

# Producer Manager User Guide

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A Guide to  
Producer Manager  
Inquiries

November 2016 | Version 7.7

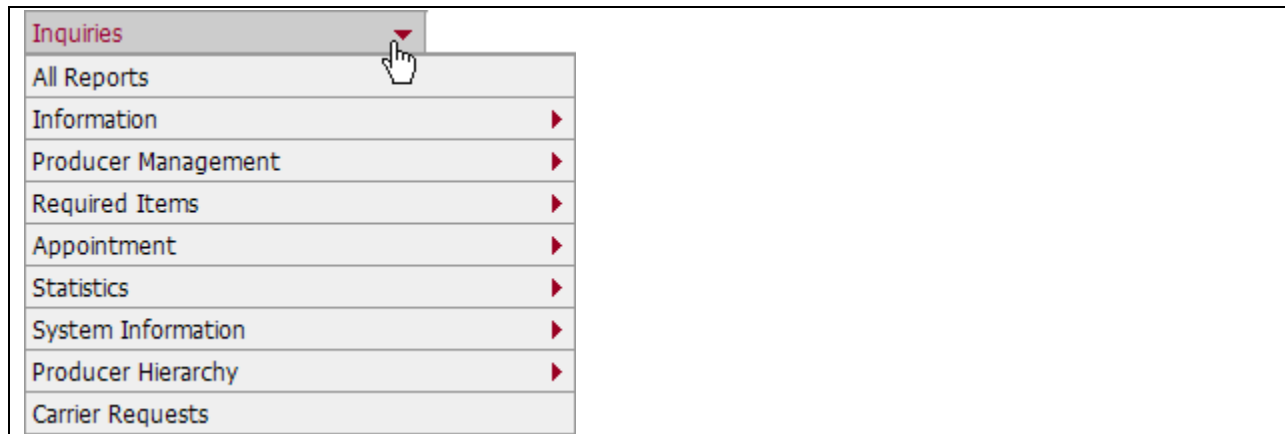
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## Inquiries Menu

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



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](#)
- [Appointment](#)
- [Statistics](#)
- [System Information](#)
- [Producer Hierarchy](#)
- [Carrier Requests](#)

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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](#).

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## 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 (🔍) that when clicked will open the online help for that particular report.

**Vertafore Producer Manager™** UAI for 50015  
 Logged in as Valued User Logout  
 Producer Quick Search

**All Reports** Recent Reports

**Information**

- Individual Information Inquiry** Used to pull a printable version of a single individual's record, including name and contact information, and active and inactive licenses, qualifications, appointments, and agency associations.
- Firm Information Inquiry** 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**

- Producer License Application Inquiry** 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.
- 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.
- License Renewals Due Inquiry** Find out whose licenses are coming up for renewal. You can filter the report by due date, license state, license status, qualifications and business unit.
- Individual Associations Inquiry** Keep track of which producers are associated (or no longer associated) with a particular agency. Find out the types of association and their positions with the firm.
- 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.
- Business Unit Interest Inactivation Inquiry** Get a "heads up" that a producer should be terminated by running this report to discover when other business units have already inactivated the producer.
- Producer Licenses Inquiry** Generate lists of producers, either 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 list to 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.
- Credential Expiration Inquiry** Find out which of your agents have an AML, LTC, or other education credential that is coming due for renewal within a given timeframe. Includes mailing and email addresses so you can inform the agent of the expiring credential.
- Active Producers Per Business Unit** Get a count of the active producers that belong to each one of your business units.
- Producer Costs Inquiry** Shows the regulatory costs associated with producers.

**Required Items**

- Required Items Inquiry** Find out which producers have not yet provided items required for licensure in any state or in just one.
- Individuals w/ Assoc Firms Rqd Items Inquiry** Report the same information as the Individual Required Items Inquiry but on individuals associated with a specific agency.

**Appointment**

- Company Appointment List Inquiry** 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 termination dates on or after the date range specified. Please note, if you choose to "View/Refresh Report" the date range selected must be less than or equal to 31 days.
- Appointments by Type Inquiry** As opposed to the Company Appointment List Inquiry, which looks at appointments by regulated company, this powerful report shows you 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, filter by request status, state, submitting staff 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 filter the report to show only those requests submitted by a particular staff member, for a particular business unit, or with a particular result (e.g., approved, denied, etc.)
- Firm Associated Individual Appointments Inquiry** Check to see what appointment actions have occurred among producers associated with a selected agency in the past month. This flexible report lets you choose to view appointment data for individuals connected with firms either by a formal association or by an external system code.
- Invalid Individual Licensee Appointments Inquiry** You can scan your producer records to find producers who hold invalid appointments because of non-existent or inactive associations or direct or indirect agreements.
- Business Unit Appointment Termination Inquiry** 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 sell 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.
- Individual 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** Need to account down to the second for staff members' time spent on activities? This report will let 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 subtypes.
- 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 staled the successful completion of a database job.
- Staff Member Status Inquiry** Generate a list of active and/or inactive users in Producer Manager that includes system information, such as user name and role.
- Producer Data Sources** Provides access to details of AML or Quick Load batch processes.
- Outbound Feed Reference** Generates a list of codes that might be used in an Outbound Data Feed file.

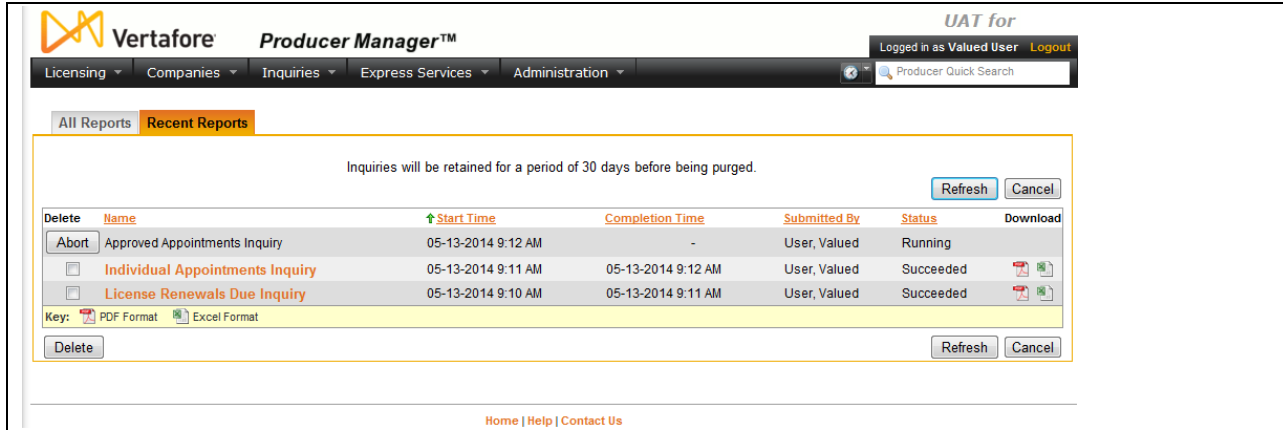
**Producer Hierarchy**

- License Renewals Due** 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 specified producer.
- 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.
- Producers with Missing Upline Hierarchy** This report identifies producers that have active agreements with invalid upline hierarchies.

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.



