated number of licenses that will be included in the report results based on currently selected report criteria.
- The Producer License Report is limited to [y] licenses or fewer: Displays the Vertafore-configured maximum number of licenses that can be included in the report results overall.
- The online version of the Producer License Report is limited to [z] licenses or fewer: Displays the Vertafore-configured maximum number of licenses that can be included in the results of an "on demand" report.

### Report Results

Displays producer license information stored in your company's instance of Producer Manager that met the report criteria. Results may be narrowed by selected filter criteria.

The header of the report results window displays a summary of the selected report criteria.

Results include the following data fields:

- **Producer Name**: For each producer with one or multiple licenses that met the report criteria, displays the name of the individual or firm producer. Producer data fields include the following:
  - SSN: Individual producers only. Displays the producer's Social Security Number.
  - **EIN**: *Firm producers only*. Displays the producer's Federal Employer Identification Number.
  - **Producer ID**: Displays the unique, system-assigned identifier of the producer's record in Producer Manager.

- **Business Units**: Displays the short name of the business units to which the producer is actively assigned (sorted alphabetically).
- **State**: Displays the name of the license state.
- **License Type**: For each listed license in the license state, displays its state-specific name or description. License information data fields include the following:
  - License Number: For each listed license, displays its license number.
  - **Orig. Issue Date**: For each listed license, displays the date on which it was initially issued or granted by the state.
  - **Status**: For each listed license in the license state, displays its current status in Producer Manager.
  - **Eff. Date**: For each listed license , displays the date on which the current value of the **Status** field became effective.
  - **Expir. Date**: For each listed license, displays the state-regulated date on which the license expires. Also known as the "renewal date."
  - Inactivation Reason: Displays only for an inactive license. For each listed license with a Status of Inactive, displays the state-specific reason for its inactivation.
  - Qualification Type: For each listed license, displays active qualifications (lines of authority of LOA) related to the license, sorted alphabetically. Qualification information data fields include the following:
    - **Orig. Issue Date**: For each listed qualification, displays the date on which it was initially issued or granted by the state.
    - **Status**: For each listed qualification, displays its current status in Producer Manager.
    - **Eff. Date**: For each listed qualification, displays the date on which the current value of the **Status** field became effective.
    - **Expir. Date**: For each listed qualification, displays the state-regulated date on which the qualification expires. Also known as the "renewal date."
    - **Inactivation Reason**: *Displays only for an inactive license.* For each listed qualification with a **Status** of Inactive, displays the state-specific reason for its inactivation.

### Page Controls

Controls include the following:

- **Remove Firm**: Available only if a firm producer has been selected as filter criteria. Click to remove the selected firm as filter criteria for the report results.
- **Submit Offline**: Available only if selected report criteria will result in report results and if report results do not exceed the configured maximum limit. Click to generate the inquiry offline, where it can be retrieved in multiple output formats by any staff member with the permissions to view it. For more information, see Recent Reports.
- View/Refresh Report: Available only if selected report criteria will result in report results and if report results do not exceed the configured maximum limit. Click to generate the

inquiry "on demand" in HTML format online. The report will open in the separate Inquiry Output Window.

• **Cancel**: Click to open the Producer Manager Home page.

Results of the **Producer Licenses Inquiry** may contain unmasked, full Social Security Number information for individual producers. It is not possible to configure the system to mask or hide these values in the report results. However, using a security role setting, a user with administrator permissions may deny other users the permission to run this inquiry or view inquiry results requested by other users. For more information, see Maintain Security Role.

The **Producer Licenses Inquiry** reports license information only as recorded in your company's instance of Producer Manager. It does not verify license information directly with state records. However, if your company is using Producer Manager's automated data reconciliation utilities (such as Scheduled Syncs) to keep producer license data refreshed continually, the **Producer Licenses Inquiry** report results should be synchronized with state records.

By default the maximum number of licenses included in report results is 5,000. If the number of licenses meeting the current report criteria exceeds the limit, the **Submit Offline** and **View/Refresh Report** buttons are disabled. Revise your report criteria selections to generate the report. (The limit may be Vertafore-configured in your company's deployment of Producer Manager to allow a non-default maximum, using the

MAX\_PRODUCER\_LICENSES\_OFFLINE\_REPORT\_SIZE business rule. A non-default limit may incur additional charges. For more information, see Configuration Options or consult your Vertafore representative.)

By default the maximum number of licenses included in online or "on-demand" report results is 500. If the number of licenses meeting the current report criteria exceeds the online limit, the **View/Refresh Report** button is disabled. If the number does not exceed the default or configured overall limit, you may generate the report offline by clicking the **Submit Offline** button. (The online limit may be Vertafore-configured in your company's deployment of Producer Manager to allow a non-default maximum, using the

MAX\_PRODUCER\_LICENSES\_ONLINE\_REPORT\_SIZE business rule. A non-default limit may incur additional charges. For more information, see Configuration Options or consult your Vertafore representative.)

Use the **Show Historical** checkbox as filter criteria to generate a list of producers in the system whose license information currently contains invalid or historical license types (classes) in a selected state. You then may perform an automated data reconciliation operation (such as Quick Sync Producer) on the listed producer records to update the license information with the state's currently supported license types.

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### CE Status Inquiry

Use the **CE Status Inquiry** page to run a report to check on your producers' progress in completing all or any of their state or national continuing education requirements. Or, obtain a list of those who are out of compliance.

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To open the **CE Status Inquiry** page, from the <u>Inquiries</u> menu, select <u>Producer Management</u>, and then select **CE Status Inquiry**.

### Report Criteria

Report criteria fields include the following:

- **Review Due Date**: Set the range of dates during which producers' CE requirements are to be completed:
  - **Begin Date**: *Required*. Enter the beginning date of a date range in which to run the search. Use the *mmddyyyy* date format. Or, click the **Calendar** button ()) to open a popup calendar from which you can click to select a date.
  - **End Date**: *Required*. Enter the last date of a date range in which to run the search. Use the *mmddyyyy* date format. Or, click the **Calendar** button () to open a popup calendar from which you can click to select a date.
- **Requirement Status Date**: Set the range of dates during which the status of producers' progress toward meeting their CE requirements was last update.
  - **Begin Date**: *Required*. Enter the beginning date of a date range in which to run the search. Use the *mmddyyyy* date format. Or, click the **Calendar** button ()) to open a popup calendar from which you can click to select a date.
  - **End Date**: *Required*. Enter the last date of a date range in which to run the search. Use the *mmddyyyy* date format. Or, click the **Calendar** button () to open a popup calendar from which you can click to select a date.
- **Requirement Type**: From the dropdown menu, select the category or grouping of the CE requirement of which you want to check producers' status. Or, select none to check on all requirement types.
- Jurisdiction: Click to select one or multiple regulatory jurisdictions associated with selected CE requirements. If no selections are made, the inquiry will report requirements associated with all regulatory jurisdictions. To make multiple selections, press and hold the CTRL key while clicking.
- Status: Click to select one or multiple statuses associated with selected CE requirements. If no selections are made, the inquiry will report statuses associated with all CE requirements. To make multiple selections, press and hold the CTRL key while clicking.

### Report Results

Displays producers' status in fulfilling CE requirements during the selected date range, as recorded in your company's instance of Producer Manager. Results may be narrowed by selected report criteria.

The header of the report results window displays a summary of the selected report criteria.

Results are sorted alphabetically by producer name.

Results include the following data fields:

- Individual Name: For each producer listed, displays the producer's name.
- SSN: For each producer listed, displays the producer's Social Security Number.
- Jurisdiction: For each producer listed, displays the regulatory jurisdiction associated with the producer's CE requirements.
- Requirement: For each producer listed, displays the producer's CE requirement type.
- Due Date: For each producer listed, displays the date by which the CE requirement is to be completed.

- **Status**: For each producer listed, displays the current status of the producer's progress toward meeting the CE requirement.
- **Status Date**: For each producer listed, displays the date on which the current value of the **Status** field was updated.
- **Course Name**: Available only for CE requirements to which CE courses have been applied. For each producer listed, displays the name of the CE course that has been applied toward the CE requirement.
- **Provider**: Available only for CE requirements to which CE courses have been applied. For each producer listed, displays the name of the education provider of the CE course that has been applied toward the CE requirement.

### Page Controls

Controls include the following:

- **Submit Offline**: Click to generate the inquiry offline, where it can be retrieved in multiple output formats by any staff member with the permissions to view it. For more information, see <u>Recent Reports</u>.
- View/Refresh Report: Available only if selected report criteria will result in report results and if report results do not exceed the configured maximum limit. Click to generate the inquiry "on demand" in HTML format online. The report will open in the separate Inquiry Output Window.
- **Cancel**: Click to open the Producer Manager Home page.

Results of the **CE Status Inquiry** may contain unmasked, full Social Security Number information for individual producers. It is not possible to configure the system to mask or hide these values in the report results. However, using a security role setting, a user with administrator permissions may deny other users the permission to run this inquiry or view inquiry results requested by other users. For more information, see Maintain Security Role.

### Credential Status Inquiry

Use the **Credential Status Inquiry** page to run a report to identify individual producers with one or multiple active education credentials that will expire within a specified date range. You also can generate a report of producers with inactive education credentials or who are eligible for a credential but have not yet attained it.

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# To open the **Credential Status Inquiry** page, from the <u>Inquiries</u> menu select <u>Producer</u> <u>Management</u>, and then select **Credential Status Inquiry**.

Fields and controls include the following:

#### **Report Criteria**

Narrow the data to include in the report.

- Active Credentials: Click to select the radio button to report producers with expiring credentials, and then set the date range to report using the following fields:
  - Begin Date: Required if Active Credentials is selected. Enter the beginning date of a date range in which to run the search. Must be on or after the current date. Use the *mmddyyyy* date format. Or, click the Calendar button (<sup>10</sup>) to open a popup calendar from which you can click to select a date.
  - End Date: Required if Active Credentials is selected. Enter the last date of a date range in which to run the search. Use the *mmddyyyy* date format. Or, click the **Calendar** button () to open a popup calendar from which you can click to select a date.
- **Inactive Credentials**: Click to select the radio button to report producers with inactive or no credentials.
- **Credentials**: From the list box, click to select one or multiple education credentials to apply as report criteria. To select multiple, press and hold the CTRL key while clicking.
- **Producer Status**: From the list box, click to select one or multiple producer statuses to apply as report criteria. Active and Inactive are pre-selected as default values. To select multiple values, press and hold the CTRL key while clicking.

### **Display Configuration**

Select other fields the values of which to include in the report. Report output is not filtered based on selected **Display Configuration** criteria.

• **External System Type**: From the dropdown menu, select an external system type the values of which to display for each producer included in the report.

### Page Controls

- **Submit Offline**: Click the **Submit Offline** button to generate the report offline. The status of the report and report results will be available on the <u>Recent Reports</u> tab.
- View/Refresh Report: Click the View/Refresh Report button to execute the inquiry on demand. The report will open in the <u>Inquiry Output Window</u>.
- **Cancel**: Click the **Cancel** button to exit the page and open the Producer Manager Home page.

The **Producer Status** field filters inquiry output based a producer's record status (i.e., whether the producer holds an active appointment or an active firm association). It has no bearing on the status of a selected education credential.

If a system administrator has changed the credential program associated with an education credential, the system automatically recalculates producers' eligibility for the education credential based on the new credential program's requirements. The recalculation can take approximately 24 hours to complete and, when finished, may alter producers' current and historical education credential status. An alert box will display at the top of the **Credential Status Inquiry** page with the following message: "Caution - Data Expired. The following credentials have new rules and need to be re-evaluated: *[Education Credential Name]*." The message is intended to notify you of the possibility that the inquiry output may not be accurate

until the system has finished recalculating the producer records affected by the change in education credential(s).

Education credential status in the **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. Furthermore, the status in the **Credential Status Inquiry** can be modified based on customer requirements by the setting of the ec.credStatus.recordLatest.includeNotApplicableStatus business rule. If the business rule is disabled (set to "N"), the following status codes apply: **NC** - Not Compliant (Status on producer record is Inactive or N/A) or **CM** - Compliant (Status on producer record is Active). If the business rule is enabled (set to "Y"), the following status codes apply: **NC** - Not Compliant (Status on producer record is Active). If the business rule is enabled (set to "Y"), the following status codes apply: **NC** - Not Compliant (Status on producer record is Active) or **NR** - No Longer Required (Status on producer record is N/A). For more information, see Configuration Options.

To overcome date range limitations when setting reporting criteria, click the **Submit Offline** button instead of the **View/Refresh Report** button.

### Active Producers Per Business Unit

Use the **Active Producers Per Business Unit** page to run a report to identify the number of active or pending producers assigned to each business unit on a given date. The report will also display the number of active or pending producers in the entire system.

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To open the **Active Producers Per Business Unit Inquiry** page, from the <u>Inquiries</u> menu select <u>Producer Management</u>, and then select **Active Producers Per Business Unit**.

### Report Criteria

Fields and controls include the following:

- **Producer Type**: *Required*. Click to select either the **Firm** or **Individual Licensee** radio button.
- Producers Assigned to Business Unit As Of: Required. Accept the default of the current date, or enter a date using the *mmddyyyy* date format. Or, click the Calendar button () to open a popup calendar from which you can click to select a date.

### Report Results

The header of the report results includes a summary of selected report criteria. Report results include the following fields:

- **Total Number of Active Individuals/Firms**: Displays the total number of active or pending (i.e., not inactive) individual or firm producers in your company's instance of Producer Manager.
- **Business Unit Name**: Displays the names of all active business units configured in your company's instance of Producer Manager.
- No. of Active Individuals/Firms: Displays the number of active producers, either individuals or firms, that are associated with each business unit listed in the Business Unit Name field.

#### Page Controls

Controls include the following:

- **Submit Offline**: Click to generate the inquiry offline, where it can be retrieved in multiple output formats by any staff member with the permissions to view it. For more information, see <u>Recent Reports</u>.
- **View/Refresh Report**: Click to generate the inquiry "on demand" in HTML format online. The report will open in the separate <u>Inquiry Output Window</u>.
- **Cancel**: Click to open the Producer Manager Home page.

### Active Licenses and Appointments Inquiry

Use the **Active Licenses and Appointments Inquiry** to pull together a list of individual producers with active licenses and related active appointments with the carriers whose product lines your agency and agents sell.

The **Active Licenses and Appointments Inquiry** is available to agency/brokerage customers only.

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Presents license and appointment data in a way that is e		ine w hich products producers can sell. Currently, able.	only the Agency install version of this report is
	writing companies. This doe licenses that do not support Group by State	er licenses and appointments for s not include pending licenses or appointments. g or active producer licenses with	
Carriers		Writing Companies	
21st Century ACE AEGON Aetna AIG AIG-LH AIGM Allianz-LH	▲ (Ξ) ▼	21st Century 21st CENTURY 21st Century Insurance Company 21st Century Insurance Company of the ACE Ace America Ins Co Ace Fire Underwriters Ins Co Ace Property and Casualty Ins Co	Southwest
States		Business Units	
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he selected criteria may return a large amount of data, caus sing the in-report searching capability, up to 5000 rows can			nain report information pop-up window and, if Submit Offline Cancel
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2	Group by: Carrier						
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1	Writing Companies: All						
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	Business Units: Al						
Carrier	Writing Company	Producer Name	NPN	Business Units	License State	License Type	Licene
Eclectic	Eclectic Insurance Company	ADAMS, AMY MERLE	5000000	PROD	Connecticut	Producer	002358
Eclectic	Edectic Insurance Company	ADAMS, AMY MERLE	\$000001	PROD	Connecticut	Producer	002358
Eclectic	Eclectic Insurance Company	ADDIS, JESSICA LEANN	5000002	PROD	Connecticut	Producer	002291
Eclectic	Eclectic Insurance Company	ADDIS, JESSICA LEANN	\$000003	PROD	Connecticut	Producer	502293
2 Eclectic	Edectic Insurance Company	ADDIS, STEVEN JAMES	0000004	PROD	Connecticut	Producer	002356
3 Eclectic	Eclectic Insurance Company	ADDIS, STEVEN JAMES	500000S	PROD	Connecticut	Producer	002356
4 Eclectic	Eclectic Insurance Company	ALLEN, JOSHUA JAMES	5000005	PROD	Connecticut	Producer	002246
5 Eclectic	Eclectic Insurance Company	ALLEN, JOSHUA JAMES	\$000007	PROD	Connecticut	Producer	002246
5 Eclectic	Eclectic Insurance Company	ANDERSON, MATTHEW JAMES	5000008	PROD	Connecticut	Producer	002351
7 Eclectic	Eclectic Insurance Company	ANDERSON, MATTHEW JAMES	5000009	PROD	Connecticut	Producer	502350
B Eclectic	Eclectic Insurance Company	ANDRIASSIAN, SEVAK	\$000010	PROD	Connecticut	Producer	002244
Eclectic	Edectic Insurance Company	ANDRIASSIAN, SEVAK	\$000011	PROD	Connecticut	Producer	502244
) Eclectic	Eclectic Insurance Company	BABCOCK, ADAM STANLEY	5000012	PROD	Connecticut	Producer	502350
Eclectic	Eclectic Insurance Company	BABCOCK, ADAM STANLEY	5000013	PROD	Connecticut	Producer	002358
Eclectic	Eclectic Insurance Company	BALES, AMANDA DIANE	10000014	PROD	Connecticut	Producer	\$02357
Eclectic	Eclectic Insurance Company	BALES, AMANDA DIANE	0000015	PROD	Connecticut	Producer	002357
& Eclectic	Eclectic Insurance Company	BARNETT, ANNA	0000016	PROD	Connecticut	Producer	002335
5 Eclectic	Eclectic Insurance Company	BARNETT, ANNA	\$000017	PROD	Connecticut	Producer	002335
6 Eclectic	Eclectic Insurance Company	BARRAZA, WAGNER GUSTAVI	0000018	PROD	Connecticut	Producer	002244
7 Eclectic	Eclectic Insurance Company	BARRAZA, WAGNER GUSTAVI	0000019	PROD	Connecticut	Producer	502244
B Eclectic	Eclectic Insurance Company	BASILE, RYAN OUY	5000020	PROD	Connecticut	Producer	002356
3 Eclectic	Eclectic Insurance Company	BASILE, RYAN OUY	0000021	PROD	Connecticut	Producer	502356
) Eclectic	Eclectic Insurance Company	BEAN, MICAH JUSTIN	0000022	PROD	Connecticut	Producer	\$0108C
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## To open the **Active Licenses and Appointments Inquiry** page, from the <u>Inquiries</u> menu select <u>Producer Management</u>, and then select **Active Licenses and Appointments Inquiry**.

#### Report Criteria

Report criteria include the following:

- **Group by Carrier**: Click the radio button to report producers, grouped by carrier, with active licenses that support appointments with selected carriers' writing companies.
- **Group by State**: Click the radio button to report producers, grouped by state, with active or pending licenses, even if they do not they support any appointments
- **Carriers**: Available only with the Group by Carrier option selected. To filter the report to producers appointed by specific carriers, click to select the names of one or multiple carrier groups.
- Writing Companies: Available only with the Group by Carrier option selected. To filter the report to producers appointed by specific carrier group writing companies, with one or multiple carrier groups selected in the Carriers select box, click to select the names of one or multiple writing companies.
- **States**: To filter the report to producers licensed and/or appointed in one or multiple states, click to select one or multiple state names.
- **Business Units**: To filter the report to producers segmented in one or multiple business units, click to select one or multiple business units.

### **Report Results**

Report results include the following fields:

- **Carrier**: For each producer listed with an active license/appointment combination, displays the name of the appointing carrier group.
- Writing Company: For each producer listed with an active license/appointment combination, displays the name of the appointing or underwriting company within the appointing carrier group.
- **Producer Name**: For each producer listed with an active license/appointment combination, displays the producer's name.
- **NPN**: For each producer listed with an active license/appointment combination, displays the producer's National Producer Number.

- **Business Units**: For each producer listed with an active license/appointment combination, displays the short name of the business unit with which the producer is associated.
- License State: For each producer listed with an active license/appointment combination, displays the full name of the license state.
- License Type: For each producer listed with an active license/appointment combination, displays the type of license that the producer holds in the license state.
- License Number: For each producer listed with an active license/appointment combination, displays the license number of the license that the producer holds in the license state.
- License Orig Issue: For each producer listed with an active license/appointment combination, displays the Original Issue Date of the license that the producer holds in the license state.
- License Expiration: For each producer listed with an active license/appointment combination, displays the Expiration Date of the license that the producer holds in the license state.
- **Appointment**: For each producer listed with an active license/appointment combination, displays the **Appointment Type** that the producer holds in the license state.
- **Appt County**: For each producer listed with an active license/appointment combination, displays the name of the county in which the producer is appointed in the license/appointment state.
- **Sharing Producer**: For each producer listed with an active license/appointment combination, displays the name of the producer that shares the appointment with the listed producer in the license state.

### Page Controls

Controls include the following:

- **Submit Offline**: Click to generate the report offline, a method that can be useful if it will contain a large volume of data or to overcome data range limitations. For more information, see <u>Recent Reports</u>.
- **Cancel**: Click to open the Producer Manager Home page.

A report generated using the **Group by Carrier** option will not include producers with pending licenses or licenses that do not support appointments.

Report results may be truncated if results exceed the maximum allowed number of records. Heed the on-screen warning. We recommend narrowing your reporting criteria for best results.

### Producer Costs Inquiry

Use the **Producer Costs Inquiry** page to generate a report of historical cost information in Producer Manager, including costs not tied specifically to producer compliance transactions, such as subscription fees and account adjustments.

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All Reports Recent Reports Producer Costs I	nquiry	
	Producer Costs Inquiry	
	Shows the regulatory costs associated with producers.	
Date Range of Incurred Costs           Begin Date:         End Date:           04-01-2013         04-30-2014         10		
	te report but will not exclude costs that are not associated with a producer.	
States:	Service Types:	
Alabama Alaska American Samoa Arizona Arkansas California Colorado Connecticut Delaware	Agency License Renewal     Agency Status Inquiry     Appointment Processing     Background Investig. Process.     CE Continuance     Individual Appointment Inquiry     Individual License Renewal     Individual Status Inquiry	
Producer-Specific Filter Criteria Selecting the following criteria will limit costs displayed in the re Business Units:	eport to those associated with a producer. Locations: Departments:	
TestBU969         •           TestBU970         •           TestBU971         •           TestBU973         •           TestBU974         •           TestBU975         •	Pittsburgh PA PulsarChangeLocation Rives Junction Walla Walla WA E	
Format Options Mask SSNs: I (****.**.1234)		
The criteria you have selected will result in a report containing a	oproximately 7 rows.	Submit Offline Cancel
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State	Service Type	Residency	Transaction Date	Transaction ID S	State Fee	Sircon Fee	Producer TIN	Producer Name	Entity Type	Business Unit	Location	Department	-
CO.	License Application (LICAPPL)	RES	8/10/2011	3851180	284	8.55	***.**.0430	Smith-Wesson, Sally	IL.	LICSUP			
co	License Application (LICAPPL)	RES	8/10/2011	3851180	284	8.55	***.**.0430	Smith-Wesson, Sally	п	ANG			
co	License Application (LICAPPL)	RES	8/10/2011	3851183	284	\$.55	***.**.0430	Grisham, Tyler	IL.	LICSUP			
00	Individual Status Inquiry (ILSTSQ)		8/10/2011	3851185	0	1	***.**.0430	Grisham, Tyler	IL.	LICSUP			
C0	Agency License Renewal (AGLICRNW L)	NON	8/10/2011	3851141	0	0	82-0409975	Age and See Agency	AGY	LICSUP			
TN	Agency License Renewal (AGLICRNW L)	NON	8/10/2011	3851142	0	٥	82-0409975	Age and See Agency	AGY	LICSUP			-
co	License Application (LICAPPL)	NON	8/10/2011	3850764	224	8.55	82-0409975	Age and See Agency	AGY	LICSUP			
СТ	License Application (LICAPPL)	NON	8/10/2011	3850765	0	\$.55	82-0409975	Age and See Agency	AGY	LICSUP			

To open the **Producer Costs Inquiry** page, from the <u>Inquiries</u> menu select <u>Producer</u> <u>Management Inquiries</u>, and then select **Producer Costs Inquiry**.

#### Report Criteria

Use the following fields to narrow your report results:

- Date Range of Incurred Costs: Enter the date range in which you want to report producer costs. By default, the **Producer Costs Inquiry** will report all cost information from the preceding month.
  - Begin Date: Required. Enter the beginning date of a date range in which to run the search. Use the *mmddyyyy* date format. Or, click the Calendar button (<sup>19</sup>) to open a popup calendar from which you can click to select a date.
  - **End Date**: *Required.* Enter the last date of a date range in which to run the search. Use the *mmddyyyy* date format. Or, click the **Calendar** button () to open a popup calendar from which you can click to select a date.
- Filter Criteria: Enter specific criteria to narrow your the report results.
  - **States**: To report costs for transactions in all states, select no criteria. Or, to filter the report to include only costs for transactions in a particular state, click to select a state name from the list box. Or, press the CTRL key and click to select multiples.
  - Service Types: To report costs for transactions for related service types, select no criteria. Or, to filter the report to include only costs for transactions for specific related service types, click to select a service type from the list box. Or, press the CTRL key and click to select multiples.
- **Producer-Specific Filter Criteria**: Enter specific criteria to narrow your the report results.
  - Business Units: To report costs for transactions associated with all business units, select no criteria. Or, to filter the report to include only costs for transactions associated with specific business units, click to select a service type from the list box. Or, press the CTRL key and click to select multiples.

- Locations: To report costs for transactions associated with all locations, select no criteria. Or, to filter the report to include only costs for transactions associated with specific locations, click to select a service type from the list box. Or, press the CTRL key and click to select multiples.
- Departments: To report costs for transactions associated with all departments, select no criteria. Or, to filter the report to include only costs for transactions associated with specific departments, click to select a service type from the list box. Or, press the CTRL key and click to select multiples.
- Format Options: Choose the following options for formatting the report results:
  - **Mask SSN**: Click to checkmark the checkbox to replace the first five (5) digits of an individual producer's Social Security Number with asterisks in the report results.

### Report Results

The results of a **Producer Costs Inquiry** are tabular (spreadsheet view) and sorted alphabetically by state code.

- **State**: *Available only for costs incurred through state compliance transactions*. For each producer cost listed, displays the state code of the state associated with the cost.
- **Service Type**: For each producer cost listed, displays the type and type code of the service associated with the cost.
- **Residency**: Available only for costs incurred through state compliance transactions. For each producer cost listed, displays RES for costs associated with transactions with a producer's resident license state. Or, displays NON for costs associated with transactions with a non-resident license state.
- **Transaction Date**: For each producer cost listed, displays the date on which the cost was incurred.
- **Transaction ID**: For each producer cost listed, displays the confirmation ID or other identifier of the transaction that incurred the cost.
- **State Fee**: For each producer cost listed, displays the state fee associated with the transaction.
- **Sircon Fee**: For each producer cost listed, displays the system processing or other fee associated with the transaction.
- **Producer TIN**: For each producer cost listed, displays the Social Security Number (possibly masked) or Federal Employer Identification Number of the individual or firm producer for which the cost was incurred.
- Entity Type: For each producer cost listed, displays IL for costs associated with individual producers. Or, displays AGY for costs associated with firm producers.
- **Producer Name**: For each producer cost listed, displays the name of the individual or firm producer for which the cost was incurred.
- **Business Unit**: For each producer cost listed, displays the business unit that was associated with the transaction that incurred the cost.
- Location: For each producer cost listed, displays the location that was associated with the transaction that incurred the cost.

• **Department**: For each producer cost listed, displays the department that was associated with the transaction that incurred the cost.

### Page Controls

Controls include the following:

- **Submit Offline**: Click to generate the inquiry offline, where it can be retrieved in multiple output formats by any staff member with the permissions to view it. For more information, see <u>Recent</u> <u>Reports</u>.
- **Cancel**: Click to open the Producer Manager Home page.

The values available in the **Service Types** report criteria field are system-maintained in the COST\_TYPE\_CD code group. This code group is automatically populated by a system process that continually queries the PLM transaction engine (Compliance Express) for new producer cost type codes. User maintenance is not necessary.

Social Security Numbers will be masked in the report results by default for users whose security role has the **Mask Social Security Numbers (SSNs)** security permission enabled. For more information, see Maintain Security Role.

### CE Deficiency Inquiry

Use the **CE Deficiency Inquiry** page to assemble a list of producers who are nearing the end of their resident license review period in select regulatory jurisdictions, but who have not yet fulfilled their CE requirements.

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All Reports Recent Re	eports CE	Deficiency In	quiry							
			CE	Deficiency	Inquiry					
Which of your producers	have an acti	ve license that is	expiring soon and have	not yet completed the	ir continuing education	n requirements? G	Generate a list of	f producers w	ho are CE def	icient.
Criteria Active Licenses Expiring I	n:		States:			Business Units	:			
30 Days 💌			California Colorado	^		00001	<u> </u>			
			Connecticut	~		00003	~			
			Georgia			00004				
						1	Search	Download	Report	Cancel
Producer	License State	License Number	License Type	↓ License     Expiration Date	Contact Info	CE Requirement	CE Status	Required Hours	Applied Hours	Actions
SSN: ***-**-3145   BU: BUS	VA	40547577	Producer	09-16-2011	⊕ 955 Hall     Street	Law & Regulatio	Pending	2.0	0.0	<u>s</u>
SSN: ***-**-3145   BU: BUS	VA	40547577	Producer	09-16-2011		Life & Health	Pending	8.0	0.0	<u>s</u>
SSN: ***-**-3145   BU: BUS	VA	40547577	Producer	09-16-2011		Total	Pending	24.0	0.0	<u>s</u>
	VA	40547577	Producer	09-16-2011	⊞ 955 Hall Street	Property & Casu	Pending	8.0	0.0	<u>s</u>
SSN: ***-**-3145   BU: BUS			Resident Producer	09-16-2011	1 4868 Thomas	Total	Not	24.0	19.0	<u>s</u>
Cannella, Sally (VA)     SSN: ***-**-3145   BU: BUS     Cooper, Kathy (UT)     SSN: ***-**-8031   BU: QARB	UT UT	288429	Individual		Street	1 Otda	Compliant			
SSN: ***-**-3145   BU: BUS	U	288429 40865782	Individual Producer	09-16-2011	Street	Title	Pending	8.0	0.0	<b>A</b>
SSN: ***-**-3145   BU: BUS Cooper, Kathy (UT) SSN: ***-**-8031   BU: QARB Gabriel, Adalbert (VA)	U				1 4775 Marsh			8.0 24.0	0.0 0.0	₽. ₽.
SSN: ***-**-3145   BU: BUS Cooper, Kathy (UT) SSN: ***-**-8031   BU: QARB Gabriel, Adalbert (VA) SSN: ***-**-5397   BU: BUS Gabriel, Adalbert (VA)	VA	40865782	Producer	09-16-2011		Title	Pending			
SSN: *****3145   BU: BUS Cooper, Kathy (UT) SSN: *****8301   BU: CARB Gabriel, Adalbert (VA) SSN: *****5397   BU: BUS Gabriel, Adalbert (VA) SSN: *****5397   BU: BUS Gabriel, Adalbert (VA) SSN: *****5397   BU: BUS Gabriel, Adalbert (VA)	VA VA VA	40865782 40865782	Producer Producer	09-16-2011 09-16-2011		Title Total Property &	Pending Pending	24.0	0.0	<u>s</u>
SSN: *****3145   BU: BUS Cooper, Kathy (UT) SSN: *****8031   BU: OARB Gabriel, Adalbert (VA) SSN: *****5397   BU: BUS Gabriel, Adalbert (VA) SSN: *****5397   BU: BUS SSN: *****5397   BU: BUS	VA VA VA VA	40865782 40865782 40865782	Producer Producer Producer	09-16-2011 09-16-2011 09-16-2011		Title Total Property & Casu	Pending Pending Pending	24.0 8.0	0.0	<u>Q</u>

To open the **CE Deficiency Inquiry** page, from the <u>Inquiries</u> menu select **Producer Management**, and then select **CE Deficiency Inquiry**.

The **CE Deficiency Inquiry** page contains the following sections:

### Report Criteria

Set the search criteria for the report.