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 [All Reports](#) 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 [Inquiry Output Window](#).
- **Download:** Click the PDF ( ) button to open the report in a separate window in PDF format, or click the Excel button ( ) 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 [CE Reviews Due Inquiry](#) and the [CE Status Inquiry](#)? What data is returned with the [Company Appointment List Inquiry](#)?

You can find the answers to these questions and more from the [Producer Manager Inquiries Data Cross-Comparison Matrix](#). 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 [inquiries](#) 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, [click here](#).

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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.

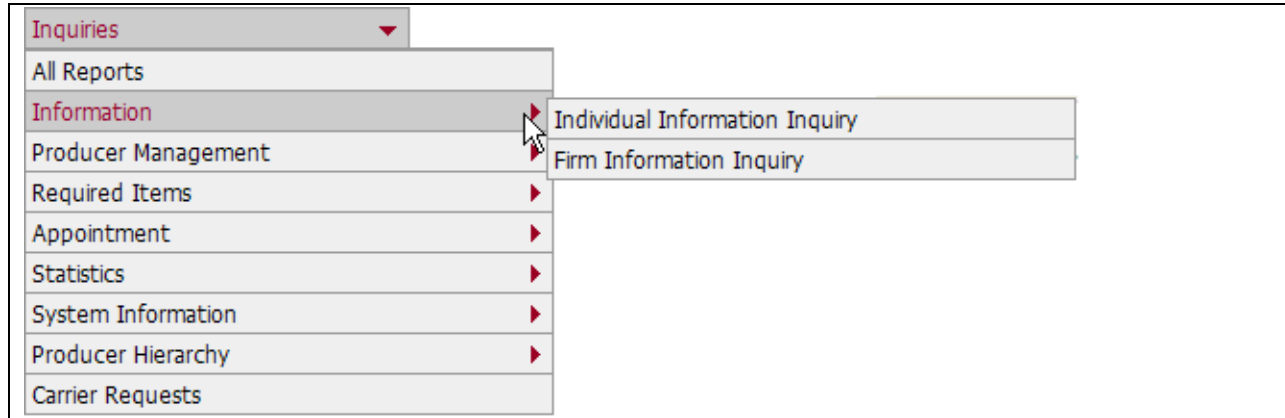
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The screenshot displays a Microsoft Excel spreadsheet titled "Producer Manager Inquiries Data Cross-Comparison Metrics.xlsx". The spreadsheet is organized into columns: A (Inquiry Group), B (Inquiry Name), C (Report Date), D (Entity Type), E (Licensee Name), F (Individual Last Name), G (Individual First Name), and H (Individual Middle Name). The rows are categorized into sections: Summary/Basics, Information, Producer Management, Required Items, Appointments, Statistics, System Information, and Producer Hierarchy. Each cell in the grid contains either an 'x' or is empty. Green shading is applied to certain cells, specifically those containing an 'x' in the Licensee Name, Individual Last Name, and Individual First Name columns. Red callout boxes provide the following information:

- "Cell with 'x' and green shading denotes data field is included in inquiry results."
- "Empty cell denotes data field is not included in inquiry results."
- "Hover mouse pointer over red comment indicator to view popup help."
- "Report results include full business name of selected firm and concatenated last, first, and middle names of affiliated individual producers."
- "Scroll vertically to view all inquiry names."
- "Scroll horizontally to view all data field names."

# Information Inquiries

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



The **Information** sub-menu of the [Inquiries](#) menu may offer the following options:

- [Individual Information Inquiry](#)
- [Firm Information Inquiry](#)

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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](#).

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## *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.

**Individual Information Inquiry**

Used to pull a printable version of a single individual's record, including name and contact information, and active and inactive licenses, qualifications, appointments, and agency associations.

MARCES, AL Unrated Search Producer

SSN	License State/#	Active BU	NPN	Resident States
***-**-2112	MA 1747421	N/A	5742196	Massachusetts

View/Refresh Report Cancel

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

04-22-2013 **Individual Licensee Information Inquiry** Page 1 of 2

SSN Name MARCES, AL  
Indv ID 751212 Status Active (AC) Eff Date 04-04-2007 Term Date  
Active Business Units N/A

**Current Addresses**

**Business Location** 656 WORCEST AVENUE  
WORCESTER, MA 01603-1656

**Mailing** 656 WORCEST AVENUE  
WORCESTER, MA 01603-1656

**Residential** 656 WORCEST AVENUE  
WORCESTER, MA 01603-1656

**Licenses**

License Type	State	License Nbr	License Suspension Begin Date	End Date
Resident Producer	Massachusetts (MA)	1747421		
	<b>Status</b>	<b>Effective Date</b>	<b>Expiration Date</b>	<b>Inactivation Reason</b>
<b>Current Status</b>	Active	08-15-1989	03-09-2009	
<b>Status History</b>				

**Qualifications**

Qualification Type	State	Original Issue Date		
Life	Massachusetts (MA)	08-15-1989		
	<b>Status</b>	<b>Status Date</b>	<b>Expiration Date</b>	<b>Inactivation Reason</b>
<b>Current Status</b>	Active	08-15-1989	03-09-2009	
<b>Status History</b>				

Qualification Type	State	Original Issue Date		
Variable Life & Annuities	Massachusetts (MA)	02-12-2004		
	<b>Status</b>	<b>Status Date</b>	<b>Expiration Date</b>	<b>Inactivation Reason</b>
<b>Current Status</b>	Active	02-12-2004	03-09-2009	

To open the **Individual Information Inquiry** page, from the [Inquiries](#) menu select [Information](#), 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.

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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](#).

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## *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.

The screenshot shows the Siron Producer Manager interface. At the top, there's a navigation menu with options like Licensing, Companies, Inquiries, Express Services, and Administration. The 'Inquiries' menu is selected, and the 'Firm Information Inquiry' page is active. The page title is 'Firm Information Inquiry' and it includes a description: 'Used to pull a printable version of a single agency's record, including contact information, complete license information including status history, and individual associations.' Below this, there's a search bar with 'AMERICA ONE NORTHRIDGE INS AGENCY' entered. The search results show the following details:

EIN	License State#	Active BU	NPN	Resident States
38-3552829	MI 383552829			Michigan

Buttons for 'View/Refresh Report' and 'Cancel' are visible. Below the search results, there are links for 'Home | Help | Contact Us'.

The second part of the screenshot shows a browser window displaying the 'Firm Information Inquiry' page. The page is titled '08-06-2012 Firm Information Inquiry Page 1 of 2'. It displays the following information:

**Firm Information Inquiry**  
 EIN 38-3552829 Name AMERICA ONE NORTHRIDGE INS AGENCY  
 Org ID 35527 Status Active (AC) Eff Date 10-08-2001 Term Date

**Active Business Units**

**Current Addresses**

**Business Location** <No contact specified>  
 27780 NOVI ROAD, SUITE 265  
 NOVI, MI 48377-

**Mailing** <No contact specified>  
 27780 NOVI ROAD, SUITE 265  
 NOVI, MI 48377-

**Aliases**

Type	Eff Date	State	Alias Name
Also Known As	08-19-2002		AMERICA ON NORTHRIDGE INS AGENCY
Also Known As	08-19-2002		AMERICA ONE NORTHRIDGE INS

**Individual Associations**

Begin Date	End Date	SSN	Active Bus. Units	Name
10-08-2001		-5527		PIPER, ROBERT W
Association State	Association Type	Begin Date	End Date	Position
Michigan (MI)	Agent	10-08-2001		
Begin Date	End Date	SSN	Active Bus. Units	Name
10-08-2001		-2829	BU2	JABCZENSKI, MITCHELL J
Association State	Association Type	Begin Date	End Date	Position
Michigan (MI)	Agent	10-08-2001		

**Licenses**

License Type	State	License Nbr	License Suspension Begin Date	End Date
Resident Agency	Michigan (MI)	383552829		
Status	Effective Date	Expiration Date	Inactivation Reason	
Current Status	Active	10-08-2001		

To open the **Firm Information Inquiry** page, from the [Inquiries](#) menu select [Information](#), 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.