Fields and controls include the following:

- Active Licenses Expiring In: From the dropdown menu, select a value representing a number of days after the current date -- 30, 60, 90, or 120 days. Your selection establishes a date range that begins with the current date and ends with the date calculated from your selection. The system will search for producers whose resident licenses as recorded in Producer Manager have an Expiration Date that is within this date range. For more information, see Licenses/Qualifications.
- States: Click to select the names of one or multiple states to filter the report to include producers whose resident licenses are expiring in only the selected state(s). Press the CTRL key and click to select multiples. Or, make no selections to include in the report producers with expiring resident licenses in all states.
- **Business Units**: Click to select the names of one or multiple business units to filter the report to include producers with expiring resident licenses who are associated with only the selected business unit(s). Press the CTRL key and click to select multiples. Or, make

no selections to ignore business unit as a criterion in the report; output will include all producers regardless of their assigned business unit.

### **Report Results**

Displays a table listing all producers whose continuing education requirements are deficient based on the search parameters set in the **Criteria** section.

Click an underscored 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.

Fields and controls include the following:

- **Producer**: For each producer listed, displays a producer name as a blue hyperlink. Click a desired producer hyperlink to open the record in the Review/Update Producer page.
- **SSN**: *Individual producers only*. For each producer listed, displays a producer's Social Security Number as a blue hyperlink. Click a desired **SSN** hyperlink to display in the **Search Results** of the Advanced Producer Search page producers with the selected Social Security Number.
- **EIN**: *Firm producers only*. For each producer listed, displays a producer's Federal Employer Identification Number as a blue hyperlink. Click a desired **EIN** hyperlink to display in the **Search Results** of the Advanced Producer Search page producers with the selected Federal Employer Identification Number.
- **Ext. ID**: For each producer listed, displays a producer's ID code in your company's preferred external system as a blue hyperlink. Click a desired **Ext. ID** hyperlink to rerun the search to display in the **Search Results** of the Advanced Producer Search page producers with the selected external system ID. Available only if an ID code for your company's preferred external system is recorded for a listed producer.
- BU: For each producer listed, displays as a blue hyperlink the short names of the business units, active or inactive, with which a producer is associated. Click the node (⊞) to expand the field to display all business units. Click the node (⊟) to collapse the information. Click a desired BU hyperlink to rerun the search to display in the Search Results of the Advanced Producer Search page producers associated with the selected business unit. Available only if at least one business unit is recorded for a listed producer.
- License State: For each producer listed, displays the producer's resident license state.
- License Number: For each producer listed, displays the producer's resident license number.
- License Expiration Date: For each producer listed, displays the date on which the producer's resident license expires.
- **Contact Info**: For each producer listed, displays the producer's business location address and phone number.
- **CE Requirement**: For each producer listed, displays the category or grouping of the CE courses that the producer is required to complete.
- **CE Status**: For each producer listed, displays the current status of the producer's progress toward meeting the **CE Requirement**.

- **Required Hours**: For each producer listed, displays the total number of course credit hours the producer must complete to meet the **CE Requirement**.
- **Applied Hours**: For each producer listed, displays the total number of course credit hours has completed toward meeting the **CE Requirement**.
- Actions: For each producer listed, offers the following controls:
  - View CE Transcript Report (A): Click to open the Continuing Education Transcript report in a separate window, where you can view details about the CE Requirements in the License State, the producer's specific CE Requirements in the License State, and coursework applied to the producer's CE Requirements in the License State.

#### Page Controls

Fields and controls include the following:

- Search: After setting report parameters in the Criteria section, click to run the report. The results will display in the Search Results section.
- **Download Report**: Click to export the report results to a CSV (comma separated values) formatted file, openable in a spreadsheet application, such as Microsoft Excel.
- **Cancel**: Click to exit the page and open the Producer Manager Home page.

The **CE Deficiency Inquiry** reports producer continuing education information for selected states, not all states.

The Vertafore-maintained source of CE data from which the inquiry retrieves results is updated once per week, so inquiry results are not real-time.

Continuing education data retrieved by the inquiry is not populated in the CE Courses or CE Requirements data sections of producer records in Producer Manager. Therefore it cannot be obtained by other systems through integration services (such as the Outbound Data Feed or Producer Data Web Service). Data is accessible online only from the **Report Results** section of the **CE Deficiency Inquiry** page or from the Continuing Education Transcript report. (You may export the results of the **CE Deficiency Inquiry** to a spreadsheet by clicking the **Download Report** button.)

In the **Search Results** section, the values of the **CE Requirement**, **CE Status**, **Required Hours**, and **Applied Hours** fields are retrieved through integration with participating state regulatory systems. It is not necessary to configure new codes in the CE\_RQMT\_TYPE\_CD (CE Requirement) or CE\_RQMT\_STS\_CD (CE Status) code groups on the Maintain Codes page.

Unless the **Advanced Producer Search** permission is enabled for the security role to which your user account is assigned, fields in the **Report Results** section will display as read-only and not as hyperlinks to the Advanced Producer Search page. For more information, see Maintain Security Role.

If the **Mask Social Security Numbers (SSNs):** \*\*\*-\*\*-1234 permission is enabled for the security role to which your user account is assigned, the **SSN** field in the **Search Results** section will display as read-only and not as a hyperlink to the Advanced Producer Search page. For more information, see Maintain Security Role.

The CSV-formatted output of the **CE Deficiency Inquiry** contains more detailed information for each producer than the output that displays in the **Report Results** section of the page itself, including more resident license details, email address (if stored on the producer record), and a calculation of remaining course hours until a CE requirement is met. By default, data is sorted first by license Expiration Date, then by License State, and then by Producer Name.

### Professional Liability Insufficient Coverage Inquiry

Use the **Professional Liability Insufficient Coverage Inquiry** page to run a report showing producers with missing, lapsed, or expiring professional liability coverage as of a specified date.

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		Gener	ates a list	of Producers who	o w ill not h	ave sufficient Professional Liabilit	ty coverage as o	of a certain da	ate.			
Insufficient Cov 01-31-2014	verage As C	)f *		E	Business	00002	<b></b>					
Only includ	de Producers	with expired	coverage	Ð.		00003 00004						
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To open the **Professional Liability Insufficient Coverage Inquiry** page, from the <u>Inquiries</u> menu select <u>Producer Management</u>, and then select **Professional Liability Insufficient Coverage Inquiry**.

The **Professional Liability Insufficient Coverage Inquiry** page contains the following sections:

#### Report Criteria

Use the filter fields to enter report criteria and tailor the report results to suit your needs.

Fields and controls include the following:

- Insufficient coverage as of: *Required*. Enter a date 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. The system will search for producers whose most recent professional liability coverage has an **Expiration Date** on or prior to the date entered, as well as for producers whose records do not include any professional liability coverage.
- **Only include Producers with expired coverage.**: Click to checkmark the checkbox to filter the report results to exclude producers whose records do not include any professional liability coverage.
- **Coverage Type**: *Required*. Choose from among the following:
  - To report producers with insufficient errors and omissions professional liability coverage, from the dropdown menu select Errors & Omissions.
  - To report producers with insufficient bond professional liability coverage, from the dropdown menu select Bond.
  - To report producers with insufficient professional liability coverage of <u>both</u> coverage types, from the dropdown menu select Errors & Omissions And Bond.
  - To report producers with insufficient professional liability coverage of <u>either</u> coverage type, from the dropdown menu select Errors & Omissions Or Bond.
- **Producer Type**: To report producers with insufficient professional liability coverage regardless of entity type, from the dropdown menu select **Both** (default). Or, to filter the report to include only individual producers with insufficient professional liability coverage, from the dropdown menu select **Individual**. Or, to filter the report to include only firm producers with insufficient professional liability coverage, from the dropdown menu select **Firm**.
- **Producer Status**: To filter the report to include only producers with a record **Status** of Active, from the dropdown menu select Active (default). Or, to filter the report to include only producers with a record **Status** of Inactive, from the dropdown menu select Inactive. Or, to filter the report to include only producers with a record **Status** of Pending, from the dropdown menu select Pending. (For more information about record **Status**, see Details.)
- **Business Units**: To report producers with insufficient professional liability coverage without regard to producer business unit criteria, make no selection from the box. Or, to filter the report to include only producers with insufficient professional liability coverage that are assigned to one or multiple business units, click to select one or multiple business unit short names in the box. To select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select.

### **Report Results**

Displays information in a spreadsheet format about producers whose professional liability coverage lapsed or will expire by the date entered in the **Report Criteria** section. Also may include producers whose records do not include any professional liability coverage. Results may be narrowed by selected filter criteria.

For each producer with a professional liability coverage that met the report criteria, results include the following data fields:

- **Producer Name**: Displays the name of the individual or firm producer.
- **Producer Type**: Displays IL for an individual producer or AGY for a firm producer.
- **PM Producer Id**: Displays the unique, system-assigned identifier of the producer's record in Producer Manager.
- **NPN**: Displays the producer's National Producer Number.
- Email Address: Displays the producer's email address.
- **Phone Number**: For an individual producer, displays the telephone number set as the producer's preferred phone type. For a firm producer, displays the telephone number associated with the producer's preferred address type. (For more information, see Contact Information.)
- Address: Displays the full address information associated with the producer's preferred address type. (For more information, see Contact Information.)
- **Policy Type**: Displays either POLICY for errors and omissions policy or BOND for a bond.
- **Company Name**: Displays the name of the company issuing the producer's professional liability coverage.
- **Policy Number**: Displays the policy number of the producer's professional liability coverage.
- Effective Date: Displays the beginning date of the effective period of the producer's professional liability coverage.
- **Expiration Date**: Displays the ending date of the effective period of the producer's professional liability coverage.
- **Per-Incident Coverage**: Displays the limit in dollars and cents payable per claim or incident under the producer's professional liability coverage.
- **Total Coverage**: Displays the aggregate limit in dollars and cents payable during the effective period under the producer's professional liability coverage.

#### Page Controls

Controls include the following:

- **Submit Offline**: Click to generate the inquiry offline, where it can be retrieved in multiple output formats by any staff member with the permissions to view it. For more information, see Recent Reports.
- Cancel: Click to open the Producer Manager Home page.

If the report results include a producer with both insufficient errors and omissions and bond coverage types, the producer will be listed twice on separate rows on the results spreadsheet.

Report results are limited to a maximum of 64,000 rows. Therefore, to avoid incomplete results, we strongly recommend that you avoid running the **Professional Liability Insufficient Coverage Inquiry** with the **Only include Producers with expired coverage** checkbox uncheckmarked, until after all producer records in Producer Manager have been updated with initial professional liability coverage information. You may update records either manually or by using the Bulk Professional Liability Updates utility in the Producer Express Bulk Business Updates module.

To search for producers with professional liability coverage that will expire by a certain future date, enter the date in the **Insufficient coverage as of** field. Or, to search for producers with professional liability coverage that has lapsed, enter today's date in the **Insufficient coverage as of** field. In either case, the coverage expiration date will be included in the report results. If your company is using the Producer Express Bulk Business Updates module, you may use the results of a **Professional Liability Insufficient Coverage Inquiry** as the basis for a Bulk Professional Liability Updates data file. For more information about bulk business updates, see <u>Producer Express Bulk Processing Module User Guide</u>.

# **Required Items Inquiries**

Use the **Required Items** inquiries to follow up on producer management tasks and to-do lists.

Inquiries 🔹	_
All Reports	
Information	
Producer Management	
Required Items	Required Items Inquiry
Appointment 🌾	Individuals w/ Assoc Firms Rqd Items Inquiry
Statistics	
System Information	
Hierarchy 🕨	

The Required Items sub-menu of the Inquiries menu may offer the following options:

- Required Items Inquiry
- Individuals with Associated Firms Required Items Inquiry

An inquiry may be unavailable for selection based on your company's specific deployment of Producer Manager (carrier or agency/brokerage) or the security settings specific to your user account. For more information, see Maintain Security Role.

# Required Items Inquiry

Use the **Required Items Inquiry** to follow up on events and tasks necessary to managing your producers. Check for all required items, or select just one (for example, application fee or fingerprint card). If desired, filter by business unit or submitting staff member.

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r, William L	***_*	*-2009	New York	Requested	Fingerprint Card		12-09-2009
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To open the **Required Items Inquiry** page, from the <u>Inquiries</u> menu select <u>Required Items</u>, and then select **Required Items Inquiry**.

The **Required Items Inquiry** page contains the following sections:

#### Report Criteria

Enter report criteria about the required items you want to follow up on.

- **Producer Type**: Click the **Firm** radio button to report required items for firm producers, or click the **Individual Licensee** radio button to report required items for individual producers.
- **Follow-up Date**: *Required.* Select the method by which you want to search for required items' follow-up dates. Choose from among the following:
  - **All Dates**: Click the radio button to report all required items, regardless of their follow-up date.
  - All items that are *[due date timeframe]*: Click the radio button to report required items with follow-up dates in the past or the near future. From the dropdown menu,

select **Past Due** to report required items with follow-up dates in the past (default); select **Due in the Next Week** to report required items with follow-up dates within the next seven days, or select **Due in the Next Month** to report required items with follow-up dates in the next 30 days.

- Between [x] and [y]: Click the radio button to report required items with follow-up dates within a certain date range. Enter the first date of the date range, using the *mmddyyyy* date format. Then, enter the last date of the date range, using the *mmddyyyy* date format. Or, click the Calendar buttons (IP) to open a popup calendar from which you can click to select dates.
- **Status**: *Required.* Select the method by which you want to search for required items' status and status date. Choose from among the following:
  - **[dropdown menu]**: From the dropdown menu, select the status of required items you want to report: Requested, Received, or Pending.
  - **All Dates**: *Default*. Click the radio button to report required items with the selected status, regardless of their status date.
  - Requested/Received [status date timeframe]: Click the radio button to report required items with status dates in the recent past. From the dropdown menu, select In the Last Week to report required items for which the selected status date was in the past seven days, or select In the Last Month to report required items for which the selected status date was in the past 30 days.
  - Between [x] and [y]: Click the radio button to report required items with status dates within a certain date range. Enter the first date of the date range, using the *mmddyyyy* date format. Then, enter the last date of the date range, using the *mmddyyyy* date format. Or, click the Calendar buttons ()) to open a popup calendar from which you can click to select dates.
- **Required Items**: To report required items without regard to specific required item type, make no selection from the box. Or, to filter the report results to include only required items of a specific type, click to select one or multiple types in the box. To select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select.
- States: To report required items without regard to state, make no selection from the box. Or, to filter the report results to include only required items associated with a specific state, click to select one or multiple state names in the box. To select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select.
- Staff Members: To report required items without regard to the recording staff member, make no selection from the box. Or, to filter the report results to include only required items recorded by a specific staff member, click to select one or multiple staff member names in the box. To select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select.
- **Business Units**: To report required items without regard to reported producers' business unit criteria, make no selection from the box. Or, to filter the report results to include only required items concerning reported producers assigned to one or multiple business units, click to select one or multiple business unit short names in the box. To

select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select.

#### **Online Report Results**

When you click the **Search** button at the bottom of the **Required Items Inquiry** page, the report results display directly on the page.

Report results are sorted on the Follow-Up Date field.

Results include the following data fields:

- **Producer Name**: For each producer listed with required items information that met the report criteria, displays the name of the individual licensee or firm producer as a blue hyperlink. Click a name link to open the Maintain Producer Required Items page, where you can update the selected producer's required items information. Click the column heading to toggle alphabetic or reverse alphabetic sorting of the report results on the **Producer Name** field.
- **SSN**: Available only with **Producer Type** of Individual Licensee. For each producer listed with required items information that met the report criteria, displays the individual's Social Security Number. (For more information, see Details.)
- **EIN**: Available only with **Producer Type** of Firm. For each producer listed with required items information that met the report criteria, displays the firm's Federal Employer Identification Number. (For more information, see Details.)
- **State**: For each producer listed with required items information that met the report criteria, displays the name of the state associated with the required item.
- **Status**: For each producer listed with required items information that met the report criteria, displays the required item's current status.
- **Type**: For each producer listed with required items information that met the report criteria, displays the required item type.
- **Bus. Unit**: For each producer listed with required items information that met the report criteria, displays the business unit associated with the required item.
- **Follow-Up Date**: For each producer listed with required items information that met the report criteria, displays the required item follow-up date. Click the column heading to toggle ascending or descending sorting of the report results on the **Follow-Up Date** field.

#### Offline Report Results

After setting report criteria, when you click the **Submit Offline** button at the bottom of the **Required Items Inquiry** page, the system generates the inquiry in the offline inquiry queue on the <u>Recent Reports</u> page. When opened for viewing, the report results display required items information that met the report criteria. Results may be narrowed by selected filter criteria.

The header of the report results window displays a summary of the selected report criteria.

Report results are sorted in ascending order by Indv ID or Firm ID.

Results include the following data fields:

• Individual Name: Available only with **Producer Type** of Individual Licensee. For each required item listed that met the report criteria, displays the name of the individual licensee for which the required item was recorded.

- Firm Name: Available only with **Producer Type** of Firm. For each required item listed that met the report criteria, displays the name of the firm for which the required item was recorded.
- Indv ID: Available only with **Producer Type** of Individual Licensee. For each required item listed that met the report criteria, displays the Producer Manager record ID of the individual licensee for which the required item was recorded.. (For more information, see Details.)
- Firm ID: Available only with **Producer Type** of Firm. For each required item listed that met the report criteria, displays the Producer Manager record ID of the firm for which the required item was recorded.. (For more information, see Details.)
- **SSN**: Available only with **Producer Type** of Individual Licensee. For each required item listed that met the report criteria, displays the Social Security Number of the individual licensee for which the required item was recorded. (For more information, see Details.)
- **EIN**: Available only with **Producer Type** of Firm. For each required item listed that met the report criteria, displays the Federal Employer Identification Number of the firm for which the required item was recorded.. (For more information, see Details.)
- **Business Units**: For each required item listed that met the report criteria, displays the short name(s) of the business units to which the producer is actively assigned (sorted alphabetically).
- Individual External System ID: Available only with Producer Type of Individual Licensee. For each required item listed that met the report criteria, displays the external system identifier information of the individual licensee for which the required item was recorded, including the following:
  - External System Type: For each external system identifier listed, displays its type.
  - o **ID**: For each external system identifier listed, displays its ID or code.
  - **Business Unit**: For each external system identifier listed, displays the business unit associated with the external system identifier.
  - Primary?: For each external system identifier listed, displays whether the external system identifier is designated at the producer's primary external system identifier: "Yes" if primary; "No" if not primary.
  - **Inactive?**: For each external system identifier listed, displays whether the external system identifier is inactive: "Yes" if inactive; "No" if active.
- **Firm External System ID**: *Available only with Producer Type of Firm*. For each required item listed that met the report criteria, displays the external system identifier information of the firm for which the required item was recorded, including the following:
  - **External System Type**: For each external system identifier listed, displays its type.
  - **ID**: For each external system identifier listed, displays its ID or code.
  - **Business Unit**: For each external system identifier listed, displays the business unit associated with the external system identifier.
  - Primary?: For each external system identifier listed, displays whether the external system identifier is designated at the producer's primary external system identifier: "Yes" if primary; "No" if not primary.

- **Inactive?**: For each external system identifier listed, displays whether the external system identifier is inactive: "Yes" if inactive; "No" if active.
- Individual Required Items: Available only with Producer Type of Individual Licensee.
   For each individual licensee producer listed that met the report criteria, displays his or her required items information, including the following:
  - **State**: For each required item listed, displays the name of its associated state.
  - **Item Type**: For each required item listed, displays its type.
  - **Business Unit**: For each required item listed, displays its associated business unit.
  - Status: For each required item listed, displays its current recorded status.
  - **Created**: For each required item listed, displays the date on which it was recorded.
  - **Requested**: For each required item listed, displays the date on which it was requested.
  - **Received**: For each required item listed, displays the date on which it was received.
  - **Follow-up**: For each required item listed, displays the date on which it is due for follow-up (i.e., "tickler date").
- Firm Required Items: Available only with **Producer Type** of Firm. For each firm producer listed that met the report criteria, displays its required items information, including the following:
  - State: For each required item listed, displays the name of its associated state.
  - **Item Type**: For each required item listed, displays its type.
  - Business Unit: For each required item listed, displays its associated business unit.
  - Status: For each required item listed, displays its current recorded status.
  - **Created**: For each required item listed, displays the date on which it was recorded.
  - **Requested**: For each required item listed, displays the date on which it was requested.
  - **Received**: For each required item listed, displays the date on which it was received.
  - **Follow-up**: For each required item listed, displays the date on which it is due for follow-up (i.e., "tickler date").
- All Requested Dates: For each required item listed that met the report criteria, displays the date on which it was requested.
- **Submitting Staff Member**: For each required item listed that met the report criteria, displays the name of the recording staff member.

# Page Controls

Controls include the following:

- **Search**: Click to generate the inquiry directly at the bottom of the Required Items Inquiry page.
- Submit Offline: Click to generate the inquiry offline, where it can be retrieved in multiple output formats by any staff member with the permissions to view it. For more information, see Recent Reports.

- View/Refresh Report: Click to generate the inquiry "on demand" in HTML format online. The report will open in the separate Inquiry Output Window.
- Cancel: Click to open the Producer Manager Home page.

Results of the **Required Items Inquiry** may contain unmasked, full Social Security Number information for individual producers. It is not possible to configure the system to mask or hide these values in the report results. However, using a security role setting, a user with administrator permissions may deny other users the permission to run this inquiry or view inquiry results requested by other users. For more information, see Maintain Security Role.

# Individuals with Associated Firms Required Items Inquiry

Use the **Individuals with Associated Firms Required Items Inquiry** page to report the same information as the <u>Required Items Inquiry</u> but on individuals associated with an agency. You can report required items for individual producers affiliated with any firm or with a specific firm.

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nsing	<ul> <li>Companies</li> </ul>	<ul> <li>Inquiries</li> </ul>	<ul> <li>Express Services</li> </ul>	✓ Administration	<b>•</b>
				Producer Quick Search	
All Reports Recent R	eports Individuals w/ Assoc	Firms Rqd Items Inquiry			
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Begin Date 12312	 008       En	d Date 04012012	Required item	<u> </u>	
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			Remove Firm Subm	View Relies in Report Cancel	1

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08-03-2012 Individ	dual Required Items In With Associated Firms	quiry	Page 2 of 3	-	
Items Requested: 08-01-2009 through (	)8-01-2012				
Follow-up Date: <none specified=""></none>					
Required Items: All Items					
State: All States					
Associated Firm: All Firms Business Units: All Business Units					
Date Range: Compared against al	request dates				
Submitting Staff Members: All Submitting Staff					
Firm Name	Firm ID	EIN	Business Units	_	
WELLS FARGO INS SERVICES USA INC	558793	56-1882208	CHUG, GRNSBRG, ORSCATL, ORSCALS, ORSCMIL, ORSCORL, ORSCORL, ORSCPITT, PAM		
Firm External System IDs External System	ID	Business Unit	Primary? Inactive?	_	
Agency Code	NE 1428	PAM	No No		
Agency Code	SE 1457	PAM	No No		
Agency Code	SW 1456 80 2029	PAM ORSCATL	No No No Yes		
Branch Agency Code Branch Agency Code	92 2948	ORSCORL	No Yes		
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DB Unique Identifier	65		No No		
Actively Associated Individual	Indv ID S	SN	Business Units		
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All Requested Dates: 10-07-2011					
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To open the **Individuals with Associated Firms Required Items Inquiry** page, from the <u>Inquiries</u> menu select <u>Required Items</u>, and then select **Individuals with Associated Firms Required Items Inquiry**.

The **Individuals with Associated Firms Required Items Inquiry** page contains the following sections:

#### Search Firm

Use the **Search Firm** page to search for a single firm producer (agency) with affiliated producers for which required items were requested or received in the selected time period you want to report.

The **Search Firm** page consists of the following sub-sections:

#### Search Fields

Use the Search Fields to enter report criteria. At least one report criterion is required.

Fields and controls include the following:

• **Firm Name**: Enter a search string on firm name. You may use as few as two characters in your search string. May contain numeric characters. Wildcard characters are not allowed. May not contain double quotation marks (").

- **EIN**: Enter a producer's entire Federal Employer Identification Number. Partial searches not allowed. Maximum 9 characters without a separating hyphen or 10 characters with a separating hyphen.
- **NPN**: Enter a producer's entire National Producer Number. Partial searches not allowed. Maximum 10 characters.
- Active Business Unit: Select from the dropdown menu an the short name of an active business unit to which a producer is assigned. May not be the only search criterion.
- License Number: Enter the entire number of a producer's state license, either active or inactive. Partial searches not allowed. Maximum 15 characters.
- License State: Select from the dropdown menu a state in which a producer holds an active or inactive license.
- External System ID: Enter a producer's entire external system ID code, including leading zeroes, either active or inactive. Partial searches not allowed. Maximum 22 characters.
- Primary External ID Only: Click to checkmark the checkbox to constrain a search using an External System ID criterion to only those external system IDs marked as a "primary" ID on a producer's record. The search will ignore a match on an External System ID that is not marked as "primary." (For more information, see Maintain External System Identifiers.)
- **Records Per Page**: If multiple records met your search criteria, the default number of records displayed per page of results is 10. From the dropdown menu, select a value in increments of 10 up to 50 and then execute or re-execute the search to display a number of records up to the selected value in the **Report Results** sub-section.
- Search: Click to execute the search based on the entered search criteria. If only one record met your search criteria, the Search Firm page will close, and the selected firm's summary information will display in the Associated Firm section of the Individuals with Associated Firms Required Items Inquiry page. If multiple records met your search criteria, they will display in the Search Results section. You then must click the Name of a selected firm to close the Search Firm page and display the selected firm's summary information will display in the Associated Firm section of the Individuals with Associated Firm to close the Search Firm page and display the selected firm's summary information will display in the Associated Firm section of the Individuals with Associated Firms Required Items Inquiry page.
- **Cancel**: Click to abort the page operation and open the Producer Manager Home page.

#### Search Results

If multiple producer records met your search criteria, they will display in the **Search Results** sub-section of the **Search Firm** section.

Fields and controls include the following:

 Name: For each listed producer record, displays a producer name as a blue hyperlink. Click the column heading to toggle alphabet or reverse alphabetic sorting of the Search Results on the Name field. To close the Search Firm page and display the selected firm's summary information will display in the Associated Firm section of the Firm Associated Individual Appointments Inquiry page, click a desired producer Name hyperlink.

- **EIN**: For each listed producer record, displays a producer's federal Employer Identification Number. Click the column heading to toggle highest-to-lowest or lowest-to-highest sorting of the **Search Results** on the **EIN** field.
- License State/#: For each listed producer record, displays the state codes of the states in which a producer holds at least one active or inactive license and the corresponding license numbers. Click the node (⊞) to expand the record row to display all of the producer's license state and number information. Click the node (⊟) to collapse the information.
- NPN: For each listed producer record, displays a producer's National Producer Number. Click the column heading to toggle highest-to-lowest or lowest-to-highest sorting of the Search Results on the NPN field.
- Active BU: For each listed producer record, displays the name of the business unit(s) with which a producer is actively associated. Click the node (⊞) to expand the record row to display all of the producer's business unit information. Click the node (⊟) to collapse the information.
- **City**: For each listed producer record, displays the producer's mailing address city. Click the column heading to toggle alphabetic or reverse alphabetic sorting of the **Search Results** on the **City** field.
- State: For each listed producer record, displays the producer's mailing address state. Click the column heading to toggle alphabetic or reverse alphabetic sorting of the Search Results on the State field.
- **Displaying** [v] [w] (of [x] matching records): Displays the range in numbers of producer records currently displaying in the **Search Results** sub-section out of the total number of producer records returned by a search.
- **Page [y] of [z]**: Displays the number of the page currently displaying out of the total number of pages of producer records returned by a search.
- **Go To Page**: Available only when more than 10 records are returned by a search, resulting in multiple pages of **Search Results**. Select from the dropdown menu the number of the page of producer records to which you wish to navigate.
- Go: Click to navigate to the page number of **Search Results** selected in the Go To Page dropdown menu.

## Report Criteria

Enter report criteria about the required items you want to follow up on.

- **Status**: *Required.* From the dropdown menu, select the status of required items you want to report: Requested, Received, or Pending.
- Compare date range with latest request date: Available only when value of Status field is Requested. If a producer record contains multiple requested dates for a single required item, click to checkmark the checkbox to include the required item in the report results only if the most recent request for the required item falls within the date range established in the Begin Date and End Date fields. Uncheckmark the checkbox to include the required item falls within the date range established in the report results if <u>any</u> request for the required item falls within the date range established in the Begin Date and End Date fields.

- **Begin Date**: *Required*. To report required items with status dates within a certain date range, enter the first date of the date range, using the *mmddyyyy* date format. Or, click the **Calendar** button () from which you can click to select a date.
- End Date: *Required.* To report required items with status dates within a certain date range, enter the last date of the date range, using the *mmddyyyy* date format. Or, click the **Calendar** button () to open a popup calendar from which you can click to select a date.
- **Required Item**: To report required items without regard to specific required item type, make no selection from the dropdown menu. Or, to filter the report results to include only required items of a specific type, select the required item type from the dropdown menu.
- **State**: To report required items without regard to state, make no selection from the dropdown menu. Or, to filter the report results to include only required items associated with a specific state, select the state name from the dropdown menu.
- **Follow-up Date Between**: To report required items with follow-up dates within a certain date range, enter a date value in the following fields:
  - **Begin Date**: Enter the first date of the date range, using the *mmddyyyy* date format. Or, click the **Calendar** button ()) from which you can click to select a date.
  - End Date: Enter the last date of the date range, using the *mmddyyyy* date format.
     Or, click the Calendar button () to open a popup calendar from which you can click to select a date.
- **Staff Members**: To report required items without regard to the recording staff member, make no selection from the box. Or, to filter the report results to include only required items recorded by a specific staff member, click to select one or multiple staff member names in the box. To select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select.
- **Business Units**: To report required items without regard to reported producers' business unit criteria, make no selection from the box. Or, to filter the report results to include only required items concerning reported producers assigned to one or multiple business units, click to select one or multiple business unit short names in the box. To select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select.

## **Report Results**

Report results display required items information for firm-affiliated producers that met the report criteria. Results may be narrowed by selected filter criteria.

The header of the report results window displays a summary of the selected report criteria.

Report results are sorted in ascending order by the value of affiliated firms' Firm ID.

Results include the following data fields:

- **Firm Name**: For each firm listed with affiliated producers with required item information that met the report criteria, displays the firm name.
- **Firm ID**: For each firm listed with affiliated producers with required item information that met the report criteria, displays the firm's Producer Manager record ID.

- **EIN**: For each firm listed with affiliated producers with required item information that met the report criteria, displays the firm's Federal Employer Identification Number.
- **Business Units**: For each firm listed with affiliated producers with required item information that met the report criteria, displays the short names of the firm's assigned business units.
- **Firm External System ID**: For each firm listed with affiliated producers with required item information that met the report criteria, displays the external system identifier information of the firm for which the required item was recorded, including the following:
  - External System Type: For each external system identifier listed, displays its type.
  - o **ID**: For each external system identifier listed, displays its ID or code.
  - **Business Unit**: For each external system identifier listed, displays the business unit associated with the external system identifier.
  - Primary?: For each external system identifier listed, displays whether the external system identifier is designated at the producer's primary external system identifier: "Yes" if primary; "No" if not primary.
  - **Inactive?**: For each external system identifier listed, displays whether the external system identifier is inactive: "Yes" if inactive; "No" if active.

For each firm listed with affiliated producers with required item information that met the report criteria, displays the following information about affiliated producers:

- **Individual Name**: For each required item listed that met the report criteria, displays the name of the individual licensee for which the required item was recorded.
- **Indv ID**: For each required item listed that met the report criteria, displays the Producer Manager record ID of the individual licensee for which the required item was recorded.. (For more information, see Details.)
- SSN: For each required item listed that met the report criteria, displays the Social Security Number of the individual licensee for which the required item was recorded. (For more information, see Details.)
- **Business Units**: For each required item listed that met the report criteria, displays the short name(s) of the business units to which the producer is actively assigned (sorted alphabetically).
- **Individual External System ID**: *Available only with Producer Type* of *Individual Licensee*. For each required item listed that met the report criteria, displays the external system identifier information of the individual licensee for which the required item was recorded, including the following:
  - External System Type: For each external system identifier listed, displays its type.
  - **ID**: For each external system identifier listed, displays its ID or code.
  - **Business Unit**: For each external system identifier listed, displays the business unit associated with the external system identifier.
  - Primary?: For each external system identifier listed, displays whether the external system identifier is designated at the producer's primary external system identifier: "Yes" if primary; "No" if not primary.
  - **Inactive?**: For each external system identifier listed, displays whether the external system identifier is inactive: "Yes" if inactive; "No" if active.

- Individual Required Items: Available only with Producer Type of Individual Licensee. For each individual licensee producer listed that met the report criteria, displays his or her required items information, including the following:
  - **State**: For each required item listed, displays the name of its associated state.
  - **Item Type**: For each required item listed, displays its type.
  - Business Unit: For each required item listed, displays its associated business unit.
  - Status: For each required item listed, displays its current recorded status.
  - **Created**: For each required item listed, displays the date on which it was recorded.
  - **Requested**: For each required item listed, displays the date on which it was requested.
  - **Received**: For each required item listed, displays the date on which it was received.
  - **Follow-up**: For each required item listed, displays the date on which it is due for follow-up (i.e., "tickler date").
- All Requested Dates: For each required item listed that met the report criteria, displays the date on which it was requested.
- **Submitting Staff Member**: For each required item listed that met the report criteria, displays the name of the recording staff member.

## Page Controls

Controls include the following:

- Search Specific Firm: Click to open the Search Firm page, where you can search for a specific firm to include as report criteria.
- Remove Firm: Click to remove a selected firm as report criteria.
- Submit Offline: Click to generate the inquiry offline, where it can be retrieved in multiple output formats by any staff member with the permissions to view it. For more information, see Recent Reports.
- View/Refresh Report: Click to generate the inquiry "on demand" in HTML format online. The report will open in the separate Inquiry Output Window.
- Cancel: Click to open the Producer Manager Home page.

Results of the **Individuals with Associated Firms Required Items Inquiry** may contain unmasked, full Social Security Number information for individual producers. It is not possible to configure the system to mask or hide these values in the report results. However, using a security role setting, a user with administrator permissions may deny other users the permission to run this inquiry or view inquiry results requested by other users. For more information, see Maintain Security Role. If you are generating an "on-demand" report by clicking the **View/Refresh Report** button, the range between the status **Begin Date** and **End Date** fields may not exceed 90 days. To expand the date range in which to report required items, generate the report offline by clicking the **Submit Offline** button. After it generates, the report will be available for download from the <u>Recent Reports</u> page.

# **Appointment Inquiries**

Follow up on appointments and terminations – such as company appointment lists or appointment request status – by running Producer Manager's **Appointment** inquiries.

Inquiries 🗸 👻		
All Reports		
Information	•	
Producer Management	•	
Required Items	•	
Appointment		Company Appointment List Inquiry
Statistics	NC 🕨	Appointments by Type Inquiry
System Information	•	Appointment Request Status Inquiry
Producer Hierarchy	•	Appointment Confirmation Inquiry
Carrier Requests		Firm Associated Individual Appointments Inquiry
		Invalid Individual Licensee Appointments Inquiry
		Business Unit Appointment Termination Inquiry
		Appointments By State Inquiry
		Individual Appointments Inquiry

The **Appointment** sub-menu of the <u>Inquiries</u> menu may offer the following options:

- <u>Company Appointment List Inquiry</u>
- <u>Appointments by Type Inquiry</u>
- <u>Appointment Request Status Inquiry</u>
- <u>Appointment Confirmation Inquiry</u>
- Firm Associated Individual Appointments Inquiry
- Invalid Individual Licensee Appointment Inquiry
- Business Unit Appointment Termination Inquiry
- <u>Appointments by State Inquiry</u>
- Individual Appointments Inquiry

An inquiry may be unavailable for selection based on your company's specific deployment of Producer Manager (carrier or agency/brokerage) or the security settings specific to your user account. For more information, see Maintain Security Role.

# Company Appointment List Inquiry

Use the **Company Appointment List Inquiry** page to find producers whose appointments by <u>one</u> selected appointing company became active during a selected range of dates in <u>one</u> selected state.

If desired, filter report results by business unit, submitting or recording staff member, external system ID, or active or terminated (inactive) appointments.

The report results also show the termination dates of any appointments that became inactive subsequent to the selected date range.

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State Alabama	Current App	ointment Status ]	Submitting Staff Memb Admin, Sircon Barantchouk, Deb	er Business Uni	L			
			Bell, Jane Bratt, Holli Dell, Ron ⊻	PL SR				
Producer Criteria Results can be filtered to appoi	ntments for producers specified	by External System ID.	Bell, Jane Bratt, Holli	PL				
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01-11-2012 State:Mississippi (MS) Company: INSURANCE COM Appt Actv Dates:Between 09-01-20: Status(es):Active (AC), Inacti Submitting Staff Member(s):All Staff Members External System ID:All External Syste Active External System ID:All External Syste Business Unit(s):All Business Units Entity Type Individual Licensee	IPANY (592) 11 And 09-30 /e (IN)	·	ry Page 1 of 2	~
Appt State Appt Type		Active Date Term	Date State Verified? Last Upd By	
Licensee Name: BEELMAN, ERIC	EIN/SSN:	123-45-6789 Active BL	I: Ext Sys ID:	
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Licensee Name: BURNS, PAUL Mississippi (MS) No LOA Needed	EIN/SSN:	123-45-6789 Active BL 08-15-2011	J: Ext Sys ID: Yes BENGE	
Licensee Name: CHOREN, TIMOTHY M Mississippi (MS) No LOA Needed	EIN/SSN:	123-45-6789 Active BL 08-30-2011	J: Ext Sys ID: Yes BENGE	
Licensee Name: CLEMMENSEN, AMY M	EIN/SSN:	123-45-6789 Active BL	J: Ext Sys ID:	
Mississippi (MS) No LOA Needed		09-13-2011	Yes BENGE	
Licensee Name: CROTTY, GREGORY	EIN/SSN:	123-45-6789 Active BL	J: Ext Sys ID:	
Mississippi (MS) No LOA Needed		03-14-2011	Yes BENGE	
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Licensee Name: FRANK, CYNTHIA LEE Mississippi (MS) No LOA Needed	EIN/SSN:	123-45-6789 Active BL 08-30-2011	J: Ext Sys ID: Yes BENGE	
Licensee Name: HAM, JEFFREY MARTIN Mississippi (MS) No LOA Needed	EIN/SSN:	123-45-6789 Active BL 08-30-2011	I: Ext Sys ID: Yes BENGE	
Licensee Name: NOTHEISEN, CHRISTOPHER Mississippi (MS) No LOA Needed	EIN/SSN:	123-45-6789 Active BL 08-30-2011	J: Ext Sys ID: Yes BENGE	
Licensee Name: PEDERSEN, PAMELA A Mississippi (MS) No LOA Needed	EIN/SSN:	123-45-6789 Active BL 09-12-2011	J: Ext Sys ID: Yes BENGE	
Licensee Name: SCHNEIDER, BORDELON Mississippi (MS) No LOA Needed	EIN/SSN:	123-45-6789 Active BL 08-30-2011	J: Ext Sys ID: Yes BENGE	
Licensee Name: SCHOFIELD, DAVID A Mississippi (MS) No LOA Needed	EIN/SSN:	123-45-6789 Active BL 09-13-2011	I: Ext Sys ID: Yes BENGE	
Licensee Name: SLACK, TIMOTHY Mississippi (MS) No LOA Needed	EIN/SSN:	123-45-6789 Active BL 08-04-2011	I: Ext Sys ID: Yes BENGE	
Licensee Name: STERLING, PAUL Mississippi (MS) No LOA Needed	EIN/SSN:	123-45-6789 Active BL 08-18-2011	J: Ext Sys ID: Yes BENGE	~

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14	Firm	58 P BARON AGENCY. INC. A.A.W., INC	382677484		00 882319	MI	Multiple Lines P&C		5-30-2003		Y	CATS
15 16	Firm	ABC INSURANCE	383292820		20 262540	MI	Multiple Lines P&C	0	8-07-2000	03-12-2003	N	ATTRUIAC
17	Firm Firm	ACE AGENCY INC ACE FINANCE	383281017 383583515		00 882319 00 882319	MI	Multiple Lines P&C Multiple Lines P&C		1-28-2003 5-21-2003		Y	CATS
18	Firm	AFFINITY INSURANCE	363642411		42 620035	MI	Multiple Lines P&C		1-25-2009		Y	DGROETSCH
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23	Firm	AMARIKAN AGENCY	382656847		00 882319	MI	Multiple Lines P&C	0	1-28-2003		Y	CATS
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26	Firm	AMERICAN AMERICAN ROAD SVCS	061402343 381899518		02 023572	MI	Multiple Lines P&C	1	2-07-2000 3-31-2000		Y	LOAD
26 27 28	Firm	ANGEL AGENCY INC	382117647		00 882319	MI	Multiple Lines P&C	ŏ	7-10-2002		Ň	LOAD
28	Firm	ANN AGENCY INC	381778222		00 882319	MI	Multiple Lines P&C		3-04-2003	03-04-2003	Y	CATS
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31	Firm	ANNE REDEKOR AGENCY	382798485		00 882319	MI	Multiple Lines P&C	0	2-17-2003	02-17-2003	Y	CATS
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34	Firm	AON RISK SERVICES. INC. ARBOR INSURANCE	060711972 383233663		31 802587 20 262540	MI	Multiple Lines P&C Multiple Lines P&C		4-11-2002 0-12-2000		Y	NEILSENC LOAD
35	Firm	ARC EXCESS & SURPLUS	113367953		12 120587	MI	Multiple Lines P&C		1-12-2001		Ň	LOAD
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38	Firm Firm	ARTHUR J GALLAGHER & ARTHUR NOLL AGENCY.	363884285 061253350		37 330064 02 021659	MI	Multiple Lines P&C Multiple Lines P&C		4-10-2003	04-10-2003	Y N	LOAD
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40 41	Firm	AUTO BUYER CREDIT LIFE	434213137		00 882319	MI	Multiple Lines P&C		1-25-2002	11-25-2002	Y	CATS
42	Firm	AVENUE AGENCY INC B C AGENCY INC	383444923 381801907		00 882319 00 882319	MI	Multiple Lines P&C Multiple Lines P&C		7-10-2003		Y	CATS
43	Firm	B. A. N. AGENCY, INC	383115966		00 882319	MI	Multiple Lines P&C		1-07-2003	11-07-2002	Y	CATS
44	Firm	BAALCO AGENCY INC	383626737	BU2	00 882319	MI	Multiple Lines P&C	0	4-10-2003	04-10-2003	Y	CATS
45 46	Firm	BAALCO AGENCY INC BANCAR ASSOCIATES. INC.	383626737 222868398	BU2	00 882319 13 650465	MI	Multiple Lines P&C Multiple Lines P&C		4-18-2003 3-26-2002		Y	CATS LOAD
41	Firm	BASESTAR	092384599	BU2, H01,	0000000481;	MI	Accident and Health		6-29-2002	06-20-2011	Ň	ABREDIN
48	Firm	BCJ AGENCY INC	383300320		00 882319	MI	Multiple Lines P&C	0	5-15-2003		Y	CATS
49 50 51	Firm	BEST BUY INSURANCE BJA AGENCY INC	383081861 382084063		20 262540 00 882319	MI	Multiple Lines P&C Multiple Lines P&C		8-07-2000	11-07-2002	Y	LOAD CATS
51	Firm	BJA AGENCY INC	382084063		00 882319	MI	Multiple Lines P&C		7-09-2003	11-07-2002	Y	CATS
52	Firm	BRIDGEWAY AGENCY INC	382653206		00 882319	MI	Multiple Lines P&C	0	7-10-2003		Ý	CATS
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To open the **Company Appointment List Inquiry** page, from the <u>Inquiries</u> menu select <u>Appointment</u>, and then select **Company Appointment List Inquiry**.

The **Company Appointment List Inquiry** page contains the following sections:

#### Search Company

To run the report, you must first search for the carrier appointing company whose producer appointments you want to report.

The **Search Company** page consists of the following sections:

#### Search Fields

Use the **Search Fields** to enter search criteria for an appointing company record.

You must enter at least one search criterion in the **Search Fields**. The system will return all records that meet all search criteria. Thus it is best to enter only one search criterion, to avoid the possibility of accidentally entering a an incorrect search criterion and preventing the system from retrieving the desired record or record set.

- **Company Name**: Enter a name search string. You may use as few as two characters in your search string. Wildcard characters are not allowed. Cannot contain numeric characters or double quotation marks (").
- **EIN**: Enter the appointing company's Federal Employer Identification Number. Maximum 9 characters without a separating hyphen or 10 characters with a separating hyphen.
- **NAIC ID**: Enter the appointing company's National Association of Insurance Commissioners identification number. Maximum 5 characters.
- **Records Per Page**: When multiple records meet the search criteria, the default number of records displayed per page of results is 10. From the dropdown menu, select a value in increments of 10 up to 50 and then execute or re-execute the search to display a number of records up to the selected value in the **Search Results** sub-section.
- Search: Click to execute the search based on the entered search criteria. If only one company record met your search criteria, the record will open directly in the Company Appointment List Inquiry report criteria page. If multiple carrier records met your search criteria, they will display in the Search Results sub-section of the Search Company page. If no record matched the entered search criteria, the system will return the following message below the Search Fields: "No Company found matching the criteria."
- **Cancel**: Click to abort the operation and open the Producer Manager Home page.

#### Search Results

If multiple appointing company records met your search criteria, they will display in the **Search Results** section of the **Search Company** page.

- Name: For each listed company record, displays the company name as a blue hyperlink. Click the desired company name hyperlink to open the record in the **Company** Appointment List Inquiry report criteria page.
- **EIN**: For each listed company record, displays the company's Federal Employer Identification Number.
- **NAIC ID**: For each listed company record, displays the company's unique National Associate of Insurance Commissioners group number.
- City: For each listed company record, displays the company's domicile address city.
- State: For each listed company record, displays the company's domicile address state.
- **Displaying** [v] [w] (of [x] matching records): Displays the range in numbers of company records currently displaying in the **Search Results** sub-section out of the total number of company records returned by a search.
- **Page [y] of [z]**: Displays the number of the page currently displaying out of the total number of pages of company records returned by a search.
- **Go To Page**: Available only when more than 10 records are returned by a search, resulting in multiple pages of **Search Results**. Select from the dropdown menu the number of the page of company records to which you wish to navigate.
- Go: Click to navigate to the page number of **Search Results** selected in the Go To Page dropdown menu.

### Report Criteria

Use the filter fields to enter report criteria and tailor the report results to suit your needs.

Report criteria contains the following sub-sections:

Company Record Summary

Displays summary information about the appointing company selected as criterion for the report. Fields and controls include the following:

- **Company Name**: Displays the selected appointing company's name.
- **EIN**: Displays the selected appointing company's Federal Employer Identification Number.
- License Number: Not functional.
- **NAIC ID**: Displays the selected appointing company's National Association of Insurance Commissioners identifier number.
- City: Displays the selected appointing company's business location address city.
- State: Displays the selected appointing company's business location address state.
- Search Company: Click to open the Search Company section, where you can search for a different appointing company to apply as report criteria.

### Appointment Criteria

Enter report criteria about the active or inactive appointments you want to report.

- Appointment Responses Received or Recorded: *Required.* Enter a date range during which the records of reported producers contained an appointment by the selected appointing company in the selected appointment state. Enter the following:
  - between: Enter the first date of a date range in which to search for the value of the Active Date field in producer appointments information. Use the *mmddyyyy* date format. Or, click the Calendar button () to open a popup calendar from which you can click to select a date.
  - and: Enter the last date of a date range in which to search for the value of the Active Date field in producer appointments information. Use the *mmddyyyy* date format. Or, click the Calendar button () to open a popup calendar from which you can click to select a date.
- **State**: From the dropdown menu, select the name of the state in which reported producers held active appointments during the selected date range. Default is Alabama.
- **Current Appointment Status**: From the dropdown menu, select Active to filter the report results to include only currently active appointments. Or, select Inactive to filter the report results to include only inactive or terminated appointments.
- **Submitting Staff Member**: To report appointments without regard to the staff member who submitted or recorded the appointments, make no selection from the box. Or, to filter the report results to include only appointments submitted or recorded by a specific

staff member, click to select one or multiple staff member names in the box. To select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select.

 Business Unit: To report appointments without regard to reported producers' business unit criteria, make no selection from the box. Or, to filter the report results to include only appointments of reported producers assigned to one or multiple business units, click to select one or multiple business unit short names in the box. To select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select.

### Producer Criteria

Enter criteria to filter report results based on a producer's external system ID information.

Fields and controls include the following:

- **External System ID**: To report appointments without regard to producer external system ID criteria, leave the field blank. Or, to filter the report results to include only appointments of producers assigned a specific external system ID code, enter the code in the field.
- Active External System IDs Only: When filtering the report results to include only appointments of producers assigned a specific external system ID code, leave the checkbox uncheckmarked to ignore whether the entered external system ID is active or inactive. Or, to filter the report results to include only appointments of producers assigned a specific external system ID code that is currently active, click to checkmark the checkbox.

#### **Display Configuration**

Choose whether to export the report results in a tabular format, viewable by a spreadsheet application, such as Microsoft Excel.

Fields and controls include the following:

• **Spreadsheet View**: Click to checkmark the checkbox to output the report results in a tabular spreadsheet format. To generate the report in a spreadsheet format, click the

**Submit Offline** button and then click the **Excel Format** button (<sup>1)</sup>) associated with the inquiry on the <u>Recent Reports</u> page to view the spreadsheet.

#### Report Results

Displays producer appointment information stored in your company's instance of Producer Manager that met the report criteria. Results may be narrowed by selected filter criteria.

The header of the report results window displays a summary of the selected report criteria.

If viewed in HTML format, report results are grouped by entity type and sorted alphabetically by name. If viewed in spreadsheet format, results are sorted first by entity type and then by name.

Results include the following data fields:

• Entity Type: For each producer listed that met the report criteria, displays the producer's entity type, either Firm or Individual.

- Licensee Name: For each producer listed that met the report criteria, displays the producer's name information: last name, first name, and middle name for individuals or firm name for firms. (For more information, see Details.)
- **TIN**: For each producer listed that met the report criteria, displays the producer's taxpayer identification information: Social Security Number for individuals or Federal Employer Identification Number for firms. (For more information, see Details.)
- **BU**: For each producer listed that met the report criteria, displays the short name(s) of the business units to which the producer is actively assigned (sorted alphabetically).
- **Appt State**: For each producer listed that met the report criteria, displays the two-letter code for the appointment state selected in the report criteria.
- **Appt Type**: For each producer listed that met the report criteria, displays the description of the type of appointment that the producer held in the selected state in the selected date range.
- Active Date: For each producer listed that met the report criteria, displays the date on which the producer's appointment in the selected state became active.
- State Verified?: For each producer listed that met the report criteria, displays Y if the State Verified checkbox in the producer's appointment information contains a checkmark; displays N if the State Verified checkbox in the producer's appointment information does not contain a checkmark.
- **Term Date**: *Inactive appointments only*. For each producer listed that met the report criteria, displays the date on which a termination of the producer's appointment in the selected state was submitted and state-approved or recorded.
- Ext Sys ID: For each producer listed that met the report criteria, displays the producer's external system ID code(s) (sorted in ascending order by first digit or alphabetic character). If the Active External System IDs Only checkbox was checkmarked as filter criteria,m report results display only active external system IDs.
- Last Upd By: For each producer listed that met the report criteria, displays the name of the staff member or system process that most recently updated the producer's appointment information.

## Page Controls

Controls include the following:

- **Remove Company**: Click to remove a specific appointing company selected in the **Search** Company section as filter criteria.
- Submit Offline: Click to generate the inquiry offline, where it can be retrieved in multiple output formats by any staff member with the permissions to view it. For more information, see Recent Reports.
- View/Refresh Report: Click to generate the inquiry "on demand" in HTML format online. The report will open in the separate Inquiry Output Window.
- Cancel: Click to open the Producer Manager Home page.

Results of the **Company Appointment List Inquiry** may contain unmasked, full Social Security Number information for individual producers. It is not possible to configure the system to mask or hide these values in the report results. However, using a security role setting, a user with administrator permissions may deny other users the permission to run this inquiry or view inquiry results requested by other users. For more information, see Maintain Security Role.

The **Company Appointment List Inquiry** reports appointment information only as recorded in your company's instance of Producer Manager. It does not verify appointment information directly with state records. However, if your company is using Producer Manager's automated data reconciliation utilities (such as Scheduled Syncs) to keep producer appointment data refreshed continually, the **Company Appointment List Inquiry** report results should be synchronized with state records.

To expedite the search for the desired appointing company, upon opening the **Company Appointment List Inquiry** page the system automatically will return all of your carrier group's configured appointing companies. If your carrier group has multiple appointing companies, you need only to select the desired company from the search results. If your carrier group has only one appointing company, the report criteria section will open directly with the sole appointing company pre-selected.

If you are generating an "on-demand" report by clicking the **View/Refresh Report** button, the range between the **Appointment Responses Received or Recorded between** and **and** fields may not exceed 31 days. To expand the date range in which to report appointments, generate the report offline by clicking the **Submit Offline** button. After it generates, the report will be available for download from the <u>Recent Reports</u> page.

The value, "CATS," in the **Last Upd By** field in the report results indicates that an appointment was submitted through and processed electronically by Producer Manager.

For easier viewing of the report results in any chosen output format, we recommend always checkmarking the **Spreadsheet View** checkbox.

# Appointments by Type Inquiry

Use the **Appointments by Type Inquiry** page to review all active appointments by all or just one appointing company in <u>one</u> selected state as of a given date or in a given timeframe.

If desired, filter the report results by appointment type, business unit, or submitting staff member. You also can choose to view only state-verified appointments or all appointments, including those that have only been recorded on producer records.

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To open the **Appointments by Type Inquiry** page, from the <u>Inquiries</u> menu select <u>Appointment</u>, and then select **Appointments by Type Inquiry**.

The Appointments by Type Inquiry page contains the following sections:

#### **Report Criteria**

Use the filter fields to enter report criteria and tailor the report results to suit your needs.

Report criteria contains the following sub-sections:

**Appointment Criteria** 

Enter report criteria about the active or inactive appointments you want to report.

Fields and controls include the following:

- **Appointments Active**: *Required.* Enter a date range during which the records of reported producers contained an active appointment in the state specified in the **State** field. Enter the following:
  - between: Enter the first date of a date range in which to search for the value of the Active Date field in producer appointments information. Use the *mmddyyyy* date format. Or, click the Calendar button () to open a popup calendar from which you can click to select a date.
  - and: Enter the last date of a date range in which to search for the value of the Active Date field in producer appointments information. Use the *mmddyyyy* date format. Or, click the Calendar button () to open a popup calendar from which you can click to select a date.
- **State**: From the dropdown menu, select the name of the state in which reported producers held active appointments during the selected date range. Default is Alabama.
- **State Verify**: From the dropdown menu, select All Appointments to include record-only and state-verified appointments in the report results (default). Or, select State Verified Only to not include record-only appointments in the report results.
- **Submitting Staff Member**: To report appointments without regard to the staff member who submitted or recorded the appointments, make no selection from the box. Or, to filter the report results to include only appointments submitted or recorded by a specific staff member, click to select one or multiple staff member names in the box. To select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select.
- Appointment Types: To report appointments without regard to state-specific appointment type, make no selection from the box. Or, to filter the report results to include only a certain type of appointment offered in the selected state, click to select one or multiple appointment types in the box. To select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select. Click the **Show Historical Types** link to populate the box with appointment types that are no longer active in the selected state. Click the **Hide Historical Types** link to populate the box only with appointment types that are active in the selected state.

#### Search Company

You can filter the report results to include appointments issued only by a selected appointing company. The page will display summary information (Name, EIN, License Number, NAIC ID, City, and State) about an appointing company that has been selected as filter criteria. If no appointing company has been selected, the following message will display: "No Writing Company has been selected."

Click the **Search Company** link to open the **Search Company** page. The **Search Company** page consists of the following sections:

#### Search Fields

Use the Search Fields to enter search criteria for an appointing company record.

You must enter at least one search criterion in the **Search Fields**. The system will return all records that meet all search criteria. Thus it is best to enter only one search criterion, to avoid the possibility of accidentally entering a an incorrect search criterion and preventing the system from retrieving the desired record or record set.

Fields and controls include the following:

- **Company Name**: Enter a name search string. You may use as few as two characters in your search string. Wildcard characters are not allowed. Cannot contain numeric characters or double quotation marks (").
- **EIN**: Enter the appointing company's Federal Employer Identification Number. Maximum 9 characters without a separating hyphen or 10 characters with a separating hyphen.
- **NAIC ID**: Enter the appointing company's National Association of Insurance Commissioners identification number. Maximum 5 characters.
- **Records Per Page**: When multiple records meet the search criteria, the default number of records displayed per page of results is 10. From the dropdown menu, select a value in increments of 10 up to 50 and then execute or re-execute the search to display a number of records up to the selected value in the **Search Results** sub-section.
- Search: Click to execute the search based on the entered search criteria. If only one company record met your search criteria, the record will open directly in the Appointments by Type Inquiry report criteria page. If multiple carrier records met your search criteria, they will display in the Search Results sub-section of the Search Company page. If no record matched the entered search criteria, the system will return the following message below the Search Fields: "No Company found matching the criteria."
- **Cancel**: Click to abort the operation and open the Producer Manager Home page.

#### **Search Results**

If multiple appointing company records met your search criteria, they will display in the **Search Results** section of the **Search Company** page.

- Name: For each listed company record, displays the company name as a blue hyperlink. Click the desired company name hyperlink to open the record in the **Appointments by Type Inquiry** report criteria page.
- **EIN**: For each listed company record, displays the company's Federal Employer Identification Number.
- **NAIC ID**: For each listed company record, displays the company's unique National Associate of Insurance Commissioners group number.
- City: For each listed company record, displays the company's domicile address city.
- State: For each listed company record, displays the company's domicile address state.
- **Displaying** [v] [w] (of [x] matching records): Displays the range in numbers of company records currently displaying in the **Search Results** sub-section out of the total number of company records returned by a search.

- **Page [y] of [z]**: Displays the number of the page currently displaying out of the total number of pages of company records returned by a search.
- **Go To Page**: Available only when more than 10 records are returned by a search, resulting in multiple pages of **Search Results**. Select from the dropdown menu the number of the page of company records to which you wish to navigate.
- Go: Click to navigate to the page number of **Search Results** selected in the Go To Page dropdown menu.

#### Producer Criteria

Enter criteria to filter report results based on a producer's business units.

Fields and controls include the following:

 Business Unit: To report appointments without regard to reported producers' business unit criteria, make no selection from the box. Or, to filter the report results to include only appointments of reported producers assigned to one or multiple business units, click to select one or multiple business unit short names in the box. To select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select.

#### **Display Configuration**

Choose whether to view summary or detailed information in the report results. Also, choose whether to export the report results in a tabular format, viewable by a spreadsheet application, such as Microsoft Excel.

Fields and controls include the following:

- **Report Type**: From the dropdown menu, select Details to include all available data fields in the report results (default). Or, select Summary to include only high-level information in the report results.
- **Spreadsheet View**: Click to checkmark the checkbox to output the report results in a tabular spreadsheet format. To generate the report in a spreadsheet format, click the

**Submit Offline** button and then click the **Excel Format** button (<sup>11)</sup>) associated with the inquiry on the <u>Recent Reports</u> page to view the spreadsheet.

#### Report Results

Displays producer appointment information stored in your company's instance of Producer Manager that met the report criteria. Results may be narrowed by selected filter criteria.

The header of the report results window displays a summary of the selected report criteria.

If viewed in HTML format, report results are grouped by entity type and sorted alphabetically by name. If viewed in spreadsheet format, results are sorted first by entity type and then by name.

Report results will vary, based on your selection from the **Report Type** dropdown menu in the **Display Configuration** section on the **Appointments by Type Inquiry** page, as follows:

#### <u>Details</u>

Report results include the following data fields:

- Entity Type: For each producer listed that met the report criteria, displays the producer's entity type, either Firm or Individual.
- Licensee Name: For each producer listed that met the report criteria, displays the producer's name information: last name, first name, and middle name for individuals or firm name for firms. (For more information, see Details.)
- Licensee ID: Available in HTML format only. For each producer listed that met the report criteria, displays the producer's Producer Manager record ID. (For more information, see Details.)
- **TIN**: For each producer listed that met the report criteria, displays the producer's taxpayer identification information: Social Security Number for individuals or Federal Employer Identification Number for firms. (For more information, see Details.)
- **BU**: For each producer listed that met the report criteria, displays the short name(s) of the business units to which the producer is actively assigned (sorted alphabetically).
- **Company Name**: For each producer listed that met the report criteria, displays the name of the carrier group company that issued the producer's appointment.
- **Appt State**: For each producer listed that met the report criteria, displays the two-letter code for the appointment state selected in the report criteria.
- **Appt Type**: For each producer listed that met the report criteria, displays the description of the type of appointment that the producer held in the selected state in the selected date range.
- **Appt Status**: For each producer listed that met the report criteria, displays the status of the producer's appointment during the selected date range.
- Active Date: For each producer listed that met the report criteria, displays the date on which the producer's appointment in the selected state became active.
- **Term Date**: *Inactive appointments only*. For each producer listed that met the report criteria, displays the date on which a termination of the producer's appointment in the selected state was submitted and state-approved or recorded.
- State Verified?: For each producer listed that met the report criteria, displays Y if the State Verified checkbox in the producer's appointment information contains a checkmark; displays N if the State Verified checkbox in the producer's appointment information does not contain a checkmark.
- **Record Only?**: For each producer listed that met the report criteria, displays Y if the **Record Appt** checkbox in the producer's appointment information contains a checkmark; displays N if the **Record Appt** checkbox in the producer's appointment information does not contain a checkmark.
- **Request Status**: For each producer listed that met the report criteria, displays the processing status of the related appointment transaction, based on the value of the **Submit Status** field in the producer's appointment information. In the HTML format only, the results include the total number of reported producers and total number of appointments for each entity type. Also, the last page of the results includes the total number of reported producers (individuals and firms alike), appointments, and affiliations (individual-to-firm associations).

## **Summary**

Report results include the following data fields:

- Entity Type: For each producer listed that met the report criteria, displays the producer's entity type, either Firm or Individual.
- Licensee ID: Called Entity ID in spreadsheet view. For each producer listed that met the report criteria, displays the producer's Producer Manager record ID. (For more information, see Details.)
- Licensee Name: For each producer listed that met the report criteria, displays the producer's name information: last name, first name, and middle name for individuals or firm name for firms. (For more information, see Details.)
- **TIN**: For each producer listed that met the report criteria, displays the producer's taxpayer identification information: Social Security Number for individuals or Federal Employer Identification Number for firms. (For more information, see Details.)
- **BU**: For each producer listed that met the report criteria, displays the short name(s) of the business units to which the producer is actively assigned (sorted alphabetically). In the HTML format only, the reports results includes the total number of producers for each entity type.

#### Page Controls

Controls include the following:

- **Remove Company**: Click to remove a specific appointing company selected in the **Search Company** section as filter criteria.
- **Submit Offline**: Click to generate the inquiry offline, where it can be retrieved in multiple output formats by any staff member with the permissions to view it. For more information, see Recent Reports.
- View/Refresh Report: Click to generate the inquiry "on demand" in HTML format online. The report will open in the separate Inquiry Output Window.
- **Cancel**: Click to open the Producer Manager Home page.

Results of the **Appointments by Type Inquiry** may contain unmasked, full Social Security Number information for individual producers. It is not possible to configure the system to mask or hide these values in the report results. However, using a security role setting, a user with administrator permissions may deny other users the permission to run this inquiry or view inquiry results requested by other users. For more information, see Maintain Security Role.

The **Appointments by Type Inquiry** reports appointment information only as recorded in your company's instance of Producer Manager. It does not verify appointment information directly with state records. However, if your company is using Producer Manager's automated data reconciliation utilities (such as Scheduled Syncs) to keep producer appointment data refreshed continually, the **Appointments by Type Inquiry** report results should be synchronized with state records.

The appointment types available in the **Appointment Types** box include only those that are or were available in a selected state through Producer Manager and that have been Vertafore-configured for your company's use. For more information, see Code Use Indicators.

If it has been Vertafore-configured for your company's use, the **Appointment Types** box may include the "Carrier Requests" value. The Carrier Requests value is a special, internal use-only appointment type that allows your company to track producers who have been authorized to represent a particular line of business in state that does not require a state-acknowledged appointment. For more information, see <u>Using the Carrier Requests Appointment Type</u> guide, available on the Printable Help Guides page.

For easier viewing of the report results in any chosen output format, we recommend always checkmarking the **Spreadsheet View** checkbox.

# Appointment Request Status Inquiry

Use the **Appointment Request Status Inquiry** page to check the status of appointment or appointment termination requests in all, one, or multiple states.