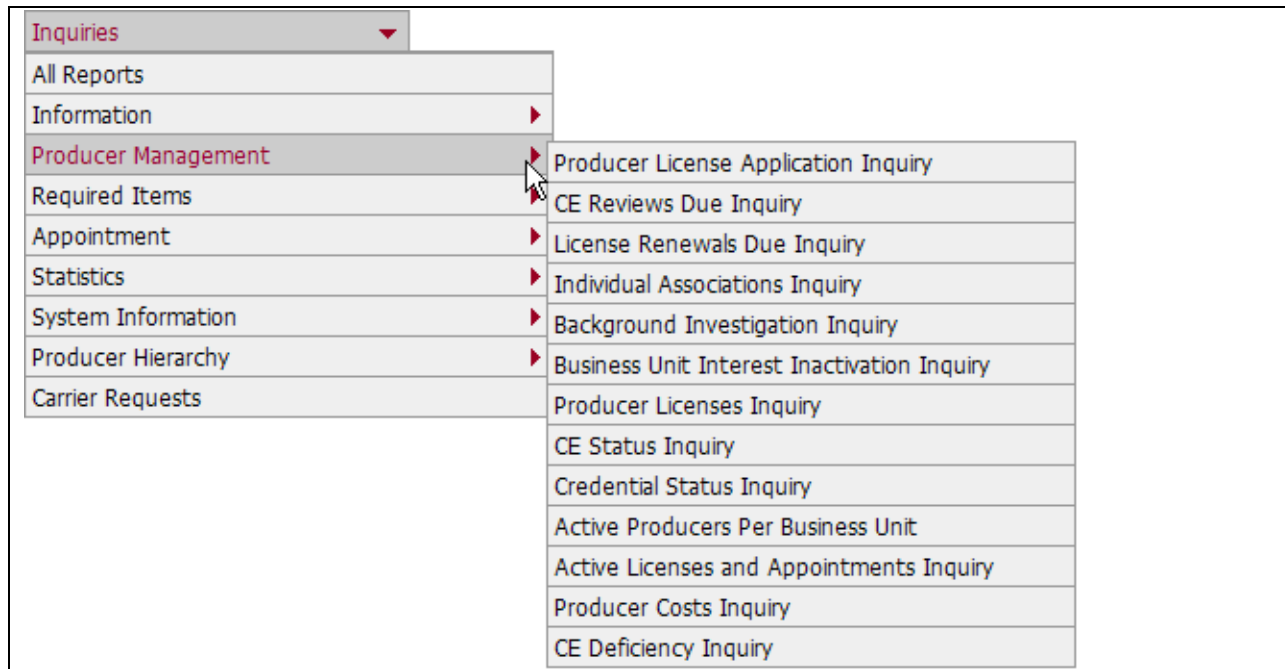
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Results of the **Firm Information Inquiry** may contain unmasked, full Social Security Number information for individual producers affiliated with the firm. It is not possible to configure the system to mask or hide these values in the report results. 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](#).

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# Producer Management Inquiries

Plan your department’s “to-do” lists by running **Producer Management** inquiries.



The **Producer Management** sub-menu of the [Inquiries](#) menu may offer the following options:

- [Producer License Application Inquiry](#)
- [CE Reviews Due Inquiry](#)
- [License Renewals Due Inquiry](#)
- [Individual Associations Inquiry](#)
- [Background Investigation Inquiry](#)
- [Business Unit Interest Inactivation Inquiry](#)
- [Producer Licenses Inquiry](#)
- [CE Status Inquiry](#)
- [Credential Expiration Inquiry](#)
- [Active Producers Per Business Unit](#)
- [Active Licenses and Appointments Inquiry](#)
- [Producer Costs Inquiry](#)
- [CE Deficiency Inquiry](#)
- [Professional Liability Insufficient Coverage Inquiry](#)

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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](#).

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## *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.

The screenshot displays the Vertafore Producer Manager interface. At the top, the logo and 'UAT for 50015' are visible. The navigation menu includes 'Licensing', 'Companies', 'Inquiries', 'Express Services', and 'Administration'. The 'Inquiries' menu is expanded to show 'All Reports', 'Recent Reports', and 'Producer License Application Inquiry'. The main form is titled 'Producer License Application Inquiry' and includes instructions: '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.' The form contains several input fields: 'Application Status Dates Between' with 'Begin Date' and 'End Date' pickers; 'Producer Type' set to 'Individual'; 'Responsible Staff Member' dropdown; 'External System ID' field with a checked 'Active External System Ids Only' option; 'Application Statuses' dropdown (showing 'Approved', 'Approved Pending Manual Action', 'Auto Approval Denied', 'Denied', 'Entered in Error', 'Error', 'Pending - State Approval', 'Pending Submission to State'); and 'States' dropdown (showing 'Alabama', 'Alaska', 'American Samoa', 'Arizona', 'Arkansas', 'California', 'Colorado', 'Connecticut'). Buttons for 'Submit Offline', 'View/Refresh Report', and 'Cancel' are at the bottom.



Below the form is a browser window showing a report titled 'Individual Licensee Applications Inquiry'. The report header includes the date '06-14-2012', the title, and 'Page 15 of 42'. It specifies the search criteria: 'Application Status Dates Between 06-01-2009 And 06-01-2010'. The report lists the following criteria: 'Status(es): All Statuses', 'Responsible Staff Mbr: All Staff Members', 'State(s): All States', 'External System ID: All External System IDs', and 'Active External System Ids Yes'. The report content shows a table for 'State: Delaware (DE)' with 'Status: Approved'. The table has columns for 'Appl ID', 'Status Date', 'License Type', 'Name', 'SSN', 'Indv ID', and 'External System ID'. A sample entry is shown for Appl ID 34949, Status Date 02-23-2010, License Type Non-Resident Producer, Name POTATO, DICED, SSN 111-33-3222, Indv ID 176626, and External System ID 0000000684. Below the table, a 'Qualifications' section shows 'Qualification Type: Casualty', 'Status: Approved', and 'Status Date: 02-23-2010'. Summary statistics at the bottom indicate 'Total Approved for Delaware (DE): 1' and 'Total for Delaware (DE): 1'.

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 () 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 sub-grouped 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, system-assigned 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 [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.

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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](#).

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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.