If desired, filter by request status, state, submitting staff member, business unit, or external system identifier.

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To open the **Appointment Request Status Inquiry** page, from the <u>Inquiries</u> menu select <u>Appointment</u>, and then select **Appointment Request Status Inquiry**.

The Appointment Request Status Inquiry page contains the following sections:

#### Report Criteria

Enter report criteria about the appointment or termination requests you want to report.

- Appointment Request Submitted or Recorded Between: *Required*. Enter a date range during which appointments or terminations were submitted or recorded for reported producers. Enter the following:
  - Begin Date: Enter the first date of a date range in which to search for the value of the Submit Date field in producer appointments information. Use the *mmddyyyy* date format. Or, click the Calendar button (
    ) to open a popup calendar from which you can click to select a date.
  - End Date: Enter the last date of a date range in which to search for the value of the Submit Date field in producer appointments information. Use the *mmddyyyy* date format. Or, click the Calendar button () to open a popup calendar from which you can click to select a date.
- External System ID: To filter the report results to include requests for producers with a specific external system ID, enter the external system ID.
- Active External System IDs Only: Click to checkmark the checkbox to filter the report results to exclude requests for producers whose external system ID (as expressed in the External System ID field, above) is inactive.
- Include Record Only Appointments: By default, the report results will include only
  appointment or termination requests submitted electronically to appointment states
  through PLM Producer Manager or Producer Express. Click to checkmark the checkbox
  to also include appointments and terminations that were manually recorded on producer
  records and not submitted to states.
- Request Statuses: To report requests without regard to processing status, make no selection from the box. Or, to filter the report results to include only requests with specific processing statuses, click to select one or multiple processing statuses in the box. To select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select.
- State: To report requests without regard to appointment state, make no selection from the box. Or, to filter the report results to include only requests submitted to or recorded

for a specific appointment state, click to select one or multiple state names in the box. To select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select.

- Submitting Staff Member: To report requests without regard to the staff member who submitted or recorded the appointments or terminations, make no selection from the box. Or, to filter the report results to include only requests submitted or recorded by a specific staff member, click to select one or multiple staff member names in the box. To select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select.
- **Business Unit**: To report requests without regard to reported producers' business unit criteria, make no selection from the box. Or, to filter the report results to include only requests concerning reported producers assigned to one or multiple business units, click to select one or multiple business unit short names in the box. To select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select.
- **Spreadsheet View**: Click to checkmark the checkbox to output the report results in a tabular spreadsheet format. To generate the report in a spreadsheet format, click the

**Submit Offline** button and then click the **Excel Format** button (<sup>IIII</sup>) associated with the inquiry on the <u>Recent Reports</u> page to view the spreadsheet.

## Report Results

Displays producer appointment or termination request information stored in your company's instance of Producer Manager that met the report criteria. Results may be narrowed by selected filter criteria.

The header of the report results window displays a summary of the selected report criteria.

If viewed in HTML format, report results are grouped by state and sorted alphabetically by producer name. If viewed in spreadsheet format, results are sorted first by state and then by producer name.

Results include the following data fields:

- **State**: For each request listed that met the report criteria, displays the name and the two-letter code for the appointment state selected in the report criteria.
- Status: Called Appointment Request Status in HTML format. For each request listed that met the report criteria, displays its result (e.g., Approved (processed and approved by the state); Denied (processed and rejected by the state); Submitted to SIRCON (pending state processing), or Error (request encountered a process error ).
- **Producer/Licensee Name**: For each request listed that met the report criteria, displays the producer's name information: last name, first name, and middle name for individuals or firm name for firms. (For more information, see Details.)
- **EIN/SSN**: For each request listed that met the report criteria, displays the producer's taxpayer identification information: Social Security Number for individuals or Federal Employer Identification Number for firms. (For more information, see Details.)
- **BU**: For each request listed that met the report criteria, displays the short name(s) of the business units to which the producer is actively assigned (sorted alphabetically).

- **External System ID**: For each request listed that met the report criteria, displays the producer's external system IDs.
- **Request Type**: For each request listed that met the report criteria, displays the processing interface or method (e.g., PIN (request sent to state through the NIPR Gateway); Sfs (request sent directly to a "Sircon State"), or Paper (a record-only transaction), etc.)
- **Requested Action**: For each request listed that met the report criteria, displays the submitted transaction type, either Appointment or Termination.
- **BI Processing Status**: For each request listed that met the report criteria, displays the status of a background investigation request that is related to the transaction request (i.e., the actual request, not the result).
- **Company**: For each request listed that met the report criteria, displays the name of the appointing company.
- **State Appointment**: For each request listed that met the report criteria, displays the appointment type.
- **Requested Effective Date**: For each request listed that met the report criteria, displays date on which the appointment or termination was requested to become effective.
- Actual Effective Date: For each request listed that met the report criteria, displays 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.
- **Termination Date**: For each request listed that met the report criteria, displays the date on which the appointment for which a termination was requested became inactive.
- **Termination Reason**: For each request listed that met the report criteria, displays the state-specific termination reason submitted with the termination request.
- **Submitting Staff Member**: For each request listed that met the report criteria, displays the user name of the staff member or process that submitted the transaction request. If the request was submitted through an automated process, displays SYSTEM\_USER.

## Page Controls

Controls include the following:

- **Submit Offline**: Click to generate the inquiry offline, where it can be retrieved in multiple output formats by any staff member with the permissions to view it. For more information, see Recent Reports.
- View/Refresh Report: Click to generate the inquiry "on demand" in HTML format online. The report will open in the separate Inquiry Output Window.
- **Cancel**: Click to open the Producer Manager Home page.

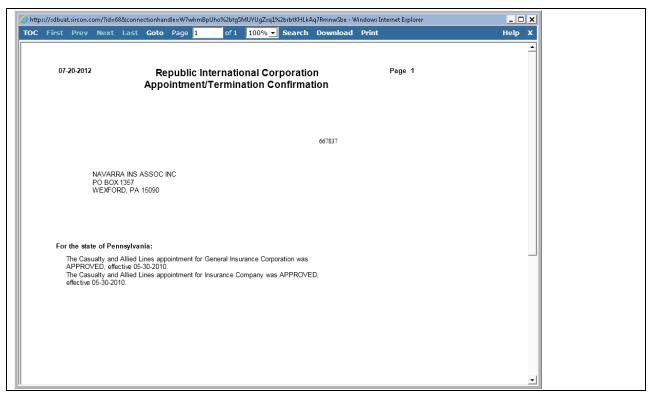
Results of the **Appointment Request Status Inquiry** may contain unmasked, full Social Security Number information for individual producers. It is not possible to configure the system to mask or hide these values in the report results. However, using a security role setting, a user with administrator permissions may deny other users the permission to run this inquiry or view inquiry results requested by other users. For more information, see Maintain Security Role.

# Appointment Confirmation Inquiry

Use the **Appointment Confirmation Inquiry** page to generate formatted letters to all producers (or just one producer) informing them of a company appointment or appointment termination in a state.

If desired, filter the inquiry to include only appointments or terminations for which a particular staff member is responsible, for a particular business unit or external system identifier, or with a particular result (e.g., approved, denied, etc.). Opt to sort letters by ZIP code for bulk mailing purposes.

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To open the **Appointment Confirmation Inquiry** page, from the <u>Inquiries</u> menu select <u>Appointment</u>, and then select **Appointment Confirmation Inquiry**.

The **Appointment Confirmation Inquiry** page contains the following sections:

## Report Criteria

Use the filter fields to enter report criteria and tailor the report results to suit your needs.

Report criteria contains the following sub-sections:

#### Appointment Criteria

Enter report criteria about the appointments or terminations you want to report.

- Appointment Responses Received or Recorded: *Required.* Enter a date range during which an appointment or termination result was received or recorded on the records of reported producers. Enter the following:
  - between: Enter the first date of a date range in which to search for the value of the Status Date field in producer appointments information. Use the *mmddyyyy* date format. Or, click the Calendar button () to open a popup calendar from which you can click to select a date.
  - and: Enter the last date of a date range in which to search for the value of the Status Date field in producer appointments information. Use the *mmddyyyy* date format. Or, click the Calendar button () to open a popup calendar from which you can click to select a date.

- Submitting Staff Member: To report appointments or terminations without regard to the staff member who submitted or recorded the appointments or terminations, make no selection from the box. Or, to filter the report results to include only appointments or terminations submitted or recorded by a specific staff member, click to select one or multiple staff member names in the box. To select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select.
- **Request Statuses**: To report appointments or terminations without regard to processing status, make no selection from the box. Or, to filter the report results to include only appointments or terminations with specific processing statuses, click to select one or multiple processing statuses in the box. To select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select.
- **Business Unit**: To report appointments or terminations without regard to reported producers' business unit criteria, make no selection from the box. Or, to filter the report results to include only appointments or terminations of reported producers assigned to one or multiple business units, click to select one or multiple business unit short names in the box. To select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select.

## Producer Criteria

Enter criteria to filter report results based on a specific producer or an external system ID.

Producer criteria contains the following sub-sections:

#### Search Producer

You can filter the report results to include appointments or terminations for a selected producer. The page will display summary information (Name, SSN/EIN, License State/Number, Active BU, NPN, and Resident States) about an individual or firm producer that has been selected as filter criteria. If no producer has been selected, the following message will display: "No Producer has been selected."

Click the **Search Producer** link to open the **Search Producer** page. The **Search Producer** page consists of the following sections:

#### Producer Type

Use the **Producer Type** field to identify whether you are searching for an individual or firm (agency) producer record.

Controls include the following:

- Individual Licensee: Default. Click the radio button to initiate a search for an individual producer record. The page will refresh to display unique individual producer Search Fields.
- **Firm**: Click the radio button to initiate a search for a firm producer record. The page will refresh to display unique firm producer **Search Fields**.

## Search Fields

Use the **Search Fields** to enter search criteria for one or multiple producer records, either individual or firm. At least one search criterion is required.

- Last: *Individual producers only*. Enter a search string on individual producer last name. You may use as few as two characters in your search string. Wildcard characters are not allowed. May not contain numeric characters or double quotation marks (").
- **Firm Name**: *Firm producers only*. Enter a search string on firm name. You may use as few as two characters in your search string. May contain numeric characters. Wildcard characters are not allowed. May not contain double quotation marks (").
- First: *Individual producers only*. Must be used in combination with Last name criterion. You may use as few as one character in your search string. Wildcard characters are not allowed. May not contain numeric characters or double quotation marks (").
- **Middle**: *Individual producers only*. Must be used in combination with **Last** name criterion. You may use as few as one character in your search string. Wildcard characters are not allowed. May not contain numeric characters or double quotation marks (").
- **SSN**: *Individual producers only*. Enter a producer's entire Social Security Number. Partial searches not allowed. Maximum 9 characters without separating hyphens or 11 characters with two separating hyphens.
- **EIN**: *Firm producers only*. Enter a producer's entire Federal Employer Identification Number. Partial searches not allowed. Maximum 9 characters without a separating hyphen or 10 characters with a separating hyphen.
- **NPN**: Enter a producer's entire National Producer Number. Partial searches not allowed. Maximum 10 characters.
- Active Business Unit: Select from the dropdown menu an the short name of an active business unit to which a producer is assigned. May not be the only search criterion.
- License Number: Enter the entire number of a producer's state license, either active or inactive. Partial searches not allowed. Maximum 15 characters.
- License State: Select from the dropdown menu a state in which a producer holds an active or inactive license.
- External System ID: Enter a producer's entire external system ID code, including leading zeroes, either active or inactive. Partial searches not allowed. Maximum 22 characters.
- Primary External ID Only: Click to checkmark the checkbox to constrain a search using an External System ID criterion to only those external system IDs marked as a "primary" ID on a producer's record. The search will ignore a match on an External System ID that is not marked as "primary." (For more information, see Maintain External System Identifiers.)
- **Records Per Page**: If multiple records met your search criteria, the default number of records displayed per page of results is 10. From the dropdown menu, select a value in increments of 10 up to 50 and then execute or re-execute the search to display a number of records up to the selected value in the **Search Results** sub-section.
- **Search**: Click to execute the search based on the entered search criteria. If only one producer record met your search criteria, the record will open directly in the

**Appointment Confirmation Inquiry** report criteria page. If multiple records met your search criteria, they will display in the **Search Results** section.

• **Cancel**: Click to abort the page operation and open the Producer Manager Home page.

#### Search Results

If multiple producer records met your search criteria, they will display in the **Search Results** section of the **Search Producer** page.

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BENNETT & PORTER INS SERVICES LLC	86-1048476	AZ 166793	8316688	AGY	SCOTTSDALE	AZ
CITI ASSUR SERVICES INC	52-0255715	⊞AZ 20894	660350	MKTPLAT	FT WORTH	TX
COLLING INS SERVICES INC	84-1005559	⊞AZ 202104	6646768	AGY	LAKEWOOD	CO
ELECTRIC INS AGENCY LLC	04-3146670	⊞AZ 111238	721835	AGY	BEVERLY	MA
ESURANCE INS SERVICES INC	77-0516068	⊞AZ 86349	2988247	MKTPLAT	SAN FRANCISCO	CA
HANCOCK INTERNATIONAL INC	86-1048077	⊞AZ 137021	8864952	AGY	PHOENIX	AZ
HORIZON INS GROUP INC	86-0660148	⊞AZ 817746	2227035	AGY	PHOENIX	AZ
Displaying 1 - 10 (of 14 matching records)						Page 1 of 2
					Go To Page	: 1 🕶 Go
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- Name: For each listed producer record, displays a producer name as a blue hyperlink. Click the desired company name hyperlink to open the record in the **Appointment Confirmation Inquiry** report criteria page.
- **SSN**: *Individual producer searches only*. For each listed producer record, displays a producer's Social Security Number. Click the column heading to toggle highest-to-lowest or lowest-to-highest sorting of the **Search Results** on the **SSN** field.
- **EIN**: *Firm producer searches only*. For each listed producer record, displays a producer's federal Employer Identification Number. Click the column heading to toggle highest-to-lowest or lowest-to-highest sorting of the **Search Results** on the **EIN** field.
- License State/#: For each listed producer record, displays the state codes of the states in which a producer holds at least one active or inactive license and the corresponding license numbers. Click the node (⊞) to expand the record row to display all of the

producer's license state and number information. Click the node  $(\Box)$  to collapse the information.

- NPN: For each listed producer record, displays a producer's National Producer Number. Click the column heading to toggle highest-to-lowest or lowest-to-highest sorting of the Search Results on the NPN field.
- Active BU: For each listed producer record, displays the name of the business unit(s) with which a producer is actively associated. Click the node (⊞) to expand the record row to display all of the producer's business unit information. Click the node (⊟) to collapse the information.
- **City**: For each listed producer record, displays the producer's mailing address city. Click the column heading to toggle alphabetic or reverse alphabetic sorting of the **Search Results** on the **City** field.
- State: For each listed producer record, displays the producer's mailing address state. Click the column heading to toggle alphabetic or reverse alphabetic sorting of the Search Results on the State field.
- **Displaying** [v] [w] (of [x] matching records): Displays the range in numbers of producer records currently displaying in the **Search Results** sub-section out of the total number of producer records returned by a search.
- **Page [y] of [z]**: Displays the number of the page currently displaying out of the total number of pages of producer records returned by a search.
- **Go To Page**: Available only when more than 10 records are returned by a search, resulting in multiple pages of **Search Results**. Select from the dropdown menu the number of the page of producer records to which you wish to navigate.
- Go: Click to navigate to the page number of **Search Results** selected in the Go To Page dropdown menu.

## External System ID

You can filter the report to include appointments and terminations for to include only producers with a specific external system ID

Controls include the following:

- **External System ID**: To filter the report results to include appointments and terminations for producers with a specific external system ID, enter the external system ID.
- Active External System IDs Only: Click to checkmark the checkbox to filter the report results to exclude appointments and terminations for producers whose external system ID (as expressed in the External System ID field, above) is inactive.

## **Display Configuration**

Choose whether to sort the report results by producer name or by ZIP code of their mailing address type.

Fields and controls include the following:

• **Sort Results By**: From the dropdown menu, select Producer Name to sort the report results alphabetically in descending order by producer last name or firm name. Or, select

Zip Code to sort the report results in ascending numeric order by the value of mailing address postal code.

• Include Record Only Appointments: By default, the report results will include only appointment or termination requests submitted electronically to appointment states through PLM Producer Manager or Producer Express. Click to checkmark the checkbox to also include appointments and terminations that were manually recorded on producer records and not submitted to states, allowing you to generate a "welcome letter" to producers with record-only appointments.

## **Report Results**

Displays producer appointment information stored in your company's instance of Producer Manager that met the report criteria, presented in a letter format. Results may be narrowed by selected filter criteria.

Results include the following data fields, embedded as merge fields in the letter format:

- Letter Date: For each letter included in the report results, displays the date that the inquiry generated results.
- **Producer ID**: For each producer included in the report results, displays the producer's Producer Manager record ID. (For more information, see Details.)
- **Producer Name**: For each producer included in the report results, displays the producer's name. (For more information, see Details.)
- **Mailing Address**: For each producer included in the report results, displays the producer's full mailing address. (For more information, see Contact Information.)
- **Appointment Type**: For each producer included in the report results, displays the description of the state-specific type of appointment that was either made active or inactive. (For more information, see Appointments.)
- **Appointing Company**: For each producer included in the report results, displays the name of the appointing company by which the appointment or termination was requested or recorded. (For more information, see Appointments.)
- **Appointment State**: For each producer included in the report results, displays the name of the state to which the appointment or termination was requested or for which it was recorded. (For more information, see Appointments.)
- **Request Result**: For each producer included in the report results, displays the result of the requested or recorded appointment or termination. (For more information, see Appointments.)
- Effective Date: For each producer included in the report results, displays the date on which the appointment or termination became effective. (For more information, see Appointments.)

## Page Controls

Controls include the following:

• **Remove Producer**: Click to remove a specific producer selected in the Producer Criteria section as filter criteria.

- **Submit Offline**: Click to generate the inquiry offline, where it can be retrieved in multiple output formats by any staff member with the permissions to view it. For more information, see Recent Reports.
- **View/Refresh Report**: Click to generate the inquiry "on demand" in HTML format online. The report will open in the separate Inquiry Output Window.
- **Cancel**: Click to open the Producer Manager Home page.

The **Appointment Confirmation Inquiry** cannot be custom-formatted or configured based on customer preference. If your company requires custom-formatted appointment or termination letters, please consult your Vertafore representative.

## Firm Associated Individual Appointments Inquiry

Use the **Firm Associated Individual Appointments Inquiry** page to review individual producers affiliated with a selected agency who were appointed or terminated during a given timeframe. You can view appointment data for individuals connected with an agency either by a formal firm association or by an external system ID.

If desired, filter the report results by state, appointment/request processing status, submitting staff member, business unit, or appointing company.

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To open the **Firm Associated Individual Appointments Inquiry** page, from the <u>Inquiries</u> menu select <u>Appointment</u>, and then select **Firm Associated Individual Appointments Inquiry**.

The Firm Associated Individual Appointments Inquiry page contains the following sections:

#### Search Firm

Use the **Search Firm** page to search for a single firm producer (agency) whose affiliated producers were appointed or terminated in the selected time period you want to report.

The **Search Firm** page consists of the following sub-sections:

## Search Fields

Use the **Search Fields** to enter report criteria. At least one report criterion is required.

Fields and controls include the following:

- **Firm Name**: Enter a search string on firm name. You may use as few as two characters in your search string. May contain numeric characters. Wildcard characters are not allowed. May not contain double quotation marks (").
- **EIN**: Enter a producer's entire Federal Employer Identification Number. Partial searches not allowed. Maximum 9 characters without a separating hyphen or 10 characters with a separating hyphen.
- **NPN**: Enter a producer's entire National Producer Number. Partial searches not allowed. Maximum 10 characters.
- Active Business Unit: Select from the dropdown menu an the short name of an active business unit to which a producer is assigned. May not be the only search criterion.
- License Number: Enter the entire number of a producer's state license, either active or inactive. Partial searches not allowed. Maximum 15 characters.
- License State: Select from the dropdown menu a state in which a producer holds an active or inactive license.
- External System ID: Enter a producer's entire external system ID code, including leading zeroes, either active or inactive. Partial searches not allowed. Maximum 22 characters.
- Primary External ID Only: Click to checkmark the checkbox to constrain a search using an External System ID criterion to only those external system IDs marked as a "primary" ID on a producer's record. The search will ignore a match on an External System ID that is not marked as "primary." (For more information, see Maintain External System Identifiers.)
- **Records Per Page**: If multiple records met your search criteria, the default number of records displayed per page of results is 10. From the dropdown menu, select a value in increments of 10 up to 50 and then execute or re-execute the search to display a number of records up to the selected value in the **Report Results** sub-section.
- Search: Click to execute the search based on the entered search criteria. If only one record met your search criteria, the Search Firm page will close, and the selected firm's summary information will display in the Associated Firm section of the Firm Associated Individual Appointments Inquiry page. If multiple records met your search criteria, they will display in the Search Results section. You then must click the Name of a selected firm to close the Search Firm page and display the selected firm's summary information will display in the Associated Firm section of the Firm Associated Individual Appointments Inquiry page.
- **Cancel**: Click to abort the page operation and open the Producer Manager Home page.

## Search Results

If multiple producer records met your search criteria, they will display in the **Search Results** sub-section of the **Search Firm** section.

Fields and controls include the following:

- Name: For each listed producer record, displays a producer name as a blue hyperlink. Click the column heading to toggle alphabet or reverse alphabetic sorting of the Search Results on the Name field. To close the Search Firm page and display the selected firm's summary information will display in the Associated Firm section of the Firm Associated Individual Appointments Inquiry page, click a desired producer Name hyperlink.
- **EIN**: For each listed producer record, displays a producer's federal Employer Identification Number. Click the column heading to toggle highest-to-lowest or lowest-to-highest sorting of the **Search Results** on the **EIN** field.
- License State/#: For each listed producer record, displays the state codes of the states in which a producer holds at least one active or inactive license and the corresponding license numbers. Click the node (⊞) to expand the record row to display all of the producer's license state and number information. Click the node (⊟) to collapse the information.
- NPN: For each listed producer record, displays a producer's National Producer Number. Click the column heading to toggle highest-to-lowest or lowest-to-highest sorting of the Search Results on the NPN field.
- Active BU: For each listed producer record, displays the name of the business unit(s) with which a producer is actively associated. Click the node (⊞) to expand the record row to display all of the producer's business unit information. Click the node (⊟) to collapse the information.
- **City**: For each listed producer record, displays the producer's mailing address city. Click the column heading to toggle alphabetic or reverse alphabetic sorting of the **Search Results** on the **City** field.
- State: For each listed producer record, displays the producer's mailing address state. Click the column heading to toggle alphabetic or reverse alphabetic sorting of the Search Results on the State field.
- **Displaying** [v] [w] (of [x] matching records): Displays the range in numbers of producer records currently displaying in the **Search Results** sub-section out of the total number of producer records returned by a search.
- **Page [y] of [z]**: Displays the number of the page currently displaying out of the total number of pages of producer records returned by a search.
- **Go To Page**: Available only when more than 10 records are returned by a search, resulting in multiple pages of **Search Results**. Select from the dropdown menu the number of the page of producer records to which you wish to navigate.
- Go: Click to navigate to the page number of **Search Results** selected in the Go To Page dropdown menu.

## Report Criteria

Use the filter fields to enter report criteria and tailor the report results to suit your needs.

Report criteria contains the following sub-sections:

Appointment Criteria



Enter report criteria about the active or inactive appointments you want to report.

Fields and controls include the following:

- **Appointment/Termination Between**: *Required.* Enter a date range during which reported producers were appointed or terminated. Enter the following:
  - between: Enter the first date of a date range in which to search for the value of the Active Date and/or Term Date fields in producer appointments information. Use the *mmddyyyy* date format. Or, click the Calendar button (
    ) to open a popup calendar from which you can click to select a date.
  - and: Enter the last date of a date range in which to search for the value of the Active Date and/or Term Date fields in producer appointments information. Use the *mmddyyyy* date format. Or, click the Calendar button (
    ) to open a popup calendar from which you can click to select a date.
- **Association Type**: From the dropdown menu, select Individual/Firm Association to report producers who are affiliated with a selected firm through a recorded firm association (default). Or, select External System ID to report producers who are affiliated with a selected firm through a shared external system identifier.
- State: To report appointments and terminations without regard to appointment state, make no selection from the box. Or, to filter the report results to include only appointments and terminations submitted to or recorded for a specific appointment state, click to select one or multiple state names in the box. To select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select.
- Status(es): To report appointments and terminations without regard to appointment and request processing status, make no selection from the box. Or, to filter the report results to include only appointments and terminations with specific request and processing statuses, click to select one or multiple processing statuses in the box. To select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select.
- Submitting Staff Member(s): To report appointments and terminations without regard to the staff member who submitted or recorded the appointments and terminations, make no selection from the box. Or, to filter the report results to include only appointments and terminations submitted or recorded by a specific staff member, click to select one or multiple staff member names in the box. To select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select.
- **Business Unit(s)**: To report appointments and terminations without regard to reported producers' business unit criteria, make no selection from the box. Or, to filter the report results to include only appointments and terminations of reported producers assigned to one or multiple business units, click to select one or multiple business unit short names in the box. To select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select.

## Associated Firm

Displays summary information about the firm producer selected as criterion for the report.

Fields and controls include the following:

- Name: Displays the firm producer's name.
- **EIN**: Displays the selected firm producer's Federal Employer Identification Number.
- License State/#: Displays the firm producer's license states and numbers. Click the node (⊞) to expand the record row to display all of the producer's license state and number information. Click the node (⊟) to collapse the information.
- **NAIC ID**: Displays the selected appointing company's National Association of Insurance Commissioners identifier number.
- **City**: Displays the selected firm producer's business location address city.
- State: Displays the selected firm producer's business location address state.
- Search Associated Firm: Click to open the Search Firm page, where you can search for a different firm producer to apply as report criteria.
- **Spreadsheet View**: Click to checkmark the checkbox to output the report results in a tabular spreadsheet format. To generate the report in a spreadsheet format, click the

**Submit Offline** button and then click the **Excel Format** button (<sup>(III)</sup>) associated with the inquiry on the <u>Recent Reports</u> page to view the spreadsheet.

#### **Report Results**

Displays producer appointment information stored in your company's instance of Producer Manager that met the report criteria. Results may be narrowed by selected filter criteria.

The header of the report results window displays a summary of the selected report criteria.

If viewed in HTML format, report results are grouped by firm name and sorted alphabetically by affiliated individual producer last name. If viewed in spreadsheet format, results are sorted first by firm name and then by affiliated individual producer last name.

Results include the following data fields:

- **Firm Name**: For each producer listed that met the report criteria, displays the name of the firm selected as report criteria.
- **Firm ID**: *HTML format only.* For each producer listed that met the report criteria, displays the Producer Manager record ID of the firm selected as report criteria. (For more information, see Details.)
- **Firm EIN**: For each producer listed that met the report criteria, displays the Federal Employer Identification Number of the firm selected as report criteria.
- **Firm Business Units**: For each producer listed that met the report criteria, displays the short names of the business units of the firm selected as report criteria.
- **Firm External System IDs**: For each producer listed that met the report criteria, displays the external system IDs of the firm selected as report criteria.
- Individual Name: For each producer listed that met the report criteria, displays the affiliated producer's name information: last name, first name, and middle name for individuals or firm name for firms. (For more information, see Details.)

- Indv ID: *HTML format only.* For each producer listed that met the report criteria, displays the affiliated producer's Producer Manager record ID. (For more information, see Details.)
- **SSN**: For each producer listed that met the report criteria, displays the affiliated producer's Social Security Number. (For more information, see Details.)
- **Individual BU**: For each producer listed that met the report criteria, displays the short name(s) of the business units to which the affiliated producer is actively assigned (sorted alphabetically).
- Individual External System IDs: For each producer listed that met the report criteria, displays the affiliated producer's external system IDs.
- **Appt State**: For each producer listed that met the report criteria, displays the two-letter code for the state that issued or terminated an appointment.
- **Appt County**: For each producer listed that met the report criteria, displays the twoletter code for the county that issued or terminated an appointment for the affiliated producer (in states that require county appointments only).
- **Appt Type**: For each producer listed that met the report criteria, displays the description of the type of appointment that the affiliated producer that became active or was terminated in the selected date range.
- Active Date: For each producer listed that met the report criteria, displays the date on which the affiliated producer's appointment became active.
- **Term Date**: *Inactive appointments only*. For each producer listed that met the report criteria, displays the date on which a termination of the affiliated producer's appointment in the selected state was submitted and state-approved or recorded.
- **Termination Reason**: For each producer listed that met the report criteria, displays the state-specific termination reason for the termination of the affiliated producer's appointment.
- Record Only?: For each producer listed that met the report criteria, displays Y if the Record Appt checkbox in the affiliated producer's appointment information contains a checkmark; displays N if the Record Appt checkbox in the affiliated producer's appointment information does not contain a checkmark.

## Page Controls

Controls include the following:

- Search Associated Firm: Click to open the Search Firm page, where you can search for a firm to include as report criteria.
- **Submit Offline**: Click to generate the inquiry offline, where it can be retrieved in multiple output formats by any staff member with the permissions to view it. For more information, see <u>Recent Reports</u>.
- View/Refresh Report: Click to generate the inquiry "on demand" in HTML format online. The report will open in the separate <u>Inquiry Output Window</u>.
- **Cancel**: Click to open the Producer Manager Home page.

Results of the **Firm Associated Individual Appointments Inquiry** may contain unmasked, full Social Security Number information for individual producers. It is not possible to configure the system to mask or hide these values in the report results. However, using a security role setting, a user with administrator permissions may deny other users the permission to run this inquiry or view inquiry results requested by other users. For more information, see Maintain Security Role.

The **Firm Associated Individual Appointments Inquiry** reports appointment information only as recorded in your company's instance of Producer Manager. It does not verify appointment information directly with state records. However, if your company is using Producer Manager's automated data reconciliation utilities (such as Scheduled Syncs) to keep producer appointment data refreshed continually, the **Firm Associated Individual Appointments Inquiry** report results should be synchronized with state records.

If you are generating an "on-demand" report by clicking the **View/Refresh Report** button, the range between the **Appointment/Termination Between Begin Date** and **End Date** fields may not exceed 30 days. To expand the date range in which to report appointments and terminations, generate the report offline by clicking the **Submit Offline** button. After it generates, the report will be available for download from the <u>Recent Reports</u> page.

For easier viewing of the report results in any chosen output format, we recommend always checkmarking the **Spreadsheet View** checkbox.

## Invalid Individual Licensee Appointments Inquiry

Use the **Invalid Individual Licensee Appointments Inquiry** page to scan Producer Manager to find the records of individual producers with at least one active company appointment but that also contain the following data conditions that may require attention:

- A firm association does not exist
- An existing firm association is not active
- A firm association exists and is active, but the associated firm does not hold an active agreement with the appointing company
- A firm association exists and is active, and the associated firm holds an active agreement with the appointing company, but the individual licensee does not have an active, indirect agreement with the associated firm.

The conditions above may render an individual producer's active company appointment "invalid," depending on your company's business rules.

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To open the **Invalid Individual Licensee Appointments Inquiry** page, from the <u>Inquiries</u> menu select <u>Appointment</u>, and then select **Invalid Individual Licensee Appointments Inquiry**.

The Invalid Individual Licensee Appointments Inquiry page contains the following sections:

## Report Criteria

Use the filter fields to enter report criteria and tailor the report results to suit your needs.

Fields and controls include the following:

- Affiliation Status Between: *Required.* Enter a date range during which appointments became active on the records of reported individual producers. Enter the following:
  - Begin Date: Enter the first date of a date range in which to search for the value of the Active Date field in producer appointments information. Use the *mmddyyyy* date format. Or, click the Calendar button () to open a popup calendar from which you can click to select a date.
  - End Date: Enter the last date of a date range in which to search for the value of the Active Date field in producer appointments information. Use the *mmddyyyy* date format. Or, click the Calendar button () to open a popup calendar from which you can click to select a date.
- Submitting Staff Member: To report appointments without regard to the staff member who submitted or recorded the appointments, make no selection from the box. Or, to filter the report results to include only appointments submitted or recorded by a specific staff member, click to select one or multiple staff member names in the box. To select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select.
- Business Unit: To report appointments without regard to reported producers' business unit criteria, make no selection from the box. Or, to filter the report results to include only appointments of reported producers assigned to one or multiple business units, click to select one or multiple business unit short names in the box. To select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select.
- **Invalid Conditions**: *Minimum of one required.* Select one or multiple data conditions that affect the individual producer records included in the report results. Choose from among the following:
  - **Appointments without Associations**: Click to checkmark the checkbox to search Producer Manager for individual producers whose appointments became active in the date range specified in the **Affiliation Status Between** fields but whose records lack an active firm association.
  - **Appointments without Direct Agreements**: Click to checkmark the checkbox to search Producer Manager for individual producers whose appointments became active in the date range specified in the **Affiliation Status Between** fields but whose records lack an active direct agreement.
  - Appointments with Associations but without Indirect Agreements: Click to checkmark the checkbox to search Producer Manager for individual producers whose appointments became active in the date range specified in the Affiliation Status Between fields but whose records lack an active indirect agreement with their associated firms.

#### Report Results

Displays producer appointment information stored in your company's instance of Producer Manager that met the report criteria. Results may be narrowed by selected filter criteria.

Report results are grouped by individual producers, sorted alphabetically by name.

Results include the following data fields:

- **Indv\_ID**: For each producer listed that met the report criteria, displays the producer's Producer Manager record ID. (For more information, see Details.)
- **Individual Name**: For each producer listed that met the report criteria, displays the producer's last name, first name, and middle name. (For more information, see Details.)
- **TIN**: For each producer listed that met the report criteria, displays the producer's Social Security Number. (For more information, see Details.)
- **BU**: For each producer listed that met the report criteria, displays the short name(s) of the business units to which the producer is actively assigned (sorted alphabetically).
- **Company Affiliation Status**: For each producer listed that met the report criteria and for each appointment that became active during the **Affiliated Status Between** date range, displays the status of the producer's appointment with the appointing company identified in the **Affiliated Company** field.
- Affiliation Status Date: For each producer listed that met the report criteria and for each appointment that became active during the Affiliated Status Between date range, displays the date on which the producer's appointment with the appointing company identified in the Affiliated Company field became active.
- Affiliated Company: For each producer listed that met the report criteria and for each appointment that became active during the Affiliated Status Between date range, displays the name of the company with which the producer holds an appointment.
- Agreement: For each producer listed that met the report criteria, displays information about the producer's agreements with the appointing company identified in the Affiliated Company field. Data fields include the following:
  - Status: Displays the current status of the agreement.
  - o Begin Date: Displays the date on which the agreement became active.
  - End Date: If Status is inactive, displays the date on which the agreement became inactive.
  - **Company Status**: Displays the status of the appointing company's record.

## Page Controls

Controls include the following:

- **Submit Offline**: Click to generate the inquiry offline, where it can be retrieved in multiple output formats by any staff member with the permissions to view it. For more information, see <u>Recent Reports</u>.
- View/Refresh Report: Click to generate the inquiry "on demand" in HTML format online. The report will open in the separate <u>Inquiry Output Window</u>.
- **Cancel**: Click to open the Producer Manager Home page.

Results of the **Invalid Individual Licensee Appointments Inquiry** may contain unmasked, full Social Security Number information for individual producers. It is not possible to configure the

system to mask or hide these values in the report results. However, using a security role setting, a user with administrator permissions may deny other users the permission to run this inquiry or view inquiry results requested by other users. For more information, see Maintain Security Role.

## **Business Unit Appointment Termination Inquiry**

Use the **Business Unit Appointment Termination Inquiry** page to find out if and when a producer was terminated by a business unit other than your own – a condition that could affect the producer's ability to sell for your business unit.

To determine business unit cross-interest terminations, the **Business Unit Appointment Termination Inquiry** derives information from the following:

- Currently active business units for the logged-in user (i.e., you)
- The terminated producer's active business units on the termination date
- Active business units on the termination date for the user who terminated the producer's appointment

The system then calculates whether a producer was terminated by a user with a business unit interest other than your own during the selected date range criteria.

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To open the **Business Unit Appointment Termination Inquiry** page, from the <u>Inquiries</u> menu select <u>Appointment</u>, and then select **Business Unit Appointment Termination Inquiry**.

The Business Unit Appointment Termination Inquiry page contains the following sections:

## Report Criteria

Use the filter fields to enter report criteria and tailor the report results to suit your needs.

- Appointments Terminated by Business Units not actively assigned to the Staff Member, Between: *Required.* Enter a date range during which to search for the records of producers who shared an active business unit with you (i.e., the logged-in user) on the appointment termination date but who were terminated by users associated with a different business unit. Enter the following:
  - Begin Date: Enter the first date of a date range in which to search. Use the *mmddyyyy* date format. Or, click the Calendar button (<sup>10</sup>) to open a popup calendar from which you can click to select a date.
  - End Date: Enter the last date of a date range in which to search. Use the *mmddyyyy* date format. Or, click the **Calendar** button ()) to open a popup calendar from which you can click to select a date.

## Report Results

Displays producer appointment information stored in your company's instance of Producer Manager that met the report criteria.

The header of the report results window displays a summary of the selected report criteria.

Report results are grouped by entity type, sorted by **Processing** date (i.e., termination date), beginning with most recent.

Results include the following data fields:

- Entity Type: For each producer listed that met the report criteria, displays the producer's entity type, either Firm or Individual.
- Licensee Name: For each producer listed that met the report criteria, displays the producer's name information: last name, first name, and middle name for individuals or firm name for firms. (For more information, see Details.)
- **EIN/SSN**: For each producer listed that met the report criteria, displays the producer's taxpayer identification information: Social Security Number for individuals or Federal Employer Identification Number for firms. (For more information, see Details.)
- **Business Unit(s)**: For each producer listed that met the report criteria, displays the short name(s) of the producer's currently active business units (sorted alphabetically).
- **State**: For each producer listed that met the report criteria, displays the name of the appointment state in which the producer was terminated.
- **Company**: For each producer listed that met the report criteria, displays the short name of the appointing company that issued the producer's terminated appointment. (For more information, see Review/Update Company.)
- **Appt Type**: For each producer listed that met the report criteria, displays the description of the type of appointment that was terminated.
- **Processing**: For each producer listed that met the report criteria, displays the appointment termination date.
- **County Termination**: For each producer listed that met the report criteria, displays Yes if a county appointment was terminated along with a state appointment; displays No if a county appointment was not terminated along with a state appointment.

• **County**: Available only if value of **County Termination** is Y. For each producer listed that met the report criteria, displays the name of the county in which the county appointment was terminated.

## Page Controls

Controls include the following:

- Submit Offline: Click to generate the inquiry offline, where it can be retrieved in multiple output formats by any staff member with the permissions to view it. For more information, see <u>Recent Reports</u>.
- View/Refresh Report: Click to generate the inquiry "on demand" in HTML format online. The report will open in the separate <u>Inquiry Output Window</u>.
- **Cancel**: Click to open the Producer Manager Home page.

Results of the **Business Unit Appointment Termination Inquiry** may contain unmasked, full Social Security Number information for individual producers. It is not possible to configure the system to mask or hide these values in the report results. However, using a security role setting, a user with administrator permissions may deny other users the permission to run this inquiry or view inquiry results requested by other users. For more information, see Maintain Security Role.

You may never need to run the **Business Unit Appointment Termination Inquiry** if the Vertafore-configured business rule, TRMN\_BU\_APPT\_IND, is configured to prevent a user from terminating a producer's appointment, unless the user shares all of the producer's business units. For more information, see Configuration Options.

The **Business Unit(s)** field on the report results displays only the producer's currently active business units. If the **Business Unit(s)** field displays no data for a producer included in the report results, it means that the producer had no active business units on the report date.

For easier viewing of the report results in any chosen output format, we recommend always checkmarking the **Spreadsheet View** checkbox.

## Appointments By State Inquiry

Use the **Appointments By State Inquiry** page to generate a printable transcript of key appointment information recorded in Producer Manager for <u>one</u> selected firm or individual producer.

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To open the **Appointments By State Inquiry** page, from the <u>Inquiries</u> menu select <u>Appointment</u>, and then select **Appointments By State Inquiry**.

The Appointments By State Inquiry page contains the following sections:

#### Search Producer

You can set report criteria for the **Appointments By State Inquiry** simply by searching for a selected producer whose record is stored and contains appointment information in Producer Manager.

Use the **Search Producer** page to search for the individual or firm producer whose appointment information you want to report.

The **Search Producer** page consists of the following sections:

## Producer Type

Use the **Producer Type** field to identify whether you are reporting individual or firm (agency) appointments.

Controls include the following:

- Individual Licensee: *Default*. Click the radio button to generate the report for an individual producer's appointment information. The page will refresh to display unique individual producer **Search Fields**.
- **Firm**: Click the radio button to generate the report for a firm producer's appointment information. The page will refresh to display unique firm producer **Search Fields**.

#### Search Fields

Use the **Search Fields** to enter search criteria for one or multiple producer records, either individual or firm. At least one search criterion is required.

- Last: Individual producers only. Enter a search string on individual producer last name. You may use as few as two characters in your search string. Wildcard characters are not allowed. May not contain numeric characters or double quotation marks (").
- **Firm Name**: *Firm producers only*. Enter a search string on firm name. You may use as few as two characters in your search string. May contain numeric characters. Wildcard characters are not allowed. May not contain double quotation marks (").
- First: *Individual producers only*. Must be used in combination with Last name criterion. You may use as few as one character in your search string. Wildcard characters are not allowed. May not contain numeric characters or double quotation marks (").
- **Middle**: *Individual producers only*. Must be used in combination with **Last** name criterion. You may use as few as one character in your search string. Wildcard characters are not allowed. May not contain numeric characters or double quotation marks (").
- **SSN**: *Individual producers only*. Enter a producer's entire Social Security Number. Partial searches not allowed. Maximum 9 characters without separating hyphens or 11 characters with two separating hyphens.
- **EIN**: *Firm producers only*. Enter a producer's entire Federal Employer Identification Number. Partial searches not allowed. Maximum 9 characters without a separating hyphen or 10 characters with a separating hyphen.

- **NPN**: Enter a producer's entire National Producer Number. Partial searches not allowed. Maximum 10 characters.
- Active Business Unit: Select from the dropdown menu an the short name of an active business unit to which a producer is assigned. May not be the only search criterion.
- License Number: Enter the entire number of a producer's state license, either active or inactive. Partial searches not allowed. Maximum 15 characters.
- License State: Select from the dropdown menu a state in which a producer holds an active or inactive license.
- External System ID: Enter a producer's entire external system ID code, including leading zeroes, either active or inactive. Partial searches not allowed. Maximum 22 characters.
- Primary External ID Only: Click to checkmark the checkbox to constrain a search using an External System ID criterion to only those external system IDs marked as a "primary" ID on a producer's record. The search will ignore a match on an External System ID that is not marked as "primary." (For more information, see Maintain External System Identifiers.)
- **Records Per Page**: If multiple records met your search criteria, the default number of records displayed per page of results is 10. From the dropdown menu, select a value in increments of 10 up to 50 and then execute or re-execute the search to display a number of records up to the selected value in the **Search Results** sub-section.
- Search: Click to execute the search based on the entered search criteria. If only one producer record met your search criteria, the **Appointments By State Inquiry** page will refresh with the selected producer's appointment information ready to be generated into the report. If multiple records met your search criteria, they will display in the **Search Results** section.
- **Cancel**: Click to abort the operation and open the Producer Manager Home page.

## Search Results

If multiple producer records met your search criteria, they will display in the **Search Results** section of the **Search Producer** page.

- Name: For each listed producer record, displays a producer name as a blue hyperlink. Click a selected producer's Name hyperlink to refresh the Appointments By State Inquiry page with the selected producer's appointment information ready to be generated into the report. Click the column heading to toggle alphabet or reverse alphabetic sorting of the Search Results on the Name field.
- **SSN**: *Individual producer searches only*. For each listed producer record, displays a producer's Social Security Number. Click the column heading to toggle highest-to-lowest or lowest-to-highest sorting of the **Search Results** on the **SSN** field.
- **EIN**: *Firm producer searches only*. For each listed producer record, displays a producer's federal Employer Identification Number. Click the column heading to toggle highest-to-lowest or lowest-to-highest sorting of the **Search Results** on the **EIN** field.

- License State/#: For each listed producer record, displays the state codes of the states in which a producer holds at least one active or inactive license and the corresponding license numbers. Click the node (⊞) to expand the record row to display all of the producer's license state and number information. Click the node (⊟) to collapse the information.
- NPN: For each listed producer record, displays a producer's National Producer Number. Click the column heading to toggle highest-to-lowest or lowest-to-highest sorting of the Search Results on the NPN field.
- Active BU: For each listed producer record, displays the name of the business unit(s) with which a producer is actively associated. Click the node (⊞) to expand the record row to display all of the producer's business unit information. Click the node (⊟) to collapse the information.
- **City**: For each listed producer record, displays the producer's mailing address city. Click the column heading to toggle alphabetic or reverse alphabetic sorting of the **Search Results** on the **City** field.
- State: For each listed producer record, displays the producer's mailing address state. Click the column heading to toggle alphabetic or reverse alphabetic sorting of the Search Results on the State field.
- **Displaying** [v] [w] (of [x] matching records): Displays the range in numbers of producer records currently displaying in the **Search Results** sub-section out of the total number of producer records returned by a search.
- **Page [y] of [z]**: Displays the number of the page currently displaying out of the total number of pages of producer records returned by a search.
- **Go To Page**: Available only when more than 10 records are returned by a search, resulting in multiple pages of **Search Results**. Select from the dropdown menu the number of the page of producer records to which you wish to navigate.
- Go: Click to navigate to the page number of **Search Results** selected in the Go To Page dropdown menu.

## Report Results

Displays appointment information for the selected producer as recorded in your company's instance of Producer Manager.

Report results are grouped by state and then by appointing company.

Results include data fields contained in the following sections:

Producer Information

Data fields include the following:

- **SSN**: *Individual producers only*. Displays the selected producer's Social Security Number. Maximum 11 characters.
- **EIN**: *Firm producers only*. Displays the selected producer's Federal Employer Identification Number. Maximum 10 characters.
- **Name**: Displays the last, first, and middle name of an individual producer; displays the firm name of a firm producer.

- **Status**: Displays the status of the selected producer's record in Producer Manager, based on certain carrier or firm relationship conditions. (For more information, see Details.)
- Effective Date: Displays the date on which the value of the Status field last was updated. (For more information, see Details.)
- **Termination Date**: Displays the 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. (For more information, see Details.)

## **Appointment Information**

Data fields include the following:

- **State**: For each state in which the selected producer is appointed, displays the name of the regulatory jurisdiction. State appointment data fields are included in the following:
- **NAIC ID**: For each appointing company listed, displays the National Association of Insurance Commissioners identifier of the appointing company with which the selected producer is appointed..
- Writing Company: For each appointing company listed, displays the name of the appointing company with which the selected producer is appointed.
- **Status**: For each appointing company listed, displays the status of the selected producer's appointment relationship with the listed appointing company.
- Effective Date: For each appointing company listed, displays the date on which the value of the Status field last was updated. Appointing company appointment data fields include the following:
- **Appointment Type**: For each appointment listed, displays the state-specific description of the appointment type held by a selected producer.
- **Status**: For each appointment listed, displays the current status of the appointment in Producer Manager.
- Active Date: For each appointment listed, displays the appointment's effective date. Displays for both active and inactive appointments.
- **Term Date**: *Inactive appointments only.* Displays the date on which it became inactive.
- **Termination Reason**: *Inactive appointments only.* Displays the state-specific reason for the appointment termination.
- Shared Producer Name: Shared appointment states only. Displays the 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: For each producer listed that met the report criteria, displays Y if the State Verified checkbox in the producer's appointment information contains a

checkmark; displays N if the **State Verified** checkbox in the producer's appointment information does not contain a checkmark.

• Sys Record Only: More detail view only. For each appointment listed, displays a checkmarked checkbox if the appointment was manually recorded on the selected producer's record or has been 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 PLM (Producer Manager or Producer Express) to a state.

## **Appointment Request Information**

Data fields include the following:

- **Appt Action**: For each transaction request listed, displays the submitted transaction type, either Appointment or Termination.
- **Submit Date**: For each transaction request listed, displays the date on which the transaction was submitted.
- **Submit Status**: For each transaction request listed, displays the status of the transaction request (e.g., Approved (processed and approved by the state), Denied (processed and rejected by the state), Submitted to SIRCON (pending state processing).).
- **Response Date**: *Displays only for transaction requests that have undergone state processing.* For each transaction request listed, displays the date on which the state to which the request was submitted responded to the request.
- Actual Effective Date: Displays only for transaction requests that have undergone state processing. For each transaction request listed, displays 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.
- **Rejection Reason**: Displays only for transaction requests that have undergone state processing and where the value of the **Submit Status** field is Denied. For each transaction request listed, displays the state-specific reason.

## Page Controls

Controls include the following:

- **Search Producer**: Click the link to start a new search for a producer record whose appointment information you want to report.
- View/Refresh Report: Click to generate the inquiry "on demand" in HTML format online. The report will open in the separate <u>Inquiry Output Window</u>.
- **Cancel**: Click to open the Producer Manager Home page.

Results of the **Appointments By State Inquiry** may contain unmasked, full Social Security Number information for individual producers. It is not possible to configure the system to mask or hide these values in the report results. However, using a security role setting, a user with administrator permissions may deny other users the permission to run this inquiry or view inquiry results requested by other users. For more information, see Maintain Security Role. The **Appointments By State Inquiry** reports appointment information only as recorded in your company's instance of Producer Manager. It does not verify appointment information directly with state records. However, if your company is using Producer Manager's automated data reconciliation utilities (such as Scheduled Syncs) to keep producer appointment data refreshed continually, the **Appointments By State Inquiry** report results should be synchronized with state records.

# Individual Appointments Inquiry

Use the **Individual Appointments Inquiry** page to review a list of individual producers who were either appointed or terminated during a specified period of time. You also can run the report for just a single, selected producer.

Filter the report by one or multiple states, appointment status and transaction submission status combinations, staff members, business units, and/or companies.

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To open the **Individual Appointments Inquiry** page, from the <u>Inquiries</u> menu select <u>Appointment</u>, and then select **Individual Appointments Inquiry**.

The Individual Appointments Inquiry page contains the following sections:

### Report Criteria

First, determine if you want to report appointments and terminations for a single producer or a set of producers.

If you are reporting appointments and terminations for a single producer, click the **Search Specific Individual** link, and search for the specific producer whose appointments and terminations you want to report.

### Single Individual Report

Use the **Search Individual** page to search for a single individual producer whose appointment and terminations in the selected time period you want to report.

The **Search Individual** page consists of the following sub-sections:

### Search Fields

Use the Search Fields to enter report criteria. At least one report criterion is required.

- Last: Individual producers only. Enter a search string on individual producer last name. You may use as few as two characters in your search string. Wildcard characters are not allowed. May not contain numeric characters or double quotation marks (").
- First: *Individual producers only*. Must be used in combination with Last name criterion. You may use as few as one character in your search string. Wildcard characters are not allowed. May not contain numeric characters or double quotation marks (").
- **Middle**: *Individual producers only*. Must be used in combination with **Last** name criterion. You may use as few as one character in your search string. Wildcard characters are not allowed. May not contain numeric characters or double quotation marks (").
- **SSN**: *Individual producers only*. Enter a producer's entire Social Security Number. Partial searches not allowed. Maximum 9 characters without separating hyphens or 11 characters with two separating hyphens.
- **NPN**: Enter a producer's entire National Producer Number. Partial searches not allowed. Maximum 10 characters.
- Active Business Unit: Select from the dropdown menu an the short name of an active business unit to which a producer is assigned. May not be the only search criterion.
- License Number: Enter the entire number of a producer's state license, either active or inactive. Partial searches not allowed. Maximum 15 characters.
- License State: Select from the dropdown menu a state in which a producer holds an active or inactive license.
- External System ID: Enter a producer's entire external system ID code, including leading zeroes, either active or inactive. Partial searches not allowed. Maximum 22 characters.
- **Primary External ID Only**: Click to checkmark the checkbox to constrain a search using an **External System ID** criterion to only those external system IDs marked as a

"primary" ID on a producer's record. The search will ignore a match on an **External System ID** that is not marked as "primary." (For more information, see Maintain External System Identifiers.)

- **Records Per Page**: If multiple records met your search criteria, the default number of records displayed per page of results is 10. From the dropdown menu, select a value in increments of 10 up to 50 and then execute or re-execute the search to display a number of records up to the selected value in the **Report Results** sub-section.
- Search: Click to execute the search based on the entered search criteria. If only one record met your search criteria, the report will generate and the **Report Results** for the selected firm will open in the <u>Inquiry Output Window</u>. If multiple records met your search criteria, they will display in the **Search Results** section. You then must click the **Name** of a selected firm to generate the report and display the **Report Results** in the <u>Inquiry</u> <u>Output Window</u>.
- **Cancel**: Click to abort the page operation and open the Producer Manager Home page.

#### Search Results

If multiple producer records met your search criteria, they will display in the **Search Results** sub-section of the **Search Individual** section.

- Name: For each listed producer record, displays a producer name as a blue hyperlink. Click the column heading to toggle alphabet or reverse alphabetic sorting of the Search Results on the Name field. To generate the report and open the Report Results in the Inquiry Output Window, click a desired producer Name hyperlink.
- **SSN**: For each listed producer record, displays a producer's Social Security Number. Click the column heading to toggle highest-to-lowest or lowest-to-highest sorting of the **Search Results** on the **SSN** field.
- License State/#: For each listed producer record, displays the state codes of the states in which a producer holds at least one active or inactive license and the corresponding license numbers. Click the node (⊞) to expand the record row to display all of the producer's license state and number information. Click the node (⊟) to collapse the information.
- NPN: For each listed producer record, displays a producer's National Producer Number. Click the column heading to toggle highest-to-lowest or lowest-to-highest sorting of the Search Results on the NPN field.
- Active BU: For each listed producer record, displays the name of the business unit(s) with which a producer is actively associated. Click the node (⊞) to expand the record row to display all of the producer's business unit information. Click the node (⊟) to collapse the information.
- **City**: For each listed producer record, displays the producer's mailing address city. Click the column heading to toggle alphabetic or reverse alphabetic sorting of the **Search Results** on the **City** field.
- State: For each listed producer record, displays the producer's mailing address state. Click the column heading to toggle alphabetic or reverse alphabetic sorting of the Search Results on the State field.

- **Displaying** [v] [w] (of [x] matching records): Displays the range in numbers of producer records currently displaying in the **Search Results** sub-section out of the total number of producer records returned by a search.
- **Page [y] of [z]**: Displays the number of the page currently displaying out of the total number of pages of producer records returned by a search.
- **Go To Page**: Available only when more than 10 records are returned by a search, resulting in multiple pages of **Search Results**. Select from the dropdown menu the number of the page of producer records to which you wish to navigate.
- Go: Click to navigate to the page number of Search Results selected in the Go To Page dropdown menu.

After you have established whether you want to report appointments and terminations for a single producer or a set of producers, use the report criteria fields to enter required report criteria and to filter the report results to include only information that suits your needs.

- **Appointment/Termination Between**: *Required.* Enter a date range during which reported producers either were appointed or terminated. Enter the following:
  - Begin Date: Default is 30 days prior to the current date. Enter the first date of a date range in which to search in producer appointments information for the value of the Active Date field where the value of the Status field is Active or the value of the Termination Date field where the value of the Status field is Inactive. Use the *mmddyyyy* date format. Or, click the Calendar button ( ) to open a popup calendar from which you can click to select a date.
  - End Date: Default is the current date. Enter the last date of a date range in which to search in producer appointments information for the value of the Active Date field where the value of the Status field is Active or the value of the Termination Date field where the value of the Status field is Inactive. Use the mmddyyyy date format. Or, click the Calendar button (2) to open a popup calendar from which you can click to select a date.
- External System ID: To report appointments and terminations without regard to producer external system ID criteria, leave the field blank. Or, to filter the report results to include only appointments and terminations of producers assigned a specific external system ID code, enter the code in the field.
- **Primary Only**: When filtering the report results to include only appointments and terminations of producers assigned a specific external system ID code, leave the checkbox uncheckmarked to ignore whether the entered external system ID is set as a primary identifier. Or, to filter the report results to include only appointments and terminations of producers assigned a specific external system ID code that is set as a primary identifier, click to checkmark the checkbox.
- State(s): To report appointments and terminations without regard to the state in which reported producers were appointed or terminated during the selected date range, make no selection from the box. Or, to filter the report results to include only reported producers who were appointed or terminated in a specific state(s) during the selected date range, click to select one or multiple state names in the box. To select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select.

- Status(es): To report appointments and terminations without regard to the current values of the Status or Submit Status fields in reported producers' appointments information, make no selection from the box. Or, to filter the report results to include only reported producers with a specific combination of values in the Status and Submit Status fields in their records' appointments information, click to select one or multiple Status/Submit Status combinations in the box. To select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select.
- Submitting Staff Member(s): To report appointments and terminations without regard to the staff member who submitted or recorded the appointments or terminations, make no selection from the box. Or, to filter the report results to include only appointments and terminations submitted or recorded by a specific staff member, click to select one or multiple staff member names in the box. To select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select.
- **Business Unit(s)**: To report appointments and terminations without regard to reported producers' business unit criteria, make no selection from the box. Or, to filter the report results to include only appointments or terminations of reported producers assigned to one or multiple business units, click to select one or multiple business unit short names in the box. To select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select.
- Active Writing Companies: To report appointments and terminations without regard to the appointing companies in your carrier group that appointed the reported producers, make no selection from the box. Or, to filter the report results to include only appointments and terminations of producers appointed by one or multiple of your carrier group's appointing companies, click to select one or multiple appointing company names in the box. To select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select.
- **Spreadsheet View**: Click to checkmark the checkbox to output the report results in a tabular spreadsheet format. To generate the report in a spreadsheet format, click the

**Submit Offline** button and then click the **Excel Format** button (<sup>IIII</sup>) associated with the inquiry on the <u>Recent Reports</u> page to view the spreadsheet.

# Report Results

Displays active and inactive (terminated) producer appointment information stored in your company's instance of Producer Manager that met the report criteria. Results may be narrowed by selected filter criteria.

The header of the report results window displays a summary of the selected report criteria.

If viewed in HTML format, report results are grouped by appointing company and sorted alphabetically by producer name. If viewed in spreadsheet format, results are sorted first by appointing company, then by producer name, and then by appointment state name.

Results include the following data fields:

- **Company**: For each appointment or termination that met the report criteria, displays the name of the appointing company that appointed reported producers. Company data fields include the following:
  - **NAIC ID**: For each appointing company listed, displays its National Association of Insurance Commissioners identifier.

- Individual Licensee: For each appointing company listed, displays the name of the individual producer that the appointing company either appointed or terminated during the selected date range and that otherwise met the report criteria. Individual producer data fields include the following:
  - **SSN**: For each individual producer listed that met the report criteria, displays the producer's Social Security Number. (For more information, see Details.)
  - **Appt State**: For each individual producer listed that met the report criteria, displays the name of the state in which the producer was appointed.
  - **Appt Type**: For each individual producer listed that met the report criteria, displays the description of the type of appointment that the producer holds or held in the appointment state.
  - Active Date: For each producer listed that met the report criteria, displays the date on which the producer's appointment in the selected state became active.
  - Termination Date: Inactive appointments only. For each individual producer listed that met the report criteria, displays the date on which a termination of the producer's appointment in the appointment state was submitted and state-approved or recorded.
  - **Termination Reason**: *Inactive appointments only*. For each individual producer listed that met the report criteria, displays the state-specific reason for the appointment termination.
  - Record Only?: For each individual producer listed that met the report criteria, displays Y if the Record Appt checkbox in the producer's appointment information contains a checkmark; displays N if the Record Appt checkbox in the producer's appointment information does not contain a checkmark.

# Page Controls

Controls include the following:

- **Remove Individual**: Available only with an individual licensee selected as report criteria. Click to clear the report criteria of a selected individual producer.
- **Submit Offline**: Click to generate the inquiry offline, where it can be retrieved in multiple output formats by any staff member with the permissions to view it. For more information, see <u>Recent Reports</u>.
- View/Refresh Report: Click to generate the inquiry "on demand" in HTML format online. The report will open in the separate <u>Inquiry Output Window</u>.
- **Cancel**: Click to open the Producer Manager Home page.

Results of the **Individual Appointments Inquiry** may contain unmasked, full Social Security Number information for individual producers. It is not possible to configure the system to mask or hide these values in the report results. However, using a security role setting, a user with administrator permissions may deny other users the permission to run this inquiry or view inquiry results requested by other users. For more information, see Maintain Security Role. The **Individual Appointments Inquiry** reports appointment information only as recorded in your company's instance of Producer Manager. It does not verify appointment information directly with state records. However, if your company is using Producer Manager's automated data reconciliation utilities (such as Scheduled Syncs) to keep producer appointment data refreshed continually, the **Individual Appointments Inquiry** report results should be synchronized with state records.

If you are generating an "on-demand" report by clicking the **View/Refresh Report** button, the range between the **Appointment/Termination Between Begin Date** and **End Date** fields may not exceed 30 days. To expand the date range in which to report appointments and terminations, generate the report offline by clicking the **Submit Offline** button. After it generates, the report will be available for download from the <u>Recent Reports</u> page.

For easier viewing of the report results in any chosen output format, we recommend always checkmarking the **Spreadsheet View** checkbox.

Looking for similar report results but for firm producers? Try the <u>Producer Appointment Inquiry</u> which also allows you to filter results by appointment activity for producers in an agreement with a selected, other producer.

# Statistics Inquiries

Managers can track staff member productivity and time management by running **Statistics** inquiries.

Inquiries	•	
All Reports		
Information		Þ
Producer Management		¥
Required Items		Þ
Appointment		Þ
Statistics	6	Þ
System Information	N	Þ
Producer Hierarchy		Þ
Carrier Requests		

The **Statistics** sub-menu of the <u>Inquiries</u> menu may offer the following options:

- Operator Productivity Inquiry
- <u>Advanced Operator Productivity Inquiry</u>
- <u>Approved Appointments Inquiry</u>

An inquiry may be unavailable for selection based on your company's specific deployment of Producer Manager (carrier or agency/brokerage) or the security settings specific to your user account. For more information, see Maintain Security Role.

# **Operator Productivity Inquiry**

Use the **Operator Productivity Inquiry** report to run a basic report on the types and volume of activities of one or multiple staff members during a specified time period. (To run a more detailed productivity management report, see <u>Advanced Operator Productivity Inquiry</u>.)

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To open the **Operator Productivity Inquiry** page, from the <u>Inquiries</u> menu select <u>Statistics</u>, and then select **Operator Productivity Inquiry**.

# **Report Criteria**

Use the following fields to set criteria for the report:

- **Operator Productivity Between**: Set the range of dates during which to view staff members' productivity:
  - **Begin Date**: *Required*. Enter the beginning date of a date range in which to run the search. Use the *mmddyyyy* date format. Or, click the **Calendar** button ()) to open a popup calendar from which you can click to select a date.
  - End Date: *Required.* Enter the last date of a date range in which to run the search. Use the *mmddyyyy* date format. Or, click the **Calendar** *button* () to open a popup calendar from which you can click to select a date.
- **Submitting Staff Member**: Click to select the names of one or multiple staff members whose productivity during the selected date range you wish to view. If no selections are made, the inquiry will report all staff members' productivity. To make multiple selections, press and hold the CTRL key while clicking.
- **Business Units**: Click to select one or multiple business units whose associated staff members' productivity during the selected date range you wish to view. If no selections are made, the inquiry will ignore business units as a report criteria. To make multiple selections, press and hold the CTRL key while clicking.

# **Report Results**

The report information includes the following data fields:

- Employee Type
- Staff Member ID
- Staff Member Name
- Activity
- Activity Detail Type
- Count

# Page Controls

Controls include the following:

- **Submit Offline**: Click to generate the inquiry offline, where it can be retrieved in multiple output formats by any staff member with the permissions to view it. For more information, see <u>Recent Reports</u>.
- View/Refresh Report: Click to generate the inquiry "on demand" in HTML format online. The report will open in the separate <u>Inquiry Output Window</u>.
- **Cancel**: Click to open the Producer Manager Home page.

# Advanced Operator Productivity Inquiry

Use the **Advanced Operator Productivity Inquiry** page to run a detailed report on the types and volume of activities of one or multiple staff members during a specified time period. The report can include the dates, total hours, minutes, and seconds one or multiple staff members were logged into Producer Manager while performing various activity types and subtypes. (To run a basic productivity management report, see <u>Operator Productivity Inquiry</u>.)