**Vertafore Producer Manager™** Test for 10795  
Logged in as Valued User [Logout](#)

Licensing ▾ Companies ▾ Inquiries ▾ Express Services ▾ Administration ▾

All Reports Recent Reports **CE Reviews Due Inquiry**

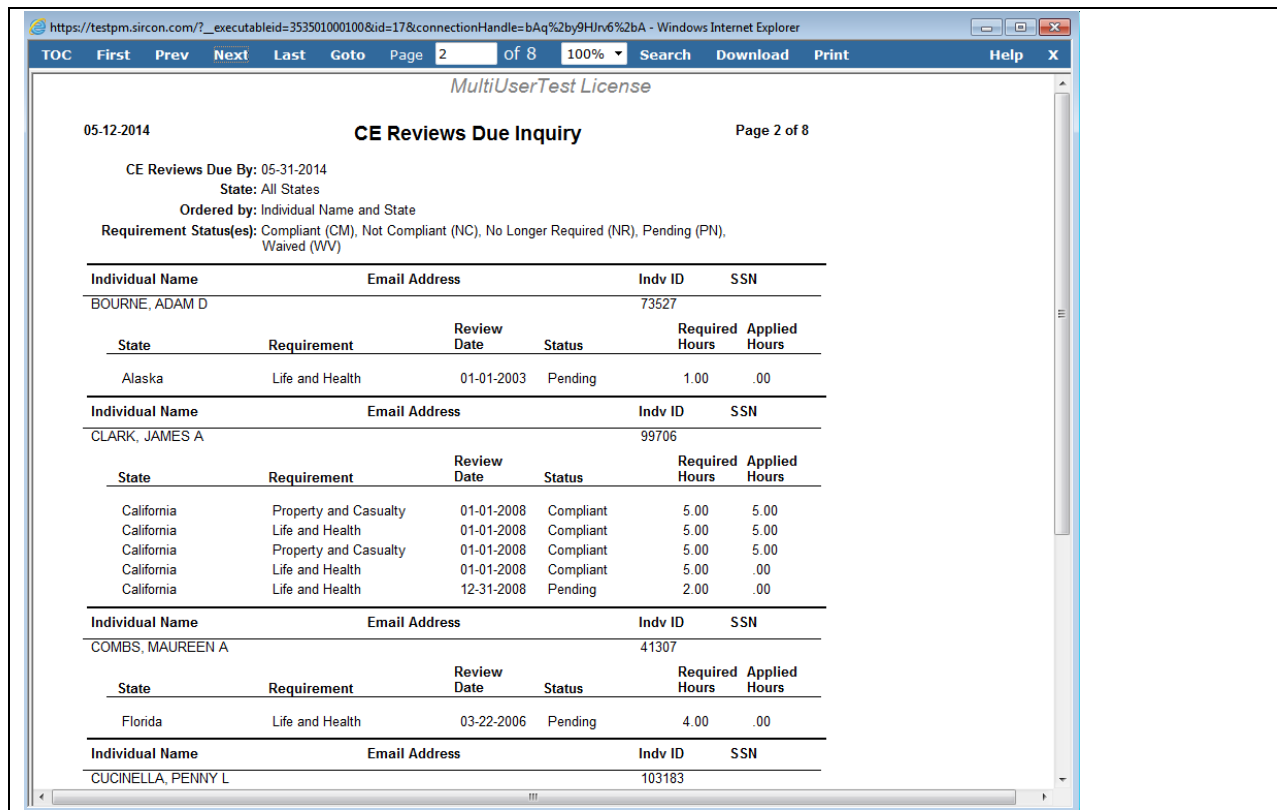
### CE Reviews Due Inquiry

Which of your producers are due for an licensing education compliance review? Which are past due? Run the report to find out.

Please enter, at a minimum, the 'CE Reviews Due By' date.

CE Reviews Due By <input type="text" value="05-31-2014"/>	State <input type="text"/>	Requirement Status Compliant No Longer Required Not Compliant Pending
Sort Order <input type="text" value="Name And State"/>		

[Home](#) | [Help](#) | [Contact Us](#)



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 *mmdyyy* 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 [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.

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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](#).

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## *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.



Logged in as Sircon Demouser [Logout](#)

Licensing Companies Inquiries Express Services Administration

Producer Quick Search

All Reports Recent Reports **License Renewals Due Inquiry**

### License Renewals Due Inquiry

Find out whose licenses are coming up for renewal. You can filter the report by due date, license state, license status, qualifications and business unit.

**Producer Type**  
 Both  Firm  Individual Licensee

**Due Dates**  
From: 04-26-2011 to 12312011

**State**  
[Dropdown]

**License Status**  
[Dropdown]

**Qualifications**  
1244  
A & H - Ltd to Credit Health  
AGY  
Acc Hlth or Sick Reinsurance  
Acc. Hlth. & Sicknes MGA  
Accident & Health (P&C only)  
Accident & Health or Sicknes

**Business Units**  
00001  
00002  
00003  
00004  
123TEST  
AN  
ANG

**Sort Order**  
State and License Type, then Licensee Name

Spreadsheet View

[Submit Offline](#) [View/Refresh Report](#) [Cancel](#)

https://testpm.sircon.com/#name=%2F%3E%3Cscript%3E%2F10%2F95%2FlicRenewalDue.roi%3B%2Fserv - Windows ...

TOC First Prev Next Last Goto Page 1 of 106 100% Search Download Print Help X

State: All States  
 Producer Type: All Producers  
 Ordered by: Licensee Name, then State and License Type  
 Qualification(s): All Qualifications  
 Business Unit(s): All Business Units  
 License Status: All Statuses

Licensee Name	Status	Email Address	EIN/SSN	Res State	Res Lic Nbr	BU(s)
AABIDDER, LOIS	Active		-4537			123TEST (MyCostCenter)
<b>License Information</b>						
License State	License Type	Status	Expiration Date	License Number		
Pennsylvania	Resident Producer	Active	07-17-2011	318870		
<b>Related Active Qualifications</b>						
Casualty and Allied Lines						
Accident and Health						
Life and Fixed Annuities						
Property and Allied Lines						
License State	License Type	Status	Expiration Date	License Number		
Pennsylvania	Resident Producer Individual	Active	07-15-2011	07152009		
<b>Related Active Qualifications</b>						
Casualty and Allied Lines						
Accident and Health						
Variable Life/Variable Annuity						
Life and Fixed Annuities						
Property and Allied Lines						
Licensee Name	Status	Email Address	EIN/SSN	Res State	Res Lic Nbr	BU(s)
AARNIO, LAURA MARIE	Pending		-6835	Georgia	779849	123TEST (MyCostCenter)
<b>License Information</b>						
License State	License Type	Status	Expiration Date	License Number		
Georgia	Resident Agent	Active	12-31-2011	779849		
<b>Related Active Qualifications</b>						
Agent - Accident & Sickness						
Agent - Life						
License State	License Type	Status	Expiration Date	License Number		
Minnesota	Non-Resident Producer	Active	10-31-2011	40191565		
<b>Related Active Qualifications</b>						
Accident and Health						
Life						
Licensee Name	Status	Email Address	EIN/SSN	Res State	Res Lic Nbr	BU(s)
ABRAM, PAUL	Active		-5670	California	0D64700	
<b>License Information</b>						
License State	License Type	Status	Expiration Date	License Number		
Alaska	Managing General Agent	Active	05-28-2011	12365		
<b>Related Active Qualifications</b>						
Casualty						
Property						