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To open the **Advanced Operator Productivity Inquiry** page, from the <u>Inquiries</u> menu select <u>Statistics</u>, and then select **Advanced Operator Productivity Inquiry**.

**Report Criteria** 

Use the following fields to set criteria for the report:

- **Operator Productivity Between**: Set the range of dates during which to view staff members' productivity:
  - **Begin Date**: *Required*. Enter the beginning date of a date range in which to run the search. Use the *mmddyyyy* date format. Or, click the **Calendar** button () to open a popup calendar from which you can click to select a date.
  - End Date: *Required.* Enter the last date of a date range in which to run the search. Use the *mmddyyyy* date format. Or, click the **Calendar** *button* () to open a popup calendar from which you can click to select a date.
- Submitting Staff Member: Click to select the names of one or multiple staff members whose productivity during the selected date range you wish to view. If no selections are made, the inquiry will report all staff members' productivity. To make multiple selections, press and hold the CTRL key while clicking.
- **Business Units**: Click to select one or multiple business units whose associated staff members' productivity during the selected date range you wish to view. If no selections are made, the inquiry will ignore business units as a report criteria. To make multiple selections, press and hold the CTRL key while clicking.
- **Spreadsheet View**: Click to checkmark the checkbox to generate the report in a tabular spreadsheet format, such as Microsoft Excel.
- **Summary Only**: Click to checkmark the checkbox to output a report that will include only Activity, Total Duration, and Count for each staff member. Or, leave uncheckmarked to generate the report results in a detailed view.

# Report Results

Displays producer business unit information stored in your company's instance of Producer Manager that met the report criteria. Results may be narrowed by selected report criteria.

The header of the report results window displays a summary of the selected report criteria.

Results are grouped by **Employee Type** and are sorted alphabetically by staff member name.

Results include the following data fields:

- Summary View
  - o Employee Type
  - o Staff Member ID
  - o Staff Member Name
  - o Activity
  - o Total Duration (for date period specified)
  - Count (how many times logged on)
- Detailed View
  - o Employee Type
  - o Staff Member ID
  - o Staff Member Name

- o Activity Sub Type
- Activity Sub Type Value
- o Activity Type
- Start Date (for each Activity Type)
- Start Time (for each Activity Type)
- Dur (hrs) (for each Activity Type)
- o Dur (min) (for each Activity Type)
- Dur (sec) (for each Activity Type)

# Page Controls

Controls include the following:

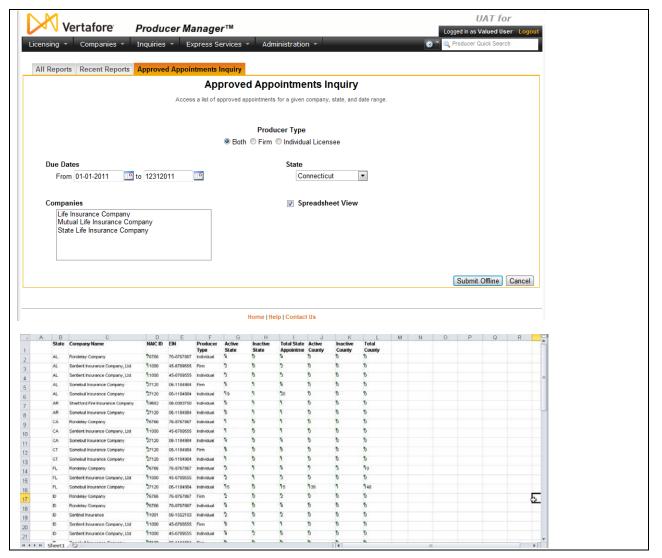
- **Submit Offline**: Click to generate the inquiry offline, where it can be retrieved in multiple output formats by any staff member with the permissions to view it. For more information, see <u>Recent Reports</u>.
- View/Refresh Report: Click to generate the inquiry "on demand" in HTML format online. The report will open in the separate <u>Inquiry Output Window</u>.
- **Cancel**: Click to open the Producer Manager Home page.

The values displaying in the **Activity** field in the report results are Vertafore-maintained in the CUST\_SM\_ACTION\_TYPE\_CD code group. For more information, see Maintain Codes.

Not all values in the **Activity** field in the report results will display a value in the **Activity Detail** field. Where no **Activity Detail** is available, the following value will display: <None>.

# Approved Appointments Inquiry

Use the **Approved Appointments Inquiry** page to run a report showing the total number of appointments and appointment terminations that were approved in each state by company in a given time frame. This report can be particularly useful for year-end tax reporting purposes.



To open the **Approved Appointments Inquiry** page, from the <u>Inquiries</u> menu select <u>Statistics</u>, and then select **Approved Appointments Inquiry**.

# Report Criteria

- **Producer Type**: Click the **Both** radio button to report approved appointment counts of both individual licensees and firms (agencies, broker/dealers, etc.); click the **Firm** radio button to report approved appointment counts of firms only (agencies, broker/dealers, etc.), or click the **Individual Licensee** radio button to report approved appointment counts of individual licensees only.
- **Due Dates**: In the **From** field, enter the beginning date of a date range during which to report approved appointment counts. In the **To** field, enter the end date of a date range during which to report approved appointment counts.
- **State**: Select from the dropdown menu the name of the state for which to compile a count of approved appointments during the selected time period.

- **Companies**: Click to select one or multiple carrier writing companies to use as filter criteria for the report. Press the CTRL key and click to select multiple companies, if desired. Make no selection to include all carrier writing companies in the report.
- **Spreadsheet View**: Click to checkmark the checkbox to output the report in a tabular spreadsheet format, such as Microsoft Excel.

# Report Results

Report results are grouped by state and then appointing company and include the following information:

- **State**: For each appointment or termination transaction listed, displays the state code of the state in which the transaction counts were compiled.
- **Company Name**: For each appointment or termination transaction count listed, displays the name of the carrier group appointing company for which the transaction counts were compiled.
- **NAIC ID**: For each appointment or termination transaction count listed, displays the NAIC ID of the carrier appointing company for which the transaction counts were compiled.
- **EIN**: For each appointment or termination transaction count listed, displays the Federal Employer Identification Number of the carrier appointing company for which the transaction counts were compiled.
- **Producer Type**: For each appointment or termination transaction count listed, displays Individual if the count was compiled for individual producers. Or, displays Firm if the count was compiled for firm producers.
- Active State: For each appointment or termination transaction count listed, displays the number in the state and for the appointing company that was compiled for appointment transactions (i.e., transactions that resulted in active appointments.)
- **Inactive State**: For each appointment or termination transaction count listed, displays the number in the state and for the appointing company that was compiled for appointment termination transactions (i.e., transactions that resulted in inactive appointments.)
- **Total State**: For each appointment or termination transaction count listed, displays the total number in the state and for the appointing company that was compiled for both appointment and appointment termination transactions.
- Active County: For each appointment or termination transaction count listed, displays the number in the state and for the appointing company that was compiled for county appointment transactions (i.e., transactions that resulted in active county appointments.)
- **Inactive County**: For each appointment or termination transaction count listed, displays the number in the state and for the appointing company that was compiled for country appointment termination transactions (i.e., transactions that resulted in inactive county appointments.)
- **Total County**: For each appointment or termination transaction count listed, displays the total number in the state and for the appointing company that was compiled for both county appointment and county appointment termination transactions.

# Page Controls

- **Submit Offline**: Click the **Submit Offline** button to generate the report offline. For more information, see <u>Recent Reports</u>.
- **Cancel**: Click to open the Producer Manager Home page.

# System Information Inquiries

System administrators can monitor the vitality of the Producer Manager system by running **System Information** inquiries.

Inquiries 👻	_
All Reports	
Information •	
Producer Management	
Required Items	
Appointment	
Statistics •	
System Information	Database Processing Messages Inquiry
Producer Hierarchy	Staff Member Status Inquiry
Carrier Requests	Recent Reports
	Producer Data Sources
	Outbound Feed Reference

The System Information sub-menu of the Inquiries menu may offer the following options:

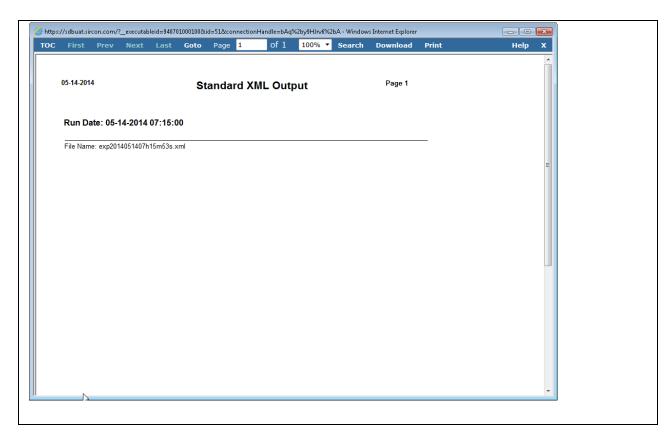
- Database Processing Messages Inquiry
- Staff Member Status Inquiry
- <u>Maintain Offline Inquiries</u>
- Outbound Feed Reference
- Producer Data Sources

An inquiry may be unavailable for selection based on your company's specific deployment of Producer Manager (carrier or agency/brokerage) or the security settings specific to your user account. For more information, see Maintain Security Role.

# Database Processing Messages Inquiry

Use the **Database Processing Messages Inquiry** page to review reports of Outbound Data Feed (OBDF) activity (i.e., integration service between Producer Manager and your company's internal systems) and automated system health jobs. You may view a report to check the status and content of a particular communication or to help troubleshoot communication errors.

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	05-07-2014	12:30 AM	Purge Chgd_Prdcr_Dtl table for 05-07-2	2014 00:30:01			
	05-07-2014	06:03 PM	Standard XML Output				
	05-07-2014	06:05 PM	SDB Communications Program				
	05-07-2014	10:20 PM	Purge WEB_SRVC_RQST table for 05-	07-2014 22:20:00			
	05-06-2014	12:30 AM	Purge Chgd_Prdcr_Dtl table for 05-06-2	2014 00:30:00			
	05-06-2014	06:07 PM	SDB Communications Program			05-13-2014	Valued User
	05-06-2014	10:20 PM	Purge WEB_SRVC_RQST table for 05-	06-2014 22:20:00		05-13-2014	Valued User
	05-06-2014	06:04 PM	Standard XML Output			05-13-2014	Valued User
	05-05-2014	06:04 PM	Standard XML Output				
	05-05-2014	06:05 PM	SDB Communications Program				
	05-05-2014	12:30 AM	Purge Chgd_Prdcr_Dtl table for 05-05-2	2014 00:30:01		05-13-2014	Valued User
	05-05-2014	10:20 PM	Purge WEB_SRVC_RQST table for 05-	05-2014 22:20:01			
	05-02-2014	10:20 PM	Purge WEB_SRVC_RQST table for 05-	02-2014 22:20:00			
	05-02-2014	12:30 AM	Purge Chgd_Prdcr_Dtl table for 05-02-2	2014 00:30:00			
	05-02-2014	06:04 PM	Standard XML Output				
	05-02-2014	06:04 PM	SDB Communications Program				
	05-01-2014		Purge Chgd_Prdcr_Dtl table for 05-01-2				
	05-01-2014		Purge WEB_SRVC_RQST table for 05-	01-2014 22:20:00		05-13-2014	Valued User
	05-01-2014		Standard XML Output				
	05-01-2014	06:06 PM	SDB Communications Program				
Select	All Unpreviewed	Unselect All					Preview Cancel



To open the **Database Processing Messages Inquiry** page, from the <u>Inquiries</u> menu select <u>System Information</u>, and then select **Database Processing Messages Inquiry**.

#### Report Criteria

Fields and controls include the following:

- **Begin Date**: Enter the beginning date of a range of dates in which you want to search for database processing messages. Or, click the **Calendar** button () to open a popup calendar from which you can click to select a date.
- End Date: Enter the ending date of a range of dates in which you want to search for database processing messages. Or, click the **Calendar** button ( ) to open a popup calendar from which you can click to select a date.
- **Search**: Click to perform the inquiry. The system will retrieve a list of database processing messages generated during the selected date range.
- **Cancel**: Click to open the Producer Manager Home page.

# **Report Results**

Displays a list of database processing messages generated during the selected date range, sorted by **Title**. Fields and controls include the following:

- Click to checkmark to view the job details of a selected database processing message.
- **Date**: For each database processing message listed, displays the date on which it was generated.

- **Time**: For each database processing message listed, displays the timestamp in Central Time on which it was generated. Note that messages may not be sorted by **Time** on a given **Date**.
- **Title**: For each database processing message listed, displays the type of database processing message. When the Outbound Data Feed is running properly, the following should display associated with each interval that the OBDF is scheduled to run:
  - **Standard XML Output**: The database job that generates the Outbound Data Feed XML export file. Job details include the name of the XML export file.
  - SDB Communications Program: The database job that encrypts and moves the XML export file to your company's unique directory on the secure FTP server. Job details include information about the number of export files that were successfully generated and errored.
  - **Purge Chgd\_Prdcr\_Dtl table for [***date and time stamp*]: The database job that clears old producer change details records.
  - **Purge WEB\_SRVC\_RQST table for** [*date and time stamp*]: The database job that clears old audit records.
- Last Previewed Date: Available only if a system user has viewed a database processing message. For each database processing message listed, displays the date on which it was most recently reviewed by a system user.
- Last Preview User: Available only if a system user has viewed a database processing message. For each database processing message listed, displays the name of the system user who most recently reviewed it.
- Select All Unpreviewed: Click to checkmark all database processing messages that have not yet been viewed.
- Unselect All: Click to uncheckmark all checkboxes.
- **Preview**: With the checkbox associated with one or multiple messages checkmarked, click to open job details related to the messages in a separate window.
- **Cancel**: Click to open the Producer Manager Home page.

If the **Database Processing Messages Inquiry** for a selected time period includes only entries for Standard XML Output job but not SDB Communications Program, it is likely that there was an XML export file that failed validation and was placed in the rejected directory. Once this happens, the Outbound Data Feed will not create any more files until the rejected file is removed. Select the Standard XML Output entry and view the job output details to confirm. Select to view the job details of a SDB Communications Program entry for any indication of issues transmitting the XML export file. In the job details message, "transactions" means files.

# Staff Member Status Inquiry

Use the **Staff Member Status Inquiry** page to compile a list of active and/or inactive users in Producer Manager that includes system information, such as user name and role.

🗸 🔰 Vertafore	Producer Manager™				Logged in as	Valued User Logout		
nsing - Companies -	Inquiries 👻 Express Service	es - Administration -	_	8	Producer	Quick Search		
II Reports Recent Report	rts Staff Member Status Inquiry							
· · · ·		Member Status Inc	quiry					
G	enerate a list of active and/or inactive users in	n Producer Manager that includes s	ystem information, su	ch as user name and	role.			
		Staff Member Status						
		Active						
		mactive				Spreadsheet View		
				Submit Offline		Report Cancel		
		Home   Help   Contact Us						
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C First Prev	Next Last Goto F	Page <mark>3 of 5</mark>	100% -	Search D	ownload	Print	Help	
		MultiUserT	est Licens	e				-
	04-611							
05-13-2014	Staff Me	ember Status Inc	quiry		Page	e 3 of 5		
Staff Member Status	(es): Inactive (IN)							
User Name	Name	Role(s)	Begin Date	End Date	Status			
jyang	YANG, JUNG	Address View Only, Connie's test role, Josh Test Role, Jungsoo's Test Role, Kelly's Role, Sunny D's Role, Test Role	07-08-2003	10-10-2009	Inactive			
jyang2	Yang, JungTw	Test Role	10-04-2003	10-04-2003	Inactive			
jzook	Zook, Joshua	Other Test Role W Addtl Fields, Role Description, Test Role, Test Secured Fields, YQ Test Role	06-10-2004	06-10-2004	Inactive			
kchen	Chen, Kevin	Test Role	08-14-2008	08-14-2008	Inactive			
KLENNON	Lennon, Karyn	Test Role	10-17-2003	06-29-2012	Inactive			
kloomis	Loomis, Kelly A	Kelly's Role	09-02-2003	06-29-2012	Inactive			
kvanvalin	Van Valin, Karis	God Rights	09-02-2011	06-21-2012	Inactive			
KWATKINS	WATKINS, KATHRYN		06-26-2001	06-26-2001	Inactive			
LASTNAME	LastName, First Middle		01-01-2001	01-01-2002	Inactive			
LDEVITO	DEVITO, LAURA		06-26-2001 06-26-2001	12-11-2008 12-11-2008	Inactive			
LDILLON LDRAGUSTINOVIC	DILLON, LARRY DRAGUSTINOVICH, IRENA		06-26-2001 06-26-2001	12-11-2008 04-30-2002	Inactive Inactive			
H lengthteset	LAST, FIRST M	Kelly's Role	09-11-2003	12-11-2008	Inactive			
LFORRY	Forry, Lisa	Test Role	11-01-2000	11-01-2000	Inactive			
LITEADMIN	dbliteadmin, hello		10-10-2002	06-29-2012	Inactive			
llabarre	LaBarre, Linda Jean	Other Test Role W Addtl Fields, Test Belo, Test3	09-01-2005	06-29-2012	Inactive			
LTEAMER	TEAMER, LORRETTA	Role, Test3	06-26-2001	06-29-2012	Inactive			
MAINTAGREE	maintain, agreements		01-01-2000	06-29-2012	Inactive			
MAINTAPPT	maintain Appt Prof, and types		01-01-2000	06-29-2012	Inactive			
INFAINT AFE'T								

To open the **Staff Member Status Inquiry** page, from the <u>Inquiries</u> menu, select <u>System</u> <u>Information</u> **Inquiries**, and then select **Staff Member Status Inquiry**.

# Report Criteria

Use the following fields:

- **Status**: Select a status type, either Active or Inactive. If no status type is selected, staff member information for all status types will be retrieved.
- **Spreadsheet View**: Click to checkmark the checkbox to output the report in a tabular spreadsheet format, such as Microsoft Excel.

# Report Results

The report includes the following information:

- User Name: For each staff member listed, displays his or her system login name.
- Name: For each staff member listed, displays his or her last name and first name.
- **Role**: For each staff member listed, displays the user roles to which he or she is assigned.
- **Begin Date**: For each staff member listed, displays the date on which his or her user account was created.
- End Date: Available for staff members with a Status of Inactive. For each staff member listed, displays the date on which his or her user account was inactivated.
- **Status**: For each staff member listed, displays the status of his or her account in the system, either Active or Inactive.

# Page Controls

Controls include the following:

- **Submit Offline**: Click to generate the inquiry offline, where it can be retrieved in multiple output formats by any staff member with the permissions to view it. For more information, see <u>Recent Reports</u>.
- View/Refresh Report: Click to generate the inquiry "on demand" in HTML format online. The report will open in the separate <u>Inquiry Output Window</u>.
- **Cancel**: Click to open the Producer Manager Home page.

# Recent Reports

Use the **Recent Reports** tab to view, access, and maintain inquiries that have been generated offline. A report generated offline will display on the **Recent Reports** tab for 30 days or until a user deletes it.

Vertafore Produce	er Manager™		L	UAT	
Licensing - Companies - Inquiries -	Express Services 👻 Administr	ation 👻	Ø* 0	💫 Producer Quick S	Search
All Reports Recent Reports					
	Inquiries will be retained for a period o	f 30 days before being purged	l.	Refres	h Cancel
Delete <u>Name</u>	<b>↑</b> <u>Start Time</u>	Completion Time	Submitted By	<u>Status</u>	Download
Abort Approved Appointments Inquiry	05-13-2014 9:12 AM	-	User, Valued	Running	
Individual Appointments Inquiry	05-13-2014 9:11 AM	05-13-2014 9:12 AM	User, Valued	Succeeded	📆 🐑
License Renewals Due Inquiry	05-13-2014 9:10 AM	05-13-2014 9:11 AM	User, Valued	Succeeded	📆 🐑
Key: 📆 PDF Format 🔌 Excel Format					
Delete				Refres	h Cancel
	Home   Help   Co	ntact Us			

To open the **Recent Reports** tab, use one of the following methods:

• From the Inquiries menu, select All Reports, and then click the Recent Reports tab.

• From the Inquiries menu, select System Information, and then select Recent Reports.

Fields and controls include the following:

- All Reports: Click to open the <u>All Reports</u> page, displaying names and descriptions of all of Producer Manager's built-in reports.
- Abort: Available only for a report with a **Status** of Running. Click to stop processing a report.
- **Delete checkbox**: Click to checkmark the checkbox(es) corresponding to a report(s) you wish to purge from the offline inquiries queue.
- **Delete button**: With the **Delete** checkbox checkmarked corresponding to a report you wish to purge from the **Recent Reports** tab, click to purge the selected reports.
- **Name**: Click the name of a report to open it in the <u>Inquiry Output Window</u>.
- Download: Click the PDF (<sup>1</sup>/<sub>2</sub>) button to open the report in a separate window in PDF format, or click the Excel button (<sup>1</sup>/<sub>2</sub>) to open the report in Microsoft Excel.
- Refresh: Click to update the Recent Reports tab to display new reports or new statuses
- Refresh. Click to update the Recent Reports tab to display new reports of new statuses of existing reports.
- **Cancel**: Click to open the Producer Manager Home page.

# Outbound Feed Reference

The Producer Manager Outbound Data Feed integration service exports an XML file that contains data from all producer records that have been added, updated, or deleted since the last time the Outbound Data Feed file ran. At a configured interval (e.g., daily, twice daily, etc.), Producer Manager generates and encrypts the Outbound Data Feed export file and places it on a secure FTP server for client retrieval. Your company can use the file to keep other internal systems synchronized with Producer Manager or to populate a data warehouse for ad hoc reporting.

The **Outbound Feed Reference** is a report detailing all codes that could potentially be included in the Outbound Data Feed. Its primary use is for a technical IT team to be able to integrate with Vertafore systems, and it is unlikely that the general end-user would need to run this report.

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TOC	First	Prev	Next	Last	Goto	Page 1			100% -	Search	Download Page 1		Print		Help	>
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TOC	10-28-20 <u>Code D</u> SYS_A <u>Cc</u> 01 01 01 01 01 01 02 02 02 02 02 02	09 GY_LIC_T ode Value 1 2 4 6 6 7 8 0 2 3 4 5	YPE_CD De Ins No Pro Lin Lin Ex Life Ge Life	scription urance Pr n-Resider poperty and urance Pr nited Line: nited Line: cess Line cess Line cess Line consulta neral Con	Out Descr Syste oducer It Producer I Casualty oducer En s Insuranc s Credit Ins s credit Ins s ant sultant t & Health ial	bound ription em Agency r Agency tity e Producer	Feed R	eferer	nce	Search					Help	_

To run the **Outbound Feed Reference** report, from the <u>Inquiries</u> menu select <u>System</u> <u>Information</u>, and then select **Outbound Feed Reference**.

The resulting report displays a list of every **Code Domain**, **Code Value**, and **Code Description** included in your company's configuration of the Outbound Data Feed. You can use this information to map data from the feed to data maintained in your company's other systems.

For more information about the Producer Manager Outbound Data Feed, contact your Vertafore representative.

# **Producer Data Sources**

Use the **Producer Data Sources** page to view the results of data uploads to Producer Manager, such as Quick Load Producers operations or <u>anti-money laundering (AML) training</u> request or status file uploads.

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All Reports Recent Reports	Producer Data Sources							
All Reports Recent Reports								
	Pro	oducer Data	a Sources					
	Provides access	to details of AML or	Quick Load batch p	rocesses.				
								Clea
Filter Criteria								
Run Date	Status Source	e						
Begin Date End Date 02-01-2009 04-07-2009			•					
02-01-2009 04-07-2009								
Filename	Staff Mer	nber		_				
			-	-				
							/iew (	Cancel
								Jancer
<u>ilename</u>	Source	Status	<u> ¶Run Date</u>	Staff Member	Errors		Total	Actions
Vagefen.csv	Quick Load Producers	Processed	04/07/2009	Westby, Cliff	0	0	1	<b>2</b>
Nagefen.csv	Quick Load Producers	Processed	04/07/2009	Mason, Michelle	0	0	1	
Vagefen.csv	Quick Load Producers	Processed	04/07/2009	User, Valued	1	0	1	<b>2</b>
Nagefen.csv	Quick Load Producers	Processed	04/07/2009	User, Valued	0	0	1	<b>2</b>
Nagefen.csv	Quick Load Producers	Processed	04/07/2009	User, Valued	1	0	1	<b>2</b>
Nafegen.csv	Quick Load Producers	Processed	04/07/2009	User, Valued	1	0	1	
Quickload.csv	Quick Load Producers	Processed	04/07/2009	User, Valued	1	0	2	<b>2</b>
SomeGoodSomeBad.csv	Quick Load Producers	Processed	04/07/2009	User, Valued	2	0	7	
PM3910.csv	Quick Load Producers	Processed	03/27/2009	User, Valued	0	0	1	
PM3910.csv	Quick Load Producers	Processed	03/27/2009	User, Valued	0	0	1	
PM3910.csv	Quick Load Producers	Processed	03/27/2009	User, Valued	0	0	1	
PM3910.csv	Quick Load Producers	Processed	03/27/2009	User, Valued	0	0	1	
/acMonster&DatFirm.csv /acMonster&DatFirm.csv	Quick Load Producers Quick Load Producers	Processed Processed	02/20/2009	Mason, Michelle Mason, Michelle	2	0	2	
Ipload.csv	AML (LIMRA)	Processed	02/20/2009	Mason, Michelle User, Valued	1	0	2	
asdf.csv	Quick Load Producers	Processed	02/19/2009	User, Valued	0	0	1	
ipload.csv	Quick Load Producers	Processed	02/19/2009	User, Valued	0	0	1	
ipload.csv	Quick Load Producers	Processed	02/19/2009	User, Valued	0	0	1	
New Microsoft Visio Drawing.csv	Quick Load Producers	Processed	02/19/2009	Mason, Michelle	0	0	0	
QuickLoad.csv	Quick Load Producers	Processed	02/03/2009	Mason, Michelle	87	0	150	
Key: 🗃 = View Processing Results	dates 2000 110000013	110003360	02/00/2003	mason, monene	07		150	

To open the **Producer Data Sources** page, from the <u>Inquiries</u> menu select <u>System Information</u>, and then select **Producer Data Sources**.

Fields and controls on the **Producer Data Sources** page include the following:

- Clear: Click to remove all filter criteria currently selected in the fields.
- **Filter Criteria**: Contains fields and controls for narrowing the set of records displaying in the table of files at the bottom of the page. They include the following:
  - Run Date: Enter a date range to filter the display of files in the table at the bottom of the page. Enter the first date in the range in the Begin Date field and the last date in the date range in the End Date field. Use the *mmddyyyy* date format. Or, click the Calendar button () to open a popup calendar from which you can click to select a date.
  - **Status**: Select from the dropdown menu a status by which to filter the table of files at the bottom of the page.
  - **Source**: Select from the dropdown menu a file source by which to filter the table of files at the bottom of the page.
  - Filename: Enter a specific file name for which you want to view processing results.
  - **Staff Member**: Select from the dropdown menu a staff member by which to filter the table of files at the bottom of the page.
- View: Click the View button to filter the table of files using your filter criteria.

- Cancel: Click the Cancel button to open the Producer Manager Home page.
- Actions: Click the View Processing Messages button (<sup>III</sup>) to open the <u>Processing</u> <u>Results</u> page, where you can view the results of the selected file.
- First/Prev: Click to navigate to the beginning or final page in the table of file records.
- **Next/Last**: Click to navigate to the preceding or succeeding page in the table of file records.
- [Page Number]: Click a specific page number to navigate to a specific page in table set of file records.

# **Processing Results**

Use the **Processing Results** page to view the results of a Quick Load Producers operation or anti-money laundering (AML) education request or status file upload that you selected on the <u>Producer Data Sources</u> page.

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All Reports Recent Report	s Producer Data	Sources				
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Processing results for the select						
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ORINDIV3.csv	PD	B P100	cessed 11-04-200	Valued Osel		
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Filter Criteria Producer Type Last Na	me/Firm Name	S SN/EIN	Status			
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↓ <u>Name</u>	TIN	Producer Type	<u>Status</u>	Processing Messages	Actions	
AMOS	*****0000	Individual	Processed	1 message	T 🔼 🕰	
ANDREESSEN	*****0000	Individual	Processed		📲 📥 💁	
BENSON	*****0000	Individual	Processed		📆 🛆 💁	
BROTHERSON	*****0000	Individual	Processed		📲 📥 💁	
BROTHERSON	*****0000	Individual	Processed	1 message	🖷 <u> </u>	
BURNS	*****0000	Individual	Processed		<b>* A</b>	
CAROLLO	*****0000	Individual	Processed		۳ 🛆 🕰	
CASTELLAW	*****0000	Individual	Processed	Sync Producer was already up-to-date with PDB. No synchronization with PDB was necessary.		
CAYLOR	*****0000	Individual	Processed		📆 🔺 💁	
Conrad	*****0000	Individual	Error	Sync A matching record with the TIN *****6068 could not be located within PDB	T 🛆 🕰	
FRIEDENBACH	*****0000	Individual	Processed		📆 🔔 💁	
GIBBONS	*****0000	Individual	Processed		📲 🔔 💁	
GUTHRIE-STENHJEM	*****0000	Individual	Processed		📲 🚣 💁	
HAUGEN	*****0000	Individual	Processed		📲 📥 💁	
HELGENBERGER	*****0000	Individual	Processed		📲 🚣 💁	
HENRY	*****0000	Individual	Processed		📲 📥 💁	
HUFFMAN	*****0000	Individual	Processed		<b>* A</b>	
HUTTON	*****0000	Individual	Processed	PDB Report Appointment: Doesn't Appoint By LOA appointment wit INSURANCE COMPANY (20687) in Tennessee does not have the necessary supporting license(s) and/or qualification(s).	ግ 🔔 🔍 h	
JENKINS	*****0000	Individual	Processed	1 message	🖷 🔼 🔍	
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Key: 📲 View PDB Report 🛕 Sho	w/Hide Processing Mes	sages 🔹 View Reconcilia	ation Details			
2 results found, displaying 1 to 20.				[First/Prev]	1, 2, 3, 4 [Next/Last]	

To open the **Processing Results** page, use one of the following methods:

- Submit a Quick Load Producers operation.
- On the <u>Producer Data Sources</u> page, click the **View Processing Messages** () button in the **Actions** column corresponding to a selected file.

The **Processing Results** page contains the following sections:

# Filter Criteria

- **Record Summary**: Displays summary information about the selected file, including **Source**, **Status**, **Run Date**, and **Staff Member**.
- **Clear**: Click to remove all filter criteria currently selected in the fields.
- **Filter Criteria**: Contains fields and controls for narrowing the set of producer records displaying in the table of records at the bottom of the page. They include the following:
  - **Producer Type**: Select from the dropdown menu the type of producer, either Individual or Firm, by which you want to filter the table of producer records at the bottom of the page.

- **Last Name/Firm Name**: Enter the specific last name or firm name of the producer record you want to review. You may enter as few as two characters. You may also use a wildcard (%) in combination with other letters.
- **SSN/EIN**: Enter the specific tax identification number of the producer whose record you want to review.
- **Status**: Select from the dropdown menu a status by which you want to filter the table of producer records at the bottom of the page.
- View: Click the View button to filter the table of files using your filter criteria.
- **Return**: Click the **Return** button to re-open the <u>Producer Data Sources</u> page.

### Search Results

Actions: For a selected producer record, click the **View PDB Report** button (\*\*) to open the PDB report that was used to add the producer record. Or, click the **Show/Hide Processing Messages** button (<sup>(A)</sup>) to toggle on or off the display of system messages in the **Messages** column of the producer records table.

# Page Controls

- **First/Prev**: Click to navigate to the beginning or final page in the table of producer records.
- **Next/Last**: Click to navigate to the preceding or succeeding page in the table of producer records.
- [Page Number]: Click a specific page number to navigate to a specific page in the table of producer records.

For producer records with a status of Processed, you can click the blue text link appearing in the **Last Name/Firm Name** column to open the producer record in the Review/Update Producer page.

# **Producer Hierarchy Inquiries**

Producer lifecycle events can have broad implications when agreements tie a producer to others up or down a distribution chain. Run **Producer Hierarchy** inquiries to help make these sometimes-complicated connections more manageable.

Inquiries 🔻	
All Reports	
Information >	
Producer Management >	
Required Items	
Appointment >	
Statistics >	
System Information $ ightarrow$	
Producer Hierarchy	License Renewals Due
Carrier Requests	New Producer Inquiry
	Producer Appointment Inquiry
	Report of Producers in a Hierarchy
	Producers with Missing Upline Hierarchy

The **Producer Hierarchy** sub-menu of the <u>Inquiries</u> menu may offer the following options:

- License Renewals Due Inquiry
- New Producer Inquiry
- Producer Appointment Inquiry
- Report of Producers in a Hierarchy
- Producers with Missing Upline Hierarchy

An inquiry may be unavailable for selection based on your company's specific deployment of Producer Manager (carrier or agency/brokerage) or the security settings specific to your user account. For more information, see Maintain Security Role.

# License Renewals Due Inquiry

Run the **License Renewals Due Inquiry** to find out which producers have licenses that are coming up for renewal. If desired, filter the report by license state, business unit, or responsible staff member.

You also can limit the report results to include only producers with recorded agreements that tie them to a specific upline producer.

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To open the License Renewals Due page, from the <u>Inquiries</u> menu select <u>Producer Hierarchy</u>, and then select License Renewals Due.

The License Renewals Due page contains the following sections:

# Report Criteria

Use the filter fields to enter report criteria and tailor the report results to suit your needs.

Fields and controls include the following:

- **Due Dates**: *Required.* Enter a date range in which to search for license renewals due. Enter the following:
  - From: Enter the first date of a date range in which to search for the value of the Expiration Date field in producer license information. Use the *mmddyyyy* date format. Or, click the Calendar button (2) to open a popup calendar from which you can click to select a date.
  - to: Enter the last date of a date range in which to search for the value of the Expiration Date field in producer license information. Use the *mmddyyyy* date format. Or, click the Calendar button () to open a popup calendar from which you can click to select a date.
- **Producer Status**: To report license renewals due regardless of reported producers' record status in Producer Manager, make no selection from the dropdown menu. Or, to filter the report to include only license renewals due for producers with a particular record status in Producer Manager, select the status from the dropdown menu. (For more information, see Details.)
- **State**: To report license renewals due in all states, make no selection from the dropdown menu. Or, to filter the report to include only license renewals due in a particular state, select the state name from the dropdown menu.
- License Status: To report license renewals due regardless of the active or inactive status of the license, make no selection from the dropdown menu. Or, to filter the report to include only license renewals due for active licenses, select Active from the dropdown menu. Or, to filter the report to include only license renewals due for inactive or lapsed licenses, select Inactive from the dropdown menu.
- **Qualifications**: To report license renewals due without regard to lines of authority (qualifications) criteria, make no selection from the box. Or, to filter the report to include license renewals due relating only to one or multiple lines of authority, click to select one or multiple qualifications in the box. To select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select.
- **Business Units**: To report license renewals due without regard to producer business unit criteria, make no selection from the box. Or, to filter the report to include only license renewals due for producers assigned to one or multiple business units, click to select one or multiple business unit short names in the box. To select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select.
- Include "Do Not Contract": Click to checkmark the checkbox to include producers with a Rate This Producer rating of "Do Not Contract." (For more information, see Details.)

# Hierarchy Downline

You can filter the report to include license renewals due only for producers who report to another producer in a contractual agreement or a reporting or compensation hierarchy.

To identify an upline producer, click the **specific producer** link. Then, use the **Search Producer** page to search for a single producer record or set of records that match one or more of the criteria entered in the **Search Fields**.

The **Search Producer** page consists of the following sections:

### Producer Type

Use the **Producer Type** field to identify whether you are searching for individual or firm (agency) producer records.

Controls include the following:

- Individual Licensee: *Default*. Click the radio button to initiate a search for an individual producer record. The page will refresh to display unique individual producer **Search Fields**.
- **Firm**: Click the radio button to initiate a search for a firm producer record. The page will refresh to display unique firm producer **Search Fields**.

#### Search Fields

Use the **Search Fields** to enter search criteria for one or multiple producer records, either individual or firm. At least one search criterion is required.

- Last: *Individual producers only*. Enter a search string on individual producer last name. You may use as few as two characters in your search string. Wildcard characters are not allowed. May not contain numeric characters or double quotation marks (").
- Firm Name: *Firm producers only*. Enter a search string on firm name. You may use as few as two characters in your search string. May contain numeric characters. Wildcard characters are not allowed. May not contain double quotation marks (").
- First: *Individual producers only*. Must be used in combination with Last name criterion. You may use as few as one character in your search string. Wildcard characters are not allowed. May not contain numeric characters or double quotation marks (").
- **Middle**: *Individual producers only*. Must be used in combination with **Last** name criterion. You may use as few as one character in your search string. Wildcard characters are not allowed. May not contain numeric characters or double quotation marks (").
- **SSN**: *Individual producers only*. Enter a producer's entire Social Security Number. Partial searches not allowed. Maximum 9 characters without separating hyphens or 11 characters with two separating hyphens.
- **EIN**: *Firm producers only*. Enter a producer's entire Federal Employer Identification Number. Partial searches not allowed. Maximum 9 characters without a separating hyphen or 10 characters with a separating hyphen.
- **NPN**: Enter a producer's entire National Producer Number. Partial searches not allowed. Maximum 10 characters.
- Active Business Unit: Select from the dropdown menu an the short name of an active business unit to which a producer is assigned. May not be the only search criterion.

- License Number: Enter the entire number of a producer's state license, either active or inactive. Partial searches not allowed. Maximum 15 characters.
- License State: Select from the dropdown menu a state in which a producer holds an active or inactive license.
- External System ID: Enter a producer's entire external system ID code, including leading zeroes, either active or inactive. Partial searches not allowed. Maximum 22 characters.
- Primary External ID Only: Click to checkmark the checkbox to constrain a search using an External System ID criterion to only those external system IDs marked as a "primary" ID on a producer's record. The search will ignore a match on an External System ID that is not marked as "primary." (For more information, see Maintain External System Identifiers.)
- **Records Per Page**: If multiple records met your search criteria, the default number of records displayed per page of results is 10. From the dropdown menu, select a value in increments of 10 up to 50 and then execute or re-execute the search to display a number of records up to the selected value in the **Search Results** sub-section.
- Search: Click to execute the search based on the entered search criteria. If only one producer record met your search criteria, the Search Producer page will close, and the name of the selected producer will display in the Parent Producer Name field on the License Renewals Due Inquiry page. If multiple records met your search criteria, they will display in the Search Results section.
- **Cancel**: Click to abort the page operation and open the Producer Manager Home page.

# Search Results

If multiple producer records met your search criteria, they will display in the **Search Results** section of the **Search Producer** page.

- Name: For each listed producer record, displays a producer name as a blue hyperlink. Click a desired producer Name hyperlink. The Search Producer page will close, and the name of the selected producer will display in the Parent Producer Name field on the License Renewals Due Inquiry page. Click the column heading to toggle alphabetic or reverse alphabetic sorting of the Search Results on the Name field.
- **SSN**: *Individual producer searches only*. For each listed producer record, displays a producer's Social Security Number. Click the column heading to toggle highest-to-lowest or lowest-to-highest sorting of the **Search Results** on the **SSN** field.
- **EIN**: *Firm producer searches only*. For each listed producer record, displays a producer's federal Employer Identification Number. Click the column heading to toggle highest-to-lowest or lowest-to-highest sorting of the **Search Results** on the **EIN** field.
- License State/#: For each listed producer record, displays the state codes of the states in which a producer holds at least one active or inactive license and the corresponding license numbers. Click the node (⊞) to expand the record row to display all of the producer's license state and number information. Click the node (⊟) to collapse the information.

- NPN: For each listed producer record, displays a producer's National Producer Number. Click the column heading to toggle highest-to-lowest or lowest-to-highest sorting of the Search Results on the NPN field.
- Active BU: For each listed producer record, displays the name of the business unit(s) with which a producer is actively associated. Click the node (⊞) to expand the record row to display all of the producer's business unit information. Click the node (⊟) to collapse the information.
- **City**: For each listed producer record, displays the producer's mailing address city. Click the column heading to toggle alphabetic or reverse alphabetic sorting of the **Search Results** on the **City** field.
- State: For each listed producer record, displays the producer's mailing address state. Click the column heading to toggle alphabetic or reverse alphabetic sorting of the Search Results on the State field.
- **Displaying** [v] [w] (of [x] matching records): Displays the range in numbers of producer records currently displaying in the **Search Results** sub-section out of the total number of producer records returned by a search.
- **Page [y] of [z]**: Displays the number of the page currently displaying out of the total number of pages of producer records returned by a search.
- **Go To Page**: Available only when more than 10 records are returned by a search, resulting in multiple pages of **Search Results**. Select from the dropdown menu the number of the page of producer records to which you wish to navigate.
- Go: Click to navigate to the page number of **Search Results** selected in the Go To Page dropdown menu.

# **Report Results**

Displays information about producer licenses with expiration dates that fall within the date range entered in the **Report Criteria** section. Results may be narrowed by selected filter criteria.

Results include the following data fields:

- **Sircon ID**: For each producer with one or multiple licenses that met the report criteria, displays the producer's Producer Manager record ID. (For more information, see Details.)
- **Producer ID**: For each producer with one or multiple licenses that met the report criteria, displays the producer's primary external system ID.
- Last Name: For each individual producer with one or multiple licenses that met the report criteria, displays the producer's last name.
- **First Name**: For each individual producer with one or multiple licenses that met the report criteria, displays the producer's first name.
- **Middle Name**: For each individual producer with one or multiple licenses that met the report criteria, displays the producer's middle name.
- **Suffix**: For each individual producer with one or multiple licenses that met the report criteria, displays the producer's name suffix.
- **Firm Name**: For each firm producer with one or multiple licenses that met the report criteria, displays the name of the firm producer.

- **SSN/EIN**: For an individual producer, displays the producer's Social Security Number. For a firm producer, displays the producer's Federal Employer Identification Number.
- **License State**: For each producer with one or multiple licenses that met the report criteria, displays the name of the license state.
- **License Number**: For each producer with one or multiple licenses that met the report criteria, displays the state license number or identifier.
- License Status: For each producer with one or multiple licenses that met the report criteria, displays the license's current status in Producer Manager.
- **License Type**: For each producer with one or multiple licenses that met the report criteria, displays the license's state-specific name or description.
- **Original Issue Date**: For each producer with one or multiple licenses that met the report criteria, displays the license's original date of issue.
- **Expiration Date**: For each producer with one or multiple licenses that met the report criteria, displays the state-regulated date on which the license expires. Also known as the "renewal date."
- **Business Units**: For each producer with one or multiple licenses that met the report criteria, displays the short name of the business unit to which the producer is actively assigned.
- **Related Active Quals**: For each producer with one or multiple licenses that met the report criteria, displays the active qualifications (lines of authority of LOA) related to the license.
- **Highest Upline**: For each producer with one or multiple licenses that met the report criteria, displays the name and primary external system ID of the highest upline producer in the reported producer's contractual agreement or reporting/compensation hierarchy.
- Additional Producer Type: For each producer with one or multiple licenses that met the report criteria, displays the role of an additional producer in the reported producer's contractual agreement or reporting/compensation hierarchy.
- Additional Producer: For each producer with one or multiple licenses that met the report criteria, displays the name of an additional producer in the reported producer's contractual agreement or reporting/compensation hierarchy.

# Page Controls

Controls include the following:

- **remove**: Click to remove a selected upline producer as filter criteria.
- **Submit Offline**: Click to generate the inquiry offline, where it can be retrieved in multiple output formats by any staff member with the permissions to view it. For more information, see <u>Recent Reports</u>.
- **Cancel**: Click to open the Producer Manager Home page.

Results of the **License Renewals Due Inquiry** may contain unmasked, full Social Security Number information for individual producers. It is not possible to configure the system to mask or hide these values in the report results. However, using a security role setting, a user with administrator permissions may deny other users the permission to run this inquiry or view inquiry results requested by other users. For more information, see Maintain Security Role.

The License Renewals Due Inquiry automatically generates in tabular format. Always click the **Excel Format** () button on the <u>Recent Reports</u> page to view the results in a spreadsheet.

If a reported producer is assigned to multiple business units, the report results may include multiple record rows per license (i.e., one row per business unit).

The **License Renewals Due Inquiry** reports license information only as recorded in your company's instance of Producer Manager. It does not verify license information directly with state records. However, if your company is using Producer Manager's automated data reconciliation utilities (such as Scheduled Syncs) to keep producer license data refreshed continually, the **License Renewals Due Inquiry** report results should be synchronized with state records.

# New Producer Inquiry

Run the **New Producer Inquiry** to locate new producers added to the system in a selected timeframe. If desired, filter the report by producer status or business unit.

You can limit the report to show only producers with recorded agreements that tie them to a specific upline producer. The report results display producers' highest uplines in the hierarchy.

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To open the **New Producer Inquiry** page, from the <u>Inquiries</u> menu select <u>Producer Hierarchy</u>, and then select **New Producer Inquiry**.

The **New Producer Inquiry** page contains the following sections:

### Report Criteria

Use the filter fields to enter report criteria and tailor the report results to suit your needs.

- **Created Date**: *Required.* Enter a date range in which to search for producer records added to the system. Enter the following:
  - From: Default is date 30 days prior to the current date. Enter the first date of a date range in which to search for the value of the Created Date field (a Vertafore-maintained database field, not visible in Producer Manager). Use the *mmddyyyy* date format. Or, click the Calendar button () to open a popup calendar from which you can click to select a date.
  - to: Default is current date. Enter the last date of a date range in which to search for the value of the Created Date field (a Vertafore-maintained database field, not visible in Producer Manager). Use the *mmddyyyy* date format. Or, click the Calendar button () to open a popup calendar from which you can click to select a date.
- **Producer Status**: To report new producers regardless of reported producers' record status in Producer Manager, make no selection from the dropdown menu. Or, to filter the report to include only new producers with a particular record status in Producer Manager, select the status from the dropdown menu. (For more information, see Details.)
- **Business Units**: To report new producers without regard to producer business unit criteria, make no selection from the box. Or, to filter the report to include only new producers assigned to one or multiple business units, click to select one or multiple business unit short names in the box. To select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select.

### Hierarchy Downline

You can filter the report to include only new producers who report to another producer in a contractual agreement or a reporting or compensation hierarchy.

To identify an upline producer, click the **specific producer** link. Then, use the **Search Producer** page to search for a single producer record or set of records that match one or more of the criteria entered in the **Search Fields**.

The **Search Producer** page consists of the following sections:

### Producer Type

Use the **Producer Type** field to identify whether you are searching for individual or firm (agency) producer records.

Controls include the following:

- Individual Licensee: *Default*. Click the radio button to initiate a search for an individual producer record. The page will refresh to display unique individual producer **Search Fields**.
- **Firm**: Click the radio button to initiate a search for a firm producer record. The page will refresh to display unique firm producer **Search Fields**.

### Search Fields

Use the **Search Fields** to enter search criteria for one or multiple producer records, either individual or firm. At least one search criterion is required.

- Last: *Individual producers only*. Enter a search string on individual producer last name. You may use as few as two characters in your search string. Wildcard characters are not allowed. May not contain numeric characters or double quotation marks (").
- **Firm Name**: *Firm producers only*. Enter a search string on firm name. You may use as few as two characters in your search string. May contain numeric characters. Wildcard characters are not allowed. May not contain double quotation marks (").
- First: *Individual producers only*. Must be used in combination with Last name criterion. You may use as few as one character in your search string. Wildcard characters are not allowed. May not contain numeric characters or double quotation marks (").
- **Middle**: *Individual producers only*. Must be used in combination with **Last** name criterion. You may use as few as one character in your search string. Wildcard characters are not allowed. May not contain numeric characters or double quotation marks (").
- **SSN**: *Individual producers only*. Enter a producer's entire Social Security Number. Partial searches not allowed. Maximum 9 characters without separating hyphens or 11 characters with two separating hyphens.
- **EIN**: *Firm producers only*. Enter a producer's entire Federal Employer Identification Number. Partial searches not allowed. Maximum 9 characters without a separating hyphen or 10 characters with a separating hyphen.
- **NPN**: Enter a producer's entire National Producer Number. Partial searches not allowed. Maximum 10 characters.
- Active Business Unit: Select from the dropdown menu an the short name of an active business unit to which a producer is assigned. May not be the only search criterion.
- License Number: Enter the entire number of a producer's state license, either active or inactive. Partial searches not allowed. Maximum 15 characters.
- License State: Select from the dropdown menu a state in which a producer holds an active or inactive license.
- External System ID: Enter a producer's entire external system ID code, including leading zeroes, either active or inactive. Partial searches not allowed. Maximum 22 characters.
- Primary External ID Only: Click to checkmark the checkbox to constrain a search using an External System ID criterion to only those external system IDs marked as a "primary" ID on a producer's record. The search will ignore a match on an External System ID that is not marked as "primary." (For more information, see Maintain External System Identifiers.)
- **Records Per Page**: If multiple records met your search criteria, the default number of records displayed per page of results is 10. From the dropdown menu, select a value in increments of 10 up to 50 and then execute or re-execute the search to display a number of records up to the selected value in the **Search Results** sub-section.
- Search: Click to execute the search based on the entered search criteria.
- If only one producer record met your search criteria, the name of the selected producer will display in the **Parent Producer Name** field on the **New Producer Inquiry** page.

- If multiple records met your search criteria, they will display in the **Search Results** section.
- **Cancel**: Click to abort the page operation and open the Producer Manager Home page.

### Search Results

If multiple producer records met your search criteria, they will display in the **Search Results** section of the **Search Producer** page.

- **Name**: For each listed producer record, displays a producer name as a blue hyperlink. You may perform one of the following options:
  - Click a desired producer Name hyperlink. The Search Producer page will close, and the name of the selected producer will display in the Parent Producer Name field on the New Producer Inquiry page.
  - Click the column heading to toggle alphabetic or reverse alphabetic sorting of the **Search Results** on the **Name** field.
- **SSN**: *Individual producer searches only*. For each listed producer record, displays a producer's Social Security Number. Click the column heading to toggle highest-to-lowest or lowest-to-highest sorting of the **Search Results** on the **SSN** field.
- **EIN**: *Firm producer searches only*. For each listed producer record, displays a producer's federal Employer Identification Number. Click the column heading to toggle highest-to-lowest or lowest-to-highest sorting of the **Search Results** on the **EIN** field.
- License State/#: For each listed producer record, displays the state codes of the states in which a producer holds at least one active or inactive license and the corresponding license numbers. Click the node (⊞) to expand the record row to display all of the producer's license state and number information. Click the node (⊟) to collapse the information.
- NPN: For each listed producer record, displays a producer's National Producer Number. Click the column heading to toggle highest-to-lowest or lowest-to-highest sorting of the Search Results on the NPN field.
- Active BU: For each listed producer record, displays the name of the business unit(s) with which a producer is actively associated. Click the node (⊞) to expand the record row to display all of the producer's business unit information. Click the node (⊟) to collapse the information.
- **City**: For each listed producer record, displays the producer's mailing address city. Click the column heading to toggle alphabetic or reverse alphabetic sorting of the **Search Results** on the **City** field.
- State: For each listed producer record, displays the producer's mailing address state. Click the column heading to toggle alphabetic or reverse alphabetic sorting of the Search Results on the State field.
- **Displaying** [v] [w] (of [x] matching records): Displays the range in numbers of producer records currently displaying in the **Search Results** sub-section out of the total number of producer records returned by a search.

- **Page [y] of [z]**: Displays the number of the page currently displaying out of the total number of pages of producer records returned by a search.
- **Go To Page**: Available only when more than 10 records are returned by a search, resulting in multiple pages of **Search Results**. Select from the dropdown menu the number of the page of producer records to which you wish to navigate.
- Go: Click to navigate to the page number of **Search Results** selected in the Go To Page dropdown menu.

### Report Results

Displays information about producer records created within the date range entered in the **Report Criteria** section. Results may be narrowed by selected filter criteria.

Results include the following data fields:

- **Created Date**: For each producer record that met the report criteria, displays the producer's record creation date and time.
- **Producer ID**: For each producer record that met the report criteria, displays the producer's primary external system ID.
- Last Name: For each individual producer record that met the report criteria, displays the producer's last name.
- **First Name**: For each individual producer record that met the report criteria, displays the producer's first name.
- **Middle Name**: For each individual producer record that met the report criteria, displays the producer's middle name.
- **Suffix**: For each individual producer record that met the report criteria, displays the producer's name suffix.
- **Firm Name**: For each firm producer record that met the report criteria, displays the name of the firm producer.
- License Status: For each producer record that met the report criteria, displays the producer's record status in Producer Manager (not the status of a producer's license). (For more information, see Details.)
- **Resident State(s)**: For each producer record that met the report criteria, displays the producer's license state(s) of residence. (For more information, see Resident States.)
- **Business Units**: For each producer record that met the report criteria, displays the short name of the business unit to which the producer is actively assigned.
- **Doing Business As (DBA) Alias**: For each producer record that met the report criteria, displays the producer's alternate business identity.
- **Preferred Address Line 1**: For each producer record that met the report criteria, displays first line address information for the address type selected as the **Communication Preference** on the producer's record. (For more information, see Maintain Contact Information.)
- **Preferred Address Line 2**: For each producer record that met the report criteria, displays second line address information for the address type selected as the

**Communication Preference** on the producer's record. (For more information, see Maintain Contact Information.)

- **Preferred Address City:** For each producer record that met the report criteria, displays • the address city of the address type selected as the **Communication Preference** on the producer's record. (For more information, see Maintain Contact Information.)
- Preferred Address Postal Code: For each producer record that met the report criteria. displays the address postal or ZIP code of the address type selected as the Communication Preference on the producer's record. (For more information, see Maintain Contact Information.)
- Preferred Phone: For each producer record that met the report criteria, displays the phone number of the phone type selected as the **Communication Preference** on the producer's record. (For more information, see Maintain Contact Information.)
- Email Address: For each producer record that met the report criteria, displays the • producer's email address. (For more information, see Maintain Contact Information.)
- **Highest Upline**: For each producer record that met the report criteria, displays the name and primary external system ID of the highest upline producer in the reported producer's contractual agreement or reporting/compensation hierarchy.
- Additional Producer Type: For each producer record that met the report criteria, displays the role of an additional producer in the reported producer's contractual agreement or reporting/compensation hierarchy.
- Additional Producer: For each producer record that met the report criteria, displays the • name of an additional producer in the reported producer's contractual agreement or reporting/compensation hierarchy.

### **Page Controls**

Controls include the following:

- **remove**: Click to remove a selected upline producer as filter criteria.
- Submit Offline: Click to generate the inquiry offline, where it can be retrieved in multiple output formats by any staff member with the permissions to view it. For more information, see Recent Reports.
- **Cancel**: Click to open the Producer Manager Home page.

The New Producer Inquiry automatically generates in tabular format. Always click the Excel **Format** (<sup>III</sup>) button on the <u>Recent Reports</u> page to view the results in a spreadsheet.

The name of a reported producer's **Highest Upline** will not display in the report results, if the highest upline producer is associated with a business unit with which the reported producer is not associated.

You can use the **New Producer Inquiry** to generate lists and counts of new agents doing business in a state per month.

### Producer Appointment Inquiry

Run the **Producer Appointment Inquiry** to review all appointment and termination activity for all producers or just one producer in your system during a given timeframe. You can limit the report to show appointment and termination activity only for producers whose agreements tie them to a specific upline producer.

If desired, filter the report by one or multiple states, statuses, staff members, business units, and/or companies. The report output displays producers' highest uplines in the hierarchy.

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To open the **Producer Appointment Inquiry** page, from the <u>Inquiries</u> menu select <u>Producer</u> <u>Hierarchy</u>, and then select **Producer Appointment Inquiry**.

The Producer Appointment Inquiry page contains the following sections:

### Report Criteria

Use the filter fields to enter report criteria and tailor the report results to suit your needs.

- **Appointment/Termination**: *Required.* Enter a date range during which reported producers either were appointed or terminated. Enter the following:
  - Begin Date: Default is 30 days prior to the current date. Enter the first date of a date range in which to search in producer appointments information for the value of the Active Date field where the value of the Status field is Active or the value of the Termination Date field where the value of the Status field is Inactive. Use the *mmddyyyy* date format. Or, click the Calendar button (IP) to open a popup calendar from which you can click to select a date.
  - End Date: Default is the current date. Enter the last date of a date range in which to search in producer appointments information for the value of the Active Date field where the value of the Status field is Active or the value of the Termination Date field where the value of the Status field is Inactive. Use the *mmddyyyy* date format. Or, click the Calendar button ()) to open a popup calendar from which you can click to select a date.
- External System ID: To report appointments and terminations without regard to producer external system ID criteria, leave the field blank. Or, to filter the report results to include only appointments and terminations of producers assigned a specific external system ID code, enter the code in the field.
- **Primary Only**: When filtering the report results to include only appointments and terminations of producers assigned a specific external system ID code, leave the checkbox uncheckmarked to ignore whether the entered external system ID is set as a primary identifier. Or, to filter the report results to include only appointments and terminations of producers assigned a specific external system ID code that is set as a primary identifier, click to checkmark the checkbox.
- State(s): To report appointments and terminations without regard to the state in which reported producers were appointed or terminated during the selected date range, make no selection from the box. Or, to filter the report results to include only reported producers who were appointed or terminated in a specific state(s) during the selected date range, click to select one or multiple state names in the box. To select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select.
- Status(es): To report appointments and terminations without regard to the current values of the Status or Submit Status fields in reported producers' appointments information, make no selection from the box. Or, to filter the report results to include only reported producers with a specific combination of values in the Status and Submit Status fields in their records' appointments information, click to select one or multiple Status/Submit Status combinations in the box. To select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select.
- Submitting Staff Member(s): To report appointments and terminations without regard to the staff member who submitted or recorded the appointments or terminations, make no selection from the box. Or, to filter the report results to include only appointments and

terminations submitted or recorded by a specific staff member, click to select one or multiple staff member names in the box. To select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select.

- Business Unit(s): To report appointments and terminations without regard to reported
  producers' business unit criteria, make no selection from the box. Or, to filter the report
  results to include only appointments or terminations of reported producers assigned to
  one or multiple business units, click to select one or multiple business unit short names
  in the box. To select multiples, press the CTRL key on your keyboard while clicking; click
  again while pressing the CTRL key to de-select.
- Active Writing Companies: To report appointments and terminations without regard to the appointing companies in your carrier group that appointed the reported producers, make no selection from the box. Or, to filter the report results to include only appointments and terminations of producers appointed by one or multiple of your carrier group's appointing companies, click to select one or multiple appointing company names in the box. To select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select.

### Hierarchy Downline

You can filter the report to include only producers who report to another producer in a contractual agreement or a reporting or compensation hierarchy.

To identify an upline producer, click the **specific producer** link. Then, use the **Search Producer** page to search for a single producer record or set of records that match one or more of the criteria entered in the **Search Fields**.

The **Search Producer** page consists of the following sections:

#### Producer Type

Use the **Producer Type** field to identify whether you are searching for individual or firm (agency) producer records.

Controls include the following:

- Individual Licensee: *Default*. Click the radio button to initiate a search for an individual producer record. The page will refresh to display unique individual producer **Search Fields**.
- **Firm**: Click the radio button to initiate a search for a firm producer record. The page will refresh to display unique firm producer **Search Fields**.

### Search Fields

Use the **Search Fields** to enter search criteria for one or multiple producer records, either individual or firm. At least one search criterion is required.

Fields and controls include the following:

• Last: Individual producers only. Enter a search string on individual producer last name. You may use as few as two characters in your search string. Wildcard characters are not allowed. May not contain numeric characters or double quotation marks (").

- **Firm Name**: *Firm producers only*. Enter a search string on firm name. You may use as few as two characters in your search string. May contain numeric characters. Wildcard characters are not allowed. May not contain double quotation marks (").
- **First**: *Individual producers only*. Must be used in combination with **Last** name criterion. You may use as few as one character in your search string. Wildcard characters are not allowed. May not contain numeric characters or double quotation marks (").
- **Middle**: *Individual producers only*. Must be used in combination with **Last** name criterion. You may use as few as one character in your search string. Wildcard characters are not allowed. May not contain numeric characters or double quotation marks (").
- **SSN**: *Individual producers only*. Enter a producer's entire Social Security Number. Partial searches not allowed. Maximum 9 characters without separating hyphens or 11 characters with two separating hyphens.
- **EIN**: *Firm producers only*. Enter a producer's entire Federal Employer Identification Number. Partial searches not allowed. Maximum 9 characters without a separating hyphen or 10 characters with a separating hyphen.
- **NPN**: Enter a producer's entire National Producer Number. Partial searches not allowed. Maximum 10 characters.
- Active Business Unit: Select from the dropdown menu an the short name of an active business unit to which a producer is assigned. May not be the only search criterion.
- License Number: Enter the entire number of a producer's state license, either active or inactive. Partial searches not allowed. Maximum 15 characters.
- License State: Select from the dropdown menu a state in which a producer holds an active or inactive license.
- External System ID: Enter a producer's entire external system ID code, including leading zeroes, either active or inactive. Partial searches not allowed. Maximum 22 characters.
- Primary External ID Only: Click to checkmark the checkbox to constrain a search using an External System ID criterion to only those external system IDs marked as a "primary" ID on a producer's record. The search will ignore a match on an External System ID that is not marked as "primary." (For more information, see Maintain External System Identifiers.)
- **Records Per Page**: If multiple records met your search criteria, the default number of records displayed per page of results is 10. From the dropdown menu, select a value in increments of 10 up to 50 and then execute or re-execute the search to display a number of records up to the selected value in the **Search Results** sub-section.
- Search: Click to execute the search based on the entered search criteria. If only one producer record met your search criteria, the name of the selected producer will display in the **Parent Producer Name** field on the **Producer Appointment Inquiry** page. If multiple records met your search criteria, they will display in the **Search Results** section.
- **Cancel**: Click to abort the page operation and open the Producer Manager Home page.

### **Search Results**

If multiple producer records met your search criteria, they will display in the **Search Results** section of the **Search Producer** page.

- **Name**: For each listed producer record, displays a producer name as a blue hyperlink. You may perform one of the following options:
  - Click a desired producer **Name** hyperlink. The **Search Producer** page will close, and the name of the selected producer will display in the **Parent Producer Name** field on the **Producer Appointment Inquiry** page.
  - Click the column heading to toggle alphabetic or reverse alphabetic sorting of the **Search Results** on the **Name** field.
- **SSN**: *Individual producer searches only*. For each listed producer record, displays a producer's Social Security Number. Click the column heading to toggle highest-to-lowest or lowest-to-highest sorting of the **Search Results** on the **SSN** field.
- **EIN**: *Firm producer searches only*. For each listed producer record, displays a producer's federal Employer Identification Number. Click the column heading to toggle highest-to-lowest or lowest-to-highest sorting of the **Search Results** on the **EIN** field.
- License State/#: For each listed producer record, displays the state codes of the states in which a producer holds at least one active or inactive license and the corresponding license numbers. Click the node (⊞) to expand the record row to display all of the producer's license state and number information. Click the node (⊟) to collapse the information.
- NPN: For each listed producer record, displays a producer's National Producer Number. Click the column heading to toggle highest-to-lowest or lowest-to-highest sorting of the Search Results on the NPN field.
- Active BU: For each listed producer record, displays the name of the business unit(s) with which a producer is actively associated. Click the node (⊞) to expand the record row to display all of the producer's business unit information. Click the node (⊟) to collapse the information.
- **City**: For each listed producer record, displays the producer's mailing address city. Click the column heading to toggle alphabetic or reverse alphabetic sorting of the **Search Results** on the **City** field.
- State: For each listed producer record, displays the producer's mailing address state. Click the column heading to toggle alphabetic or reverse alphabetic sorting of the Search Results on the State field.
- **Displaying** [v] [w] (of [x] matching records): Displays the range in numbers of producer records currently displaying in the **Search Results** sub-section out of the total number of producer records returned by a search.
- **Page [y] of [z]**: Displays the number of the page currently displaying out of the total number of pages of producer records returned by a search.
- **Go To Page**: Available only when more than 10 records are returned by a search, resulting in multiple pages of **Search Results**. Select from the dropdown menu the number of the page of producer records to which you wish to navigate.

• Go: Click to navigate to the page number of Search Results selected in the Go To Page dropdown menu.

### **Single Producer**

You can limit the report to include appointment or termination activity for only a single producer.

To the producer, click the **Search for a specific producer** link. Then, use the **Search Producer** page to search for a single producer record or set of records that match one or more of the criteria entered in the **Search Fields**.