License State	Licensee Name	License Status	Email Address	SSN / EIN	Res State	Res License Nbr	Business Units	License Type	License Status	Expiration Date	License Number	Related
Massachusetts	BADLEVPOETING CORP	Inactive		111111111				Non-Res Prdr Business Entity	Inactive	03-02-2012	1745720	(No Relat)
California	DOIT, HOWE	Active		111111111				Non-Res Insurance Producer	Active	01-31-2012	100356	Life Only
Washington	EASTCORP	Active		111111111	MI	000000000	123TEST(MyCost)	Non-Res Surplus Line Broker	Inactive	03-01-2012	134123413241324	(No Relat)
Washington	EASTCORP	Active		111111111	MI	000000000	123TEST(MyCost)	Non-Resident Producer	Inactive	01-31-2012	01012010	(No Relat)
Utah	EASTRND VJV, JUNE MAY	Active	ogroetech@arcon.com	111111111	Michigan	000000000	123TEST(MyCost)	Non-Resident Producer	Inactive	01-31-2012	01012010	(No Relat)
Utah	EDWARD D JONES & CO L P DBA EDWARD JONES	Active		111111111	MO	AG47109	BU2	Non-Res Producer Organization	Inactive	02-29-2012	00220	(No Relat)
Texas	FOGTER, THOMAS R	Active		111111111	Ohio	00004		General Lines Agent	Active	02-19-2012	1489197	Life, Acc
Maryland	HANGER, CHARLES JEFFREY	Active		111111111	Pennsylvania	000001		Non-Resident Producer	Active	02-04-2012	NR186227	Casualty
Pennsylvania	HANGER, CHARLES JEFFREY	Active		111111111	Pennsylvania	000001		Resident Producer Individual	Active	01-31-2012	000001	Casualty
Pennsylvania	HANGER, CHARLES JEFFREY	Active		111111111	Pennsylvania	000001		Resident Producer Individual	Active	01-31-2012	000001	Accident
Pennsylvania	HANGER, CHARLES JEFFREY	Active		111111111	Pennsylvania	000001		Resident Producer Individual	Active	01-31-2012	000001	Life and f
Pennsylvania	HANGER, CHARLES JEFFREY	Active		111111111	Pennsylvania	000001		Resident Producer Individual	Active	01-31-2012	000001	Property
Massachusetts	INACTIVECORP	Active		111111111	MI	000000000		Non-Res Prdr Business Entity	Inactive	03-02-2012	1745720	(No Relat)
Massachusetts	INACTIVECORP	Active		111111111	MI	000000000		Non-Resident Producer	Inactive	03-02-2012	0002749738	(No Relat)
Connecticut	JAMES A CONNORS ASSOCIATES INC	Active		111111111			123TEST, LICSUP	Non-Resident Producer Firm	Active	01-31-2012	002116009	Casualty
Connecticut	JAMES A CONNORS ASSOCIATES INC	Active		111111111			123TEST, LICSUP	Non-Resident Producer Firm	Active	01-31-2012	002116009	Credit Prt
Connecticut	JAMES A CONNORS ASSOCIATES INC	Active		111111111			123TEST, LICSUP	Non-Resident Producer Firm	Active	01-31-2012	002116009	Property
Connecticut	JAMES A CONNORS ASSOCIATES INC	Active		111111111			123TEST, LICSUP	Non-Resident Producer Firm	Active	01-31-2012	002116009	Travel
Wisconsin	JAMES A CONNORS ASSOCIATES INC	Active		111111111			123TEST, LICSUP	Non-Res ins. Intermed. Firm	Active	02-15-2012	1167	None
Nevada	MALLE, ANNE A	Pending		111111111	Michigan	MI15996	YGBU2	Non-Resident Producer	Active	01-31-2012	234524352345234	Casualty
Nevada	MALLE, ANNE A	Pending		111111111	Michigan	MI15996	YGBU2	Non-Resident Producer	Active	01-31-2012	234524352345234	Life
Nevada	MALLE, ANNE A	Pending		111111111	Michigan	MI15996	YGBU2	Non-Resident Producer	Active	01-31-2012	234524352345234	Property
Massachusetts	MASSCORP	Active		111111111	MI	000000000		Non-Res Prdr Business Entity	Inactive	03-02-2012	1745720	(No Relat)
Massachusetts	MASSCORP	Active		111111111	MI	000000000		Non-Resident Broker	Active	03-02-2012	0002745720	Life
Massachusetts	MASSNDV, JIM	Active		111111111	Maryland	RP121294		Non-Resident Broker	Active	03-02-2012	000555745720	Life
Massachusetts	MASSPOET CORP	Active		111111111	MI	01012010		Non-Res Prdr Business Entity	Inactive	03-02-2012	1745720	(No Relat)
California	NELSON, GLORIA JEAN	Active		111111111	California	GA92305		Resident Insurance Producer	Active	02-29-2012	0492305	Fire and
Pennsylvania	NEWTON, GAAC A	Active	ogroetech@arcon.com	111111111	Michigan	100356		Non-Res Producer Individual	Active	03-10-2012	03-10-2010	Variable
Pennsylvania	NEWTON, GAAC A	Active		111111111	Michigan	100356		Non-Res Producer Individual	Active	03-10-2012	03-10-2010	Life and
Louisiana	POCHE, JOHN	Active		111111111	Michigan	100356	TEST BU	Non-Resident Producer	Active	01-31-2012	100356	Casualty
Louisiana	POCHE, JOHN	Active		111111111	Michigan	100356	TEST BU	Non-Resident Producer	Active	01-31-2012	100356	Health an
Louisiana	POCHE, JOHN	Active		111111111	Michigan	100356	TEST BU	Non-Resident Producer	Active	01-31-2012	100356	Life
Louisiana	POCHE, JOHN	Active		111111111	Michigan	100356	TEST BU	Non-Resident Producer	Active	01-31-2012	100356	Var Life
Louisiana	POCHE, JOHN	Active		111111111	Michigan	100356	TEST BU	Non-Resident Producer	Active	01-31-2012	100356	Property
Massachusetts	POET CORP	Active		111111111	MI	000000000		Non-Res Prdr Business Entity	Active	03-01-2012	03012010	Life
Massachusetts	POET, MA	Active		111111111	Maryland	RP121294		Non-Resident Producer	Active	03-01-2012	03012010	Life
Idaho	SMITH, J BRIAN JR	Pending		111111111	Ohio	708482		Non-Resident Producer	Active	01-31-2012	111188	Disability
Idaho	SMITH, J BRIAN JR	Pending		111111111	Ohio	708482		Non-Resident Producer	Active	01-31-2012	111188	Life
Iowa	SMITH, J BRIAN JR	Pending		111111111	Ohio	708482		Non-Resident Producer	Active	01-31-2012	0008669	Accident
Iowa	SMITH, J BRIAN JR	Pending		111111111	Ohio	708482		Non-Resident Producer	Active	01-31-2012	0008668	Life
New Jersey	SMITH, J BRIAN JR	Pending		111111111	Ohio	708482		Non-Resident Producer	Active	01-31-2012	0008401	Life
New Jersey	SMITH, J BRIAN JR	Pending		111111111	Ohio	708482		Non-Resident Producer	Active	01-31-2012	0008401	Accident

To open the **License Renewals Due Inquiry** page, from the [Inquiries](#) menu select [Producer Management](#), 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 *mmdyyyy* 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 *mmdyyyy* 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 (  ) associated with the inquiry on the [Recent Reports](#) 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.

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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](#), [Automated Data Reconciliation Data Normalizers and Processing Messages Guide](#), or consult your Vertafore representative.

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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, [Automated Data Reconciliation Data Normalizers and Processing Messages Guide](#), 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 [Recent Reports](#) page.

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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.