The **Search Producer** page consists of the following sections:

### Producer Type

Use the **Producer Type** field to identify whether you are searching for individual or firm (agency) producer records.

Controls include the following:

- Individual Licensee: *Default*. Click the radio button to initiate a search for an individual producer record. The page will refresh to display unique individual producer **Search Fields**.
- **Firm**: Click the radio button to initiate a search for a firm producer record. The page will refresh to display unique firm producer **Search Fields**.

### Search Fields

Use the **Search Fields** to enter search criteria for one or multiple producer records, either individual or firm. At least one search criterion is required.

- Last: Individual producers only. Enter a search string on individual producer last name. You may use as few as two characters in your search string. Wildcard characters are not allowed. May not contain numeric characters or double quotation marks (").
- Firm Name: *Firm producers only*. Enter a search string on firm name. You may use as few as two characters in your search string. May contain numeric characters. Wildcard characters are not allowed. May not contain double quotation marks (").
- First: *Individual producers only*. Must be used in combination with Last name criterion. You may use as few as one character in your search string. Wildcard characters are not allowed. May not contain numeric characters or double quotation marks (").
- **Middle**: *Individual producers only*. Must be used in combination with **Last** name criterion. You may use as few as one character in your search string. Wildcard characters are not allowed. May not contain numeric characters or double quotation marks (").
- **SSN**: *Individual producers only*. Enter a producer's entire Social Security Number. Partial searches not allowed. Maximum 9 characters without separating hyphens or 11 characters with two separating hyphens.
- **EIN**: *Firm producers only*. Enter a producer's entire Federal Employer Identification Number. Partial searches not allowed. Maximum 9 characters without a separating hyphen or 10 characters with a separating hyphen.

- **NPN**: Enter a producer's entire National Producer Number. Partial searches not allowed. Maximum 10 characters.
- Active Business Unit: Select from the dropdown menu an the short name of an active business unit to which a producer is assigned. May not be the only search criterion.
- License Number: Enter the entire number of a producer's state license, either active or inactive. Partial searches not allowed. Maximum 15 characters.
- License State: Select from the dropdown menu a state in which a producer holds an active or inactive license.
- External System ID: Enter a producer's entire external system ID code, including leading zeroes, either active or inactive. Partial searches not allowed. Maximum 22 characters.
- Primary External ID Only: Click to checkmark the checkbox to constrain a search using an External System ID criterion to only those external system IDs marked as a "primary" ID on a producer's record. The search will ignore a match on an External System ID that is not marked as "primary." (For more information, see Maintain External System Identifiers.)
- **Records Per Page**: If multiple records met your search criteria, the default number of records displayed per page of results is 10. From the dropdown menu, select a value in increments of 10 up to 50 and then execute or re-execute the search to display a number of records up to the selected value in the **Search Results** sub-section.
- Search: Click to execute the search based on the entered search criteria. If only one producer record met your search criteria, the name of the selected producer will display in the **Producer Name** field on the **Producer Appointment Inquiry** page. If multiple records met your search criteria, they will display in the **Search Results** section.
- **Cancel**: Click to abort the page operation and open the Producer Manager Home page.

### Search Results

If multiple producer records met your search criteria, they will display in the **Search Results** section of the **Search Producer** page.

- **Name**: For each listed producer record, displays a producer name as a blue hyperlink. You may perform one of the following options:
  - Click a desired producer Name hyperlink. The Search Producer page will close, and the name of the selected producer will display in the Producer Name field on the Producer Appointment Inquiry page.
  - Click the column heading to toggle alphabetic or reverse alphabetic sorting of the **Search Results** on the **Name** field.
- **SSN**: *Individual producer searches only*. For each listed producer record, displays a producer's Social Security Number. Click the column heading to toggle highest-to-lowest or lowest-to-highest sorting of the **Search Results** on the **SSN** field.

- **EIN**: *Firm producer searches only*. For each listed producer record, displays a producer's federal Employer Identification Number. Click the column heading to toggle highest-to-lowest or lowest-to-highest sorting of the **Search Results** on the **EIN** field.
- License State/#: For each listed producer record, displays the state codes of the states in which a producer holds at least one active or inactive license and the corresponding license numbers. Click the node (⊞) to expand the record row to display all of the producer's license state and number information. Click the node (⊟) to collapse the information.
- NPN: For each listed producer record, displays a producer's National Producer Number. Click the column heading to toggle highest-to-lowest or lowest-to-highest sorting of the Search Results on the NPN field.
- Active BU: For each listed producer record, displays the name of the business unit(s) with which a producer is actively associated. Click the node (⊞) to expand the record row to display all of the producer's business unit information. Click the node (⊟) to collapse the information.
- **City**: For each listed producer record, displays the producer's mailing address city. Click the column heading to toggle alphabetic or reverse alphabetic sorting of the **Search Results** on the **City** field.
- State: For each listed producer record, displays the producer's mailing address state. Click the column heading to toggle alphabetic or reverse alphabetic sorting of the Search Results on the State field.
- **Displaying** [v] [w] (of [x] matching records): Displays the range in numbers of producer records currently displaying in the **Search Results** sub-section out of the total number of producer records returned by a search.
- **Page [y] of [z]**: Displays the number of the page currently displaying out of the total number of pages of producer records returned by a search.
- **Go To Page**: Available only when more than 10 records are returned by a search, resulting in multiple pages of **Search Results**. Select from the dropdown menu the number of the page of producer records to which you wish to navigate.
- Go: Click to navigate to the page number of Search Results selected in the Go To Page dropdown menu.

### Report Results

Displays active and inactive (terminated) producer appointment information that met the report criteria. Results may be narrowed by selected filter criteria.

Results include the following data fields:

- **Company Name**: For each appointment or termination that met the report criteria, displays the name of the appointing company that appointed reported producers.
- **NAIC ID**: For each appointment or termination that met the report criteria, displays the appointing company's National Association of Insurance Commissioners identifier.
- **Producer ID**: For each appointment or termination that met the report criteria, displays the producer's primary external system ID.

- Last Name: For each appointment or termination that met the report criteria, displays the individual producer's last name.
- **First Name**: For each appointment or termination that met the report criteria, displays the individual producer's first name.
- **Middle Name**: For each appointment or termination that met the report criteria, displays the individual producer's middle name.
- **Suffix**: For each appointment or termination that met the report criteria, displays the individual producer's name suffix.
- **Firm Name**: For each appointment or termination that met the report criteria, displays the name of the firm producer.
- **SSN/EIN**: For an individual producer, displays the producer's Social Security Number. For a firm producer, displays the producer's Federal Employer Identification Number.
- **Producer Status**: For each appointment or termination that met the report criteria, displays the producer's record status in Producer Manager. (For more information, see Details.)
- **Appt State**: For each appointment or termination that met the report criteria, displays the name of the state in which the producer was appointed.
- Active Date: For each producer listed that met the report criteria, displays the date on which the producer's appointment in the selected state became active.
- **Trmn Date**: *Inactive appointments only.* For each appointment or termination that met the report criteria, displays the date on which a termination of the producer's appointment in the appointment state was submitted and state-approved or recorded.
- **Trmn Reason**: *Inactive appointments only.* For each appointment or termination that met the report criteria, displays the state-specific reason for the appointment termination.
- **Rec Only**: For each appointment or termination that met the report criteria, displays Y if the **Record Appt** checkbox in the producer's appointment information contains a checkmark; displays N if the **Record Appt** checkbox in the producer's appointment information does not contain a checkmark.
- **Appt Request Date**: For each appointment or termination that met the report criteria, displays the date on which the appointment was added to the producer record.
- License Type (License #): For each appointment or termination that met the report criteria, displays the producer's supporting license class and license number in the appointment state.
- **Business Units**: For each appointment or termination that met the report criteria, displays the short name of the business units to which the producer is actively assigned.
- **Staff Member**: For each appointment or termination that met the report criteria, displays the name of the staff member user who added the appointment to the producer record.
- Business Address Line 1: For each appointment or termination that met the report criteria, displays first line address information for the business location address type recorded on the producer's record. (For more information, see Maintain Contact Information.)

- **Business Address Line 2**: For each appointment or termination that met the report criteria, displays second line address information for the business location address type recorded on the producer's record. (For more information, see Maintain Contact Information.)
- **Business Address City**: For each appointment or termination that met the report criteria, displays the address city of the business location address type recorded on the producer's record. (For more information, see Maintain Contact Information.)
- **Business Address State**: For each appointment or termination that met the report criteria, displays the address state of the business location address type recorded on the producer's record. (For more information, see Maintain Contact Information.)
- Business Address Postal Code: For each appointment or termination that met the report criteria, displays the postal or ZIP code of the business location address type recorded on the producer's record. (For more information, see Maintain Contact Information.)
- **Highest Uplines**: For each appointment or termination that met the report criteria, displays the name and primary external system ID of the highest upline producer in the reported producer's contractual agreement or reporting/compensation hierarchy.
- Additional Producer Type: For each appointment or termination that met the report criteria, displays the role of an additional producer in the reported producer's contractual agreement or reporting/compensation hierarchy.
- Additional Producer: For each appointment or termination that met the report criteria, displays the name of an additional producer in the reported producer's contractual agreement or reporting/compensation hierarchy.

### Page Controls

Controls include the following:

- **remove**: Click to remove a selected upline producer or single producer as filter criteria.
- **Submit Offline**: Click to generate the inquiry offline, where it can be retrieved in multiple output formats by any staff member with the permissions to view it. For more information, see <u>Recent Reports</u>.
- **Cancel**: Click to open the Producer Manager Home page.

Results of the **Producer Appointment Inquiry** may contain unmasked, full Social Security Number information for individual producers. It is not possible to configure the system to mask or hide these values in the report results. However, using a security role setting, a user with administrator permissions may deny other users the permission to run this inquiry or view inquiry results requested by other users. For more information, see Maintain Security Role.

The **Producer Appointment Inquiry** reports appointment information only as recorded in your company's instance of Producer Manager. It does not verify appointment information directly with state records. However, if your company is using Producer Manager's automated data reconciliation utilities (such as Scheduled Syncs) to keep producer appointment data refreshed continually, the **Producer Appointment Inquiry** report results should be synchronized with state records.

The **Producer Appointment Inquiry** automatically generates in tabular format. Always click the **Excel Format** (<sup>(a)</sup>) button on the <u>Recent Reports</u> page to view the results in a spreadsheet.

The report results may include multiple record rows per producer (i.e., one row per active or terminated appointment per business unit per state).

Unlike the <u>Individual Appointments Inquiry</u>, which allows you to report appointment and termination information for only individual producers, the results of a **Producer Appointment Inquiry** include firm producer appointments and terminations.

### Report of Producers in a Hierarchy

Run the **Report of Producers in a Hierarchy** inquiry to identify producers having downline agreements with a specific parent producer in a reporting or compensation hierarchy. You can search for parent agreements by either a specific external system ID(s) or agreement.

If desired, you may require the report results to include external system IDs of an additional external system type for reported producers.

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To open the **Report of Producers in a Hierarchy** page, from the <u>Inquiries</u> menu select <u>Producer Hierarchy</u>, and then select **Report of Producers in a Hierarchy**.

The **Report of Producers in a Hierarchy** page contains the following sections:

### Producer Criteria

You can filter the report to include only a certain producer entity type (individual licensee or firm) or only producers with certain agreement information.

- **Producer Type**: To filter the report results to include downline producers of only a specific entity type, click to select either Individual Licensee or Firm. Or, select nothing to include all downline producers, regardless of entity type.
- Agreement Status: To filter the report results to include downline producers with only a certain agreement status, click to select either Active or Inactive. Or, select nothing to include all downline producers, regardless of agreement status.
- Agreements identified by an active External System ID of type: To filter the report results to include only downline producers with an active ID or code in a certain external system, click to select the external system type. To select multiples, press the CTRL key on your keyboard while clicking; click again while pressing the CTRL key to de-select. Or, select nothing to include all downline producers, regardless of associated external system type.

### Upline Criteria

You must identify the producer(s) with the parent agreement whose downline producers you want to report. You can search for parent agreements by either specific external system ID(s) or by agreement.

Choose from among the following:

### By specfic external system ID(s)

Search for a parent agreement by specific external system ID(s). Fields and controls include the following

- List upline agreements by External System IDs: Click to select the radio button to search for agreements based on a parent producer's external system ID. The report results will include all producers who are downline to the selected parent producer in any agreement.
- Upline Producer Type: Available only when List upline agreements by External System IDs is selected. To limit the search to external system IDs associated with parent producers of a specific entity type, click to select either Individual Licensee or Firm. Or, leave unselected to search external system IDs associated with either entity type.
- Upline Producers' External System IDs: Available only when List upline agreements by External System IDs is selected. Enter one or multiple valid external system IDs associated with the parent producer whose downline producers you want to report, up to 50 maximum. Separate each external system ID by a comma and a space.

### By specific agreement

Search for a specific parent agreement. Fields and controls include the following

- **Select a specific upline agreement**: Click to select the radio button to search for the parent producer agreement that includes the downline producers you want to report.
- Search Upline Agreement: Available and required only when Select a specific upline agreement is selected. Click to search for a specific parent agreement whose downline producers you want to report. The Search Agreement page will open, allowing you to search for the desired parent agreement. (For more information, see Search Agreement.)

- When you are finished with the search, the name of the producer with the selected parent agreement will display in the **Upline Criteria** section.
- Select a different Upline Agreement: Available only with a parent agreement already selected. Click to open the Search Agreement page, where you can search for a different parent agreement to replace the currently selected parent agreement.

### **Display Configuration**

Fields and controls include the following

- Additional External System ID type To include in the report results reported downline producers' IDs of an additional external system type, from the dropdown menu select the desired external system type.
- Mask SSN (Ex. XXX-XX-1234) Click to checkmark the checkbox to replace the first 5 digits of an individual producer's Social Security Number with hash marks in the report results.

### Report Results

Displays information about all producers who are subordinate (downline) in an agreement hierarchy to the producer(s) identified by the report criteria. Includes producers whose agreements are active or inactive. Results may be narrowed by selected filter criteria.

Results include the following data fields:

- **Individual Last Name**: For each downline individual licensee producer returned by the report criteria, displays the producer's last name.
- **Individual First Name**: For each downline individual licensee producer returned by the report criteria, displays the producer's first name.
- **Firm Name**: For each downline firm producer returned by the report criteria, displays the producer's business name.
- **TIN**: For each downline individual licensee producer returned by the report criteria, displays the producer's Social Security Number; or, for each downline firm producer returned by the report criteria, displays the producer's Federal Employer Identification Number. Note that the first 5 digits of an individual producer's Social Security Number may be replaced with hash marks in the report results if the **Mask SSN** option is enabled in the **Configuration Options** section.
- Agreement Status: For each downline producer returned by the report criteria, displays the current status of the producer's agreement in the agreement hierarchy with the parent producer(s).
- **Agreement Type Code**: For each downline producer returned by the report criteria, displays the type code of the producer's agreement in the agreement hierarchy with the parent producer(s) (typically the producer's role or level in the agreement hierarchy).
- Agreement ESID: For each downline producer returned by the report criteria, displays the external system ID associated with the producer's agreement in the agreement hierarchy with the parent producer(s) (often the downline producer's code in your company's compensation or commissioning system).

- **Hierarchy Template**: For each downline producer returned by the report criteria, displays the name of the hierarchy template used to enforce the hierarchical levels or roles in the producer's agreement with the parent producer(s) (For more information, see Add Hierarchy Templates.)
- **Base Role**: For each downline producer returned by the report criteria, displays the name of the bottom-level role in the agreement hierarchy with the parent producer(s). (For more information, see Add Hierarchy Templates.)
- ESID Search Value: Available only if List upline agreements by External System IDs is selected as report criteria. For each downline producer returned by the report criteria, displays the external system ID entered as report criteria in the Upline Producers' External System IDs field.
- **Parent Agreement ESID**: For each downline producer returned by the report criteria, displays the external system ID of the reported producer's immediate upline producer in the agreement hierarchy -- not the highest upline producer in the entire agreement hierarchy.
- **Parent Agreement ESID Type Code**: For each downline producer returned by the report criteria, displays the external system type associated with the external system ID of the reported producer's immediate upline producer in the agreement hierarchy.
- **Email Address**: For each downline individual licensee producer returned by the report criteria, displays the producer's email address; or, for each downline firm producer returned by the report criteria, displays the mail address associated with the firm's business location address type.
- **Business Address Line One**: For each downline producer returned by the report criteria, displays the first line of the producer's business location address.
- **Business Address Line Two**: For each downline producer returned by the report criteria, displays the second line of the producer's business location address.
- **Business Address City**: For each downline producer returned by the report criteria, displays the city of the producer's business location address.
- **Business Address State**: For each downline producer returned by the report criteria, displays the state name of the producer's business location address.
- **Business Address Zip**: For each downline producer returned by the report criteria, displays the ZIP code of the producer's business location address.
- **Mailing Address Line One**: For each downline producer returned by the report criteria, displays the first line of the producer's mailing address.
- **Mailing Address Line Two**: For each downline producer returned by the report criteria, displays the second line of the producer's mailing address.
- **Mailing Address City**: For each downline producer returned by the report criteria, displays the city of the producer's mailing address.
- **Mailing Address State**: For each downline producer returned by the report criteria, displays the state name of the producer's mailing address.
- **Mailing Address Zip**: For each downline producer returned by the report criteria, displays the ZIP code of the producer's mailing address.

- **Residential Address Line One**: *Individual licensee producers only.* For each downline producer returned by the report criteria, displays the first line of the producer's residential address.
- **Residential Address Line Two**: *Individual licensee producers only.* For each downline producer returned by the report criteria, displays the second line of the producer's residential address.
- **Residential Address City**: *Individual licensee producers only.* For each downline producer returned by the report criteria, displays the city of the producer's residential address.
- **Residential Address State**: *Individual licensee producers only.* For each downline producer returned by the report criteria, displays the state name of the producer's residential address.
- **Residential Address Zip**: *Individual licensee producers only.* For each downline producer returned by the report criteria, displays the ZIP code of the producer's residential address.
- Additional ESID: Includes values only if a selection was made from the Additional External System ID type dropdown menu in the Display Configuration section. For each downline producer returned by the report criteria, displays the producer's ID or code related to the selected additional external system type.
- **Payment Frequency**: For each downline producer returned by the report criteria, displays the timing of commission payments to the producer.
- **Conduct Business via Dtcc**: For each downline producer returned by the report criteria, displays a value indicating whether or not payments and policy information should be sent to the producer using an interface with the Depository Trust & Clearing Corporation.
- Advance Commission: For each downline producer returned by the report criteria, displays a value indicating whether or not the producer may receive an advance on commission, either Yes or No.
- **Percent of Advance**: For each downline producer returned by the report criteria, displays a numeric value between 0.00 and 100.00 that represents the amount of the producer's advance on commission.
- **Maximum Advance Amount**: For each downline producer returned by the report criteria, displays the maximum amount of advance on commission that the producer may receive.
- Advance Transaction Status: For each downline producer returned by the report criteria, 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.)
- **Statement Distribution ID**: For each downline producer returned by the report criteria, displays the producer's ID or code in your company's statement distribution system.

### Page Controls

Controls include the following:

- **Submit Offline**: Unavailable until required report criteria is entered. Click to generate the inquiry offline, where it can be retrieved in multiple output formats by any staff member with the permissions to view it. For more information, see Recent Reports.
- **Cancel**: Click to open the Producer Manager Home page.

The report results may include the same producer multiple times, if **List upline agreements by External System IDs** was selected as **Upline Criteria** and the producer is downline through multiple agreements to a parent producer associated with an entered external system ID.

The **Report of Producers in a Hierarchy** automatically generates in tabular format. Always click the **Excel Format** () button on the <u>Recent Reports</u> page to view the results in a spreadsheet.

Values in the **Payment Frequency**, **Conduct Business via Dtcc**, **Advance Commission**, **Percent of Advance**, **Maximum Advance Amount**, **Advance Transaction Status**, and **Statement Distribution ID** fields are only displayed in report results only to users belonging to a security role for which the **Maintain Agreement Commission Details** security permission is enabled. (For more information, see Maintain Security Role.)

By searching for parent producer agreements using external system ID criteria, you can include downline producers in multiple parent producer agreements in the report results. Searching for a specific parent agreement, however, will include downline producers for only the selected parent producer.

### Producers with Missing Upline Hierarchy

Run the **Producers with Missing Upline Hierarchy** inquiry to identify producers that are not currently part of a valid agreement hierarchy. Invalid conditions may include the following:

- Where a producer's agreement is not part of an agreement hierarchy whatsoever
- Where a producer's agreement includes an additional producer but is not part of an agreement hierarchy
- Where a producer is part of an agreement hierarchy, but the producer's agreement with an immediate upline producer is inactive

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To open the **Producers with Missing Upline Hierarchy** page, from the <u>Inquiries</u> menu select <u>Producer Hierarchy</u>, and then select **Producers with Missing Upline Hierarchy**.

The Producers with Missing Upline Hierarchy page contains the following sections:

**Producer Criteria** 

Enter criteria identifying the producers to be included in the report. If no specific criteria are selected, the system will return results matching all criteria.

Fields and controls include the following:

- **Producer Type**: To limit the report to a specific entity type, click to select either Individual Licensee or Firm. (For more information, see Details.)
- **Producer Status**: To limit the report to a Producer Manager record status, from the dropdown menu select Active, Inactive, or Pending. (For more information, see Details.)
- **Only include producers with an active license**: To limit the report to producers who hold an active license only, click to checkmark the checkbox.
- Agreements identified by an active External System ID of type: To limit the report to only those agreements associated with a specific external system, from the dropdown menu select an external system type.

### **Missing Upline Criteria**

Select the invalid upline scenario you would like to report.

Fields and controls include the following:

- **The parent agreement is inactive**: Click the radio button to report agreements where a producer is part of an agreement hierarchy, but the producer's agreement with an immediate upline producer is inactive.
- **No upline exists**: Click the radio button to report only agreements that are not part of an agreement hierarchy whatsoever.
- No upline exists, where the producer's agreement has an additional producer: Click the radio button to report only agreements that include additional producers but that are not part of an agreement hierarchy. Then enter the following:
  - Additional Producer Role: Available only when No upline exists, where the producer's agreement has an additional producer is selected. From the dropdown menu select the additional producer role on agreements with missing uplines.
  - Agreements identified by an active External System ID of type: Available only when No upline exists, where the producer's agreement has an additional producer is selected. Enter one or multiple active external system IDs associated with the additional producers on agreements with missing uplines, up to 50 maximum. Separate each external system ID by a comma and a space.

#### Report Results

Displays information about all producers with active agreements who are not part of a valid agreement hierarchy, based on a selected invalid upline scenario as selected in the **Missing Upline Criteria** section. Results may be narrowed by selected filter criteria.

Results include the following data fields:

- Individual Last Name: For each individual licensee producer agreement returned by the report criteria, displays the producer's last name.
- Individual First Name: For each individual licensee producer agreement returned by the report criteria, displays the producer's first name.

- **Firm Name**: For each firm producer agreement returned by the report criteria, displays the producer's business name.
- **Producer Status**: For each producer agreement returned by the report criteria, displays the status of the producer's record in Producer Manager.
- **Agreement Type**: For each producer agreement returned by the report criteria, displays the type code of the producer's agreement.
- **Agreement Begin Date**: For each producer agreement returned by the report criteria, displays the date on which the agreement became active on the producer's record.
- Agreement ESID: For each producer agreement returned by the report criteria, displays the external system ID associated with the producer's agreement (often the producer's code in your company's compensation or commissioning system).
- Agreement ESID Type: For each producer agreement returned by the report criteria, displays the external system type associated with the external system ID associated with the producer's agreement (often the name or code or your company's compensation or commissioning system).
- **Hierarchy Template**: For each producer agreement returned by the report criteria, displays the name of the hierarchy template used to enforce the hierarchical levels or roles in the producer's agreement with upline producer(s) (For more information, see Add Hierarchy Templates.)
- **Base Role**: For each producer agreement returned by the report criteria, displays the name of the bottom-level role in the selected agreement hierarchy template. (For more information, see Add Hierarchy Templates.)
- **Parent Agreement ESID**: For each producer agreement returned by the report criteria, displays the external system ID of the reported producer's immediate upline producer in the agreement hierarchy -- not the highest upline producer in the entire agreement hierarchy. Note that the immediate upline producer's agreement may be inactive.
- **Parent Agreement ESID Type Code**: For each producer agreement returned by the report criteria, displays the external system type of the reported producer's immediate upline producer in the agreement hierarchy -- not the highest upline producer in the entire agreement hierarchy. Note that the immediate upline producer's agreement may be inactive.
- Additional Producer ESID: Available only when reporting agreements with additional producers that are missing uplines. For each producer agreement returned by the report criteria, displays the external system ID of an additional producer on the agreement.

### Page Controls

Controls include the following:

- **Submit Offline**: Unavailable until required report criteria is entered. Click to generate the inquiry offline, where it can be retrieved in multiple output formats by any staff member with the permissions to view it. For more information, see <u>Recent Reports</u>.
- **Cancel**: Click to open the Producer Manager Home page.

If a producer has multiple agreements that are missing a valid upline hierarchy, the producer will appear in the report multiple times, once for each agreement.

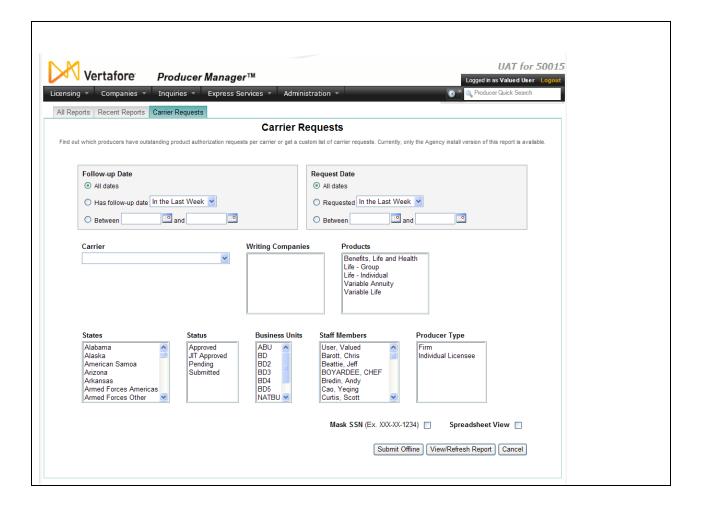
The Producers with Missing Upline Hierarchy automatically generates in tabular format.

Always click the **Excel Format** (<sup>IIII</sup>) button on the <u>Recent Reports</u> page to view the results in a spreadsheet.

## **Carrier Requests Inquiry**

You can track an appointment or other sales authorization request your agency has made to a carrier partner on behalf of a producer by recording the request on the Carrier Requests page.

Use the **Carrier Requests Inquiry** page to generate a report of outstanding producer product authorization requests made to a selected carrier, so that you can follow up on the requests.



To open the **Carrier Requests Inquiry** page, from the <u>Inquiries</u> menu, select **Carrier Requests**.

The **Carrier Requests Inquiry** page contains the following sections:

#### Report Criteria

Offers input fields and controls to define the criteria of the inquiry.

- Follow-Up Date: Filter the **Report Output** by a date or range of dates upon which follow-up has been scheduled for appointment or authorization requests submitted to carriers. Use the following date filters:
  - All dates: Click the radio button to ignore follow-up date criteria as a filter in the **Report Output**.
  - Has follow-up date [x]: Click the radio button to filter the Report Output to include only carrier requests for which a follow-up date has been scheduled within a certain time parameter, and then from the dropdown menu select a value. Select In the Last Week from the dropdown menu to filter the Report Output to include only carrier requests for which follow-up was intended in the past seven (7) days. Or, select In the Last Month from the dropdown menu to filter the Report Output to include only carrier requests for which follow-up was intended in the past 30 days.
  - **Between** [y] and [z]: Click the radio button to filter the **Report Output** to include only carrier requests for which follow-up was intended within a specified date range. Enter the first date in the range in [y] and enter the last date in the range in [z], using

the *mmddyyyy* date format. Or, click the **Calendar** button (<sup>129</sup>) to open a popup calendar from which you can click to select dates.

- **Request Date**: Filter the **Report Output** by a date or range of dates upon which appointment or authorization requests were submitted to carriers. Use the following date filters:
  - **All dates**: Click the radio button to ignore requested date criteria as a filter in the Report Output.
  - Has follow-up date [x]: Click the radio button to filter the Report Output to include only carrier requests submitted within a certain time parameter, and then from the dropdown menu select a value. Select In the Last Week from the dropdown menu to filter the Report Output to only carrier requests submitted in the past seven (7) days. Or, select In the Last Month from the dropdown menu to filter the Report Output to only carrier requests submitted in the past 30 days.
  - Between [y] and [z]: Click the radio button to filter the Report Output to include only carrier requests submitted within a specified date range. Enter the first date in the range in [y] and enter the last date in the range in [z], using the *mmddyyyy* date format. Or, click the Calendar button () to open a popup calendar from which you can click to select dates.
- **Carrier**: From the dropdown menu, select a value to filter the **Report Output** to include requests submitted to a specific carrier group. Or, leave the field unselected to search for requests submitted to all carrier groups.
- Writing Companies: Click to select one or multiple values to filter the Report Output to include one or multiple writing companies associated with the carrier group selected from the Carrier dropdown menu. To select multiples, press and hold the CTRL key while clicking values. Or, leave the field unselected to include requests made to all writing companies associated with the carrier group selected from the Carrier dropdown menu.
- **Products**: Click to select one or multiple values to filter the **Report Output** to include carrier requests associated with one or multiple product types. To select multiples, press and hold the CTRL key while clicking values. Or, leave the field unselected to include carrier requests associated with all product types.
- States: Click to select one or multiple values to filter the **Report Output** to include carrier requests associated with one or multiple states. To select multiples, press and hold the CTRL key while clicking values. Or, leave the field unselected to include carrier requests associated with all states.
- Status: Click to select one or multiple values to filter the **Report Output** to include carrier requests bearing one or multiple statuses. To select multiples, press and hold the CTRL key while clicking values. Or, leave the field unselected to include carrier requests bearing all statuses.
- **Business Units**: Click to select one or multiple values to filter the **Report Output** to include carrier requests associated with one or multiple business units. To select multiples, press and hold the CTRL key while clicking values. Or, leave the field unselected to include carrier requests associated with all business units.
- **Staff Members**: Click to select one or multiple values to filter the **Report Output** to include carrier requests recorded by one or multiple staff members. To select multiples,

press and hold the CTRL key while clicking values. Or, leave the field unselected to include carrier requests recorded by all staff members.

- **Producer Type**: Click to select one or multiple values to filter the **Report Output** to include carrier requests concerning one or multiple producer entity types. To select multiples, press and hold the CTRL key while clicking values. Or, leave the field unselected to include carrier requests concerning all producer entity types.
- **Mask SSN**: Click to checkmark the checkbox to include only the last four digits of an individual producer's Social Security Number in the **Report Output**. The first five digits will be substituted with X's.
- **Spreadsheet View**: Click to generate the **Report Output** in a tabular format for use in a spreadsheet application, such as Microsoft® Excel®.

### Report Output

The results of a **Carrier Requests Inquiry** groups carrier request data first by carrier and then by producer. Producer information includes producer name, producer type, Producer Manager record ID, and Social Security Number/Employer Identification Number. Carrier request information includes writing company name, requested date, received date, follow-up date, request status, business unit, requested state(s), product type, requesting staff member, and request comment.

### Page Controls

Fields and controls include the following:

- View/Refresh Report: Click to generate the report "on-demand" in the Inquiry Output Window
- **Submit Offline**: Click to generate the inquiry offline, where it can be retrieved in multiple output formats by any staff member with the permissions to view it. For more information, see <u>Recent Reports</u>.
- **Cancel**: Click to open the Producer Manager Home page.

The **Carrier Requests Inquiry** page is available only in agency installations of Producer Manager.

When you select a value from the **Carrier** dropdown menu in the **Report Criteria** section, the **Writing Companies** selection box will populate automatically with the selected carrier group's writing or appointing companies.

Values appearing in the **Products** field must be Vertafore-configured based on your company's business requirements. For more information, see Configuration Options.

Social Security Numbers (SSNs) will be masked by default in the output for users whose security role has the **Mask Social Security Numbers (SSNs)** security permission enabled. For more information, see Maintain Security Role.

# Appendix A: Document Change History

Version Number	Date	Version Information	
6.8	5/16/2014	Baseline draft	DOC-1024
7.7	11/1/2016	Updated with current Vertafore branding and format	