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## *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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### Individual Associations Inquiry

Search Firm

Please enter at least one of the search criteria below:

**Firm Name**

**EIN**  **NPN**  **Active Business Unit**

**License Number**  **License State**

**External System ID**  **Primary External ID Only**

Records Per Page:

Displaying 1 - 10 (of 19 matching records) Page 1 of 2

Name	EIN	License State/#	NPN	Active BU	City	State
<a href="#">FITZGERALD CLAYTN JMES KASTENSIC</a>	00-9924714				MILWAUKEE	WI
<a href="#">FITZGERALD CLAYTON JAMES &amp; KASTEN</a>	39-1570826	AZ 30430			MILWAUKEE	WI
<a href="#">FITZGERALD INS AGENCY/20000299</a>	01-5426861					
<a href="#">FITZGERALD INSURANCE AGENCY</a>	00-9950059					
<a href="#">FITZGERALD INSURANCE AGENCY</a>	00-9933802					
<a href="#">FITZGERALD INSURANCE AGENCY INC</a>	00-9940491					
<a href="#">FITZGERALD LEO W</a>	00-9935398					
<a href="#">FITZGERALD THOMAS A TERM</a>	00-9902147	NY BR675983				
<a href="#">FITZGERALD, MICHAEL GERALD</a>	00-9901518	CA OA77368				
<a href="#">FITZGIBBONS ARNOLD &amp; CO AGCY INC</a>	34-1675020	ME AGN36865				

Page 1 of 2

Displaying 1 - 10 (of 19 matching records) Page 1 of 2

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01-05-2012 **Individual Associations** Page 1 of 4

**Firm** FITZGIBBONS ARNOLD & CO AGCY INC **Firm ID** 7876 **EIN** 34-1675020

**Associated Individuals**

Individual Name	SSN	Begin Date	End Date
ARNOLD, DAVID M	-3679	03-06-1997	
Association State Ohio			
Association Type	Position	Begin Date	End Date
Agent		03-06-1997	
State Registered No			
Individual Name	SSN	Begin Date	End Date
ARNOLD, RICHARD E	-3126	09-13-1989	
Association State Pennsylvania			
Association Type	Position	Begin Date	End Date
Broker		08-20-1998	
State Registered No			
Association State Ohio			
Association Type	Position	Begin Date	End Date
Agent		09-13-1989	
State Registered No			
Individual Name	SSN	Begin Date	End Date
BLATNIK, MATTHEW W	-2403	11-24-1995	
Association State Ohio			
Association Type	Position	Begin Date	End Date
Agent		11-24-1995	
State Registered No			
Individual Name	SSN	Begin Date	End Date
BROWN, CATHY A	-6122	11-24-1995	
Association State Ohio			
Association Type	Position	Begin Date	End Date
Agent		11-24-1995	
State Registered No			
Individual Name	SSN	Begin Date	End Date
DELFS, EDWARD R	-7818	09-03-1995	12-08-1995
Association State Ohio			
Association Type	Position	Begin Date	End Date
Agent		09-03-1995	12-08-1995
State Registered No			
Individual Name	SSN	Begin Date	End Date
DILLON, GERTRUDE M	-3402	11-25-1985	
Association State Washington			
Association Type	Position	Begin Date	End Date
Agent		04-23-1998	
State Registered No			

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

- From the [Inquiries](#) menu select [Producer Management](#), 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 [Inquiry Output Window](#). 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 [Inquiry Output Window](#).
- **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 [Inquiry Output Window](#), 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.

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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](#).

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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 10795  
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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

**Background Investigations**

Status Date  
  Request Date  
  Result Date  
  Review Date

Begin Date    End Date

**BI Status**  
 BI Firm is Processing Request  
 Error  
 Pending Submission  
 Processed

**BI Result**  
 Fail  
 Review  
 Pass

**Review Result**  
 Fail  
 Review  
 Pass

**Last Updated By**  
 BAKER, PAT  
 BARAJAS, JUAN  
 Barott, Chris

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**Related Appointment Requests**

**Submit Status**  
 Approved  
 Denied  
 Error

**BI Processing Instruction**  
 Auto Proc Request if BI Passes  
 Hold Request until BI Review  
 Submit Request linked to BI

**BI Processing Status**  
 BI Processed  
 Cancelled due to BI  
 On Hold pending BI Result

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BI Firm Name	Request Date	Status	Status Date	BI Result	BI Result Date	Review Result	Last Review By
	Result Comment		Error Description		Cost Center	Method	SIRCON ID
GIS	09-17-2009	Processed	09-17-2009	Fail	09-17-2009		SYSTEM_USER
							SIRCON
							10190966
<b>Investigation Types</b>							
Credit Check		Criminal Federal			Criminal Local/County		
GIS	09-17-2009	Processed	09-17-2009	Pass	09-17-2009		SYSTEM_USER
							SIRCON
							10190971
<b>Investigation Types</b>							
Credit Check		Criminal Federal			Criminal Local/County		
GIS	09-17-2009	Processed	09-17-2009	Pass	09-17-2009		SYSTEM_USER
							SIRCON
							10191027
<b>Investigation Types</b>							
Credit Check		Criminal Federal			Criminal Local/County		
GIS	09-17-2009	Processed	09-17-2009	Pass	09-17-2009		SYSTEM_USER
							SIRCON
							10190974
<b>Investigation Types</b>							
Credit Check		Criminal Federal			Criminal Local/County		
GIS	09-17-2009	Processed	09-17-2009	Fail	09-17-2009		SYSTEM_USER
							SIRCON
							10190967
<b>Investigation Types</b>							
Credit Check		Criminal Federal			Criminal Local/County		

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 [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.

---

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.

---

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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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**Producer Manager™**

Test for 10795  
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Producer Quick Search

All Reports
Recent Reports
Business Unit Interest Inactivation Inquiry

### Business Unit Interest Inactivation Inquiry

Get a "heads up" that a producer should be terminated by running this report to discover when other business units have already inactivated the producer.

Please enter, at a minimum, the 'Business Unit Interest Inactivation' dates.

**Business Unit Interest Inactivation, Between**

Begin Date  End Date

**Search By:**

**Staff Member**

**Business Unit**

BU Name

00001  
 00002  
 00003  
 00004  
 123TEST

Submit Offline
View/Refresh Report
Cancel

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 devapsrv3vm.sircon.com - 480e2106-877d-4ed6-9cee-1cfa8c30d85

https://sdbuat.sircon.com/?id=277&connectionhandle=W7whm8pUho%2btg5MUyUgZxq1%2brbtKHLkAq7RmnwSb - Windows Internet Explorer

TOC First Prev Next Last Goto Page 1 of 1 100% Search Download Print Help X

06-14-2012 **Business Unit Interest Inactivation Inquiry** Page 1 of 1

Inactivation Date: Between 06-14-2012 And 06-14-2012  
 Search By: Business Unit  
 Staff Member:  
 BU Name(s): All Business Units

Entity Type	Firm	Producer Name	EIN	Business Unit(s)
		BOWERMASTER & ASSOC INS AGENCY, INC	41-2048776	AARP_CERT
BU Name	Status	Begin Date	End Date	
N/A	Inactive	06-14-2012	06-14-2012	
Entity Type	Individual Licensee	Producer Name	SSN	Business Unit(s)
		AARON, RAYNEL S	206-	AARP_CERT
BU Name	Status	Begin Date	End Date	
N/A	Inactive	06-14-2012	06-14-2012	

05-16-2014 **Business Unit Interest Inactivation Inquiry** Page 1 of 1



Inactivation Date: Between 01-01-2011 And 05-16-2014  
 Search By: Business Unit  
 Staff Member:  
 BU Name(s): 123TEST

Entity Type	Individual Licensee			
Producer Name	Aster, Olivia	SSN123-	Business Unit(s) NATBU	
BU Name	Status	Begin Date	End Date	
123TEST	Inactive	05-01-2009	03-01-2012	
Producer Name	Bab, Rob	SSN778-	Business Unit(s)	
BU Name	Status	Begin Date	End Date	
123TEST	Inactive	05-05-2014	05-06-2014	
Producer Name	GARBER, BRIAN J	SSN053-	Business Unit(s)	
BU Name	Status	Begin Date	End Date	
123TEST	Inactive	05-07-2014	05-07-2014	
Producer Name	Tabor, TY	SSN999-	Business Unit(s) ANG, BU2	
BU Name	Status	Begin Date	End Date	
123TEST	Inactive	05-16-2011	05-16-2011	

To open the **Business Unit Interest Inactivation Inquiry** page, from the [Inquiries](#) menu, select [Producer Management](#), 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 () 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](#).

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## *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.

The screenshot shows the Sircon Producer Manager interface. At the top, there is a navigation menu with 'Inquiries' selected. The main heading is 'Producer Licenses Inquiry'. Below this, there is a form with the following fields:

- Producer Type:** Individual (dropdown)
- Business Unit:** IM, ML, PL, SR (checkboxes)
- State:** Pennsylvania (dropdown)
- Status:** (dropdown)
- License Types:** Non-Res Producer Individual, Resident Producer Individual (checkboxes)
- Begin Date:** 01-01-2011 (calendar)
- End Date:** 07-01-2011 (calendar)
- Show Historical:** (checkbox)

Below the form, there is a search bar and a summary: 'The criteria you have selected will result in a report containing 3 licenses.' Buttons for 'Submit Offline', 'View/Refresh Report', and 'Cancel' are present.

The browser window below shows the report for '01-11-2012'. The report title is 'Producer Licenses Inquiry' and it is 'Page 1 of 1'. The report includes the following summary:

- License Status Date:** Between 01-01-2011 And 07-01-2011
- Status:** All Statuses
- State:** Pennsylvania
- Licenses(s):** All License Types
- Associated Firm:** All Firms
- Producer Type:** Individual Licensee (IL)
- Business Unit(s):** All Business Units

The report contains three producer entries, each with a table of license details:

Producer Name	SSN	Producer Id	Business Units	State
AULBERT, MARGARITA	-4058	340583		PA
<b>License Type</b>				
Non-Res Producer Individual	600119	06-09-2011	Active	06-09-2011 04-30-2014
<b>Qualification Type</b>				
Casualty and Allied Lines	06-09-2011	Active	06-09-2011	04-30-2014
Property and Allied Lines	06-09-2011	Active	06-09-2011	04-30-2014
HOLGUIN, SARA P	-3381	343381		PA
<b>License Type</b>				
Non-Res Producer Individual	603040	04-15-2011	Active	04-15-2011 09-30-2013
<b>Qualification Type</b>				
Casualty and Allied Lines	04-15-2011	Active	04-15-2011	09-30-2013
Property and Allied Lines	04-15-2011	Active	04-15-2011	09-30-2013
OWENS, JOSEPH ROBERT	-3407	340730		PA
<b>License Type</b>				
Resident Producer Individual	620181	07-01-2011	Active	07-01-2011 09-30-2013
<b>Qualification Type</b>				
Casualty and Allied Lines	07-01-2011	Active	07-01-2011	09-30-2013
Property and Allied Lines	07-01-2011	Active	07-01-2011	09-30-2013

To open the **Producer Licenses Inquiry** page, from the [Inquiries](#) menu select [Producer Management](#), 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 *mmdyyy* date format. Or, click the **Calendar** button () to open a popup calendar from which you can click to select a date.
- **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 *mmdyyy* 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](#).

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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.)

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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.

The screenshot shows the Vertafore Producer Manager interface. The top navigation bar includes 'Licensing', 'Companies', 'Inquiries', 'Express Services', and 'Administration'. The user is logged in as 'Valued User'. The 'CE Status Inquiry' report is selected in the 'All Reports' menu. The main form allows filtering by 'Review Due Date' (Begin Date: 05-01-2007, End Date: 05-12-2014), 'Requirement Status Date' (Begin Date, End Date), 'Requirement Type', 'Jurisdiction' (National, Alabama, Alaska, American Samoa, Arizona), and 'Status' (Compliant, No Longer Required, Not Compliant, Pending). Buttons for 'Submit Offline', 'View/Refresh Report', and 'Cancel' are visible.





The browser window shows the report results for '10-28-2009'. The report includes the following table:

Individual Name	SSN	Jurisdiction	Requirement	Due Date	Status	Status	Course Name	Provider
BLAYLOCK, SANDI	195-	National	AML	11-30-2009	Pending	02-27-2009		
BLAYLOCK, SANDI	195-	National	IA Index Annuity	12-01-2009	Pending	02-27-2009		
BLAYLOCK, SANDI	195-	National	Life and Health	11-25-2009	Pending	02-27-2009		
DANZ, MICHAEL	789-	Michigan	Property and Casualty	01-14-2009	Pending	01-14-2009		
DOE, JILL	195-	National	254531	10-27-2010	Compliant	10-27-2009		
DOE, JOHN	123-	National	254531	05-11-2010	Compliant	05-12-2009		
DOE, JOHN	123-	National	Life and Health	07-01-2009	Compliant	05-12-2009	All About Life and Health	Sircon University
FAFARD, RICHARD	195-	Michigan	Life and Health	11-30-2009	Pending	02-27-2009	Life and Health	CE Online

To open the **CE Status Inquiry** page, from the [Inquiries](#) menu, select [Producer Management](#), 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 [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.

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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](#).

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## *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.

**Vertafore Producer Manager™** UAT for 50015  
 Logged in as Valued User Logout  
 Licensing Companies Inquiries Express Services Administration  
 All Reports Recent Reports **Credential Status Inquiry**

**Credential Status Inquiry**  
 Generate lists of producers holding active, inactive, and expiring education credentials.

**Filter Criteria**

Active Credentials  
 Expiration Date  
 Begin Date  End Date

Inactive Credentials

**Credentials**  
 California: \$\$ California Annuity Credential \$\$  
 Montana: Montana Annuities  
 Nebraska: Nebraska Annuities  
 New York: New York LTC-P Credential  
 New York: New York LTC-P Program

**Producer Status**  
 Active  
 Inactive  
 Pending

**Display Configuration**  
 External System Type

Submit Offline View/Refresh Report Cancel

Home | Help | Contact Us

Active Portal - [credentialStatusExpiration] - Windows Internet Explorer  
 TOC First Prev Next Last Goto Page 1 of 3 100% Search Download Print

05-06-2011 **Credential Status Inquiry** Page 1 of 3

Expiration Date: No Expiration/All Dates  
 Credential(s): California : \$\$ California Annuity Credential \$\$  
 Producer Status: Active (AC), Pending (PN)

Individual Name	External System ID	Regulatory Body	Credential Name	Expiration Date	Mailing Address Line 1	Mailing Address Line 2	City	State	Postal Code	E-mail Code
CLARK, ALLAN		California	\$\$ California Annuity Credential \$\$		PO BOX 938		ANACONDA	MT	59711	
FORNIAN, CALLIE A		California	\$\$ California Annuity Credential \$\$		123 MyStreet		Long Beach	CA	93300	
FOSTER, THOMAS R		California	\$\$ California Annuity Credential \$\$		5700 WINDRIDGE CRUSSWY'S PK DR		CINCINNATI	OH	45243	
DRUDLEY, BARD		California	\$\$ California Annuity Credential \$\$							
EARLY, STU		California	\$\$ California Annuity Credential \$\$		2112 University Park Dr		Orchard	CA	93364	
EAST, SANDRA D		California	\$\$ California Annuity Credential \$\$		P O BOX 6006		RIDGELAND	MS	391586006	
ELIAN, SIR		California	\$\$ California Annuity Credential \$\$		2112 University Park Dr	asdf	Britian		33990	
EMERSON, RALPH YOHO		California	\$\$ California Annuity Credential \$\$		Mailing Line One	Suite 800	Paradise City	MI	12345	dgroetsch@sircon.com



To open the **Credential Status Inquiry** page, from the [Inquiries](#) menu select [Producer Management](#), 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 *mmdyyy* date format. Or, click the **Calendar** button () 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 *mmdyyy* 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 [Recent Reports](#) tab.
- **View/Refresh Report:** Click the **View/Refresh Report** button to execute the inquiry on demand. The report will open in the [Inquiry Output Window](#).
- **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

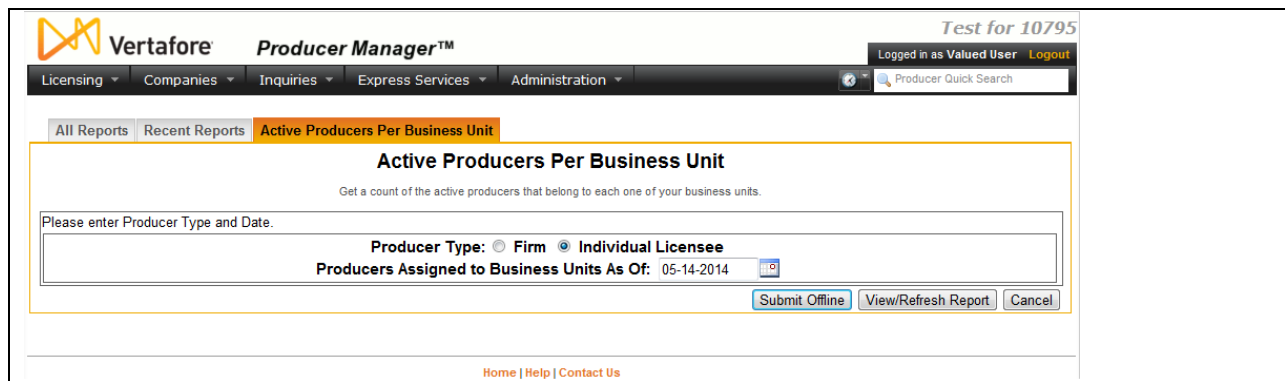
until the system has finished recalculating the producer records affected by the change in education credential(s).

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 Inactive); **CM** - 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.



05-14-2014      **Active Producers Per Business Unit**      Page 1 of 1

Status Date: 05-14-2014  
 Producer Type: Individual  
 Status: Active  
 Total Number of Active Individuals: 1234

Business Unit Name	No. of Active Individuals
TEST BU	29
TBU3	9
YQBU2	9
LICSUP	23
TestBU1152	1
TestBU1161	1
TestBU1183	1
TestBU1207	1
TestBU121	1
TestBU1129	1
EVEREST	1
00003	6
MFBU	1
TestBU1007	1
TestBU1008	1
TestBU1010	1
TestBU1012	1

To open the **Active Producers Per Business Unit Inquiry** page, from the [Inquiries](#) menu select [Producer Management](#), 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 *mmdyyy* 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 [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.

## 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.

**Vertafore Producer Manager™** UAT for  
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 Licensing Companies Inquiries Express Services Administration  
 Producer Quick Search

All Reports Recent Reports **Active Licenses and Appointments Inquiry**

### Active Licenses and Appointments Inquiry

Presents license and appointment data in a way that is easier for the customer to quickly determine which products producers can sell. Currently, only the Agency install version of this report is available.

**Group by Carrier**  
 Generates a report of producer licenses and appointments for writing companies. This does not include pending licenses or licenses that do not support appointments.

**Group by State**  
 Generates a report of pending or active producer licenses with and without appointments.

<b>Carriers</b> 21st Century ACE AEGON Aetna AIG AIG-LH AIGM Allianz-LH	<b>Writing Companies</b> 21st Century 21ST CENTURY 21st Century Insurance Company 21st Century Insurance Company of the Southwest ACE Ace America Ins Co Ace Fire Underwriters Ins Co Ace Property and Casualty Ins Co
<b>States</b> Alabama Alaska American Samoa Arizona Arkansas Armed Forces Americas Armed Forces Other Armed Forces Pacific	<b>Business Units</b> AGY CSR NPROD PROD SUPPORT TEST

The selected criteria may return a large amount of data, causing the Excel View of the report to be incomplete. All returned data will be available in the main report information pop-up window and, if using the in-report searching capability, up to 5000 rows can be downloaded into the comma delimited format (.csv).

[Submit Offline](#) [Cancel](#)

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Carrier	Writing Company	Producer Name	NPN	Business Units	License State	License Type	License
Eclectic Insurance Company	Eclectic Insurance Company	ADAMS, AMY MERLE	0000000	PROD	Connecticut	Producer	002356
Eclectic Insurance Company	Eclectic Insurance Company	ADAMS, AMY MERLE	0000001	PROD	Connecticut	Producer	002358
Eclectic Insurance Company	Eclectic Insurance Company	ADDIS, JESSICA LEANN	0000002	PROD	Connecticut	Producer	002293
Eclectic Insurance Company	Eclectic Insurance Company	ADDIS, JESSICA LEANN	0000003	PROD	Connecticut	Producer	002293
Eclectic Insurance Company	Eclectic Insurance Company	ADDIS, STEVEN JAMES	0000004	PROD	Connecticut	Producer	002358
Eclectic Insurance Company	Eclectic Insurance Company	ADDIS, STEVEN JAMES	0000005	PROD	Connecticut	Producer	002356
Eclectic Insurance Company	Eclectic Insurance Company	ALLEN, JOSHUA JAMES	0000006	PROD	Connecticut	Producer	002246
Eclectic Insurance Company	Eclectic Insurance Company	ALLEN, JOSHUA JAMES	0000007	PROD	Connecticut	Producer	002246
Eclectic Insurance Company	Eclectic Insurance Company	ANDERSON, MATTHEW JAMES	0000008	PROD	Connecticut	Producer	002356
Eclectic Insurance Company	Eclectic Insurance Company	ANDERSON, MATTHEW JAMES	0000009	PROD	Connecticut	Producer	002356
Eclectic Insurance Company	Eclectic Insurance Company	ANDRIASSIAN, SEVAK	0000010	PROD	Connecticut	Producer	002244
Eclectic Insurance Company	Eclectic Insurance Company	ANDRIASSIAN, SEVAK	0000011	PROD	Connecticut	Producer	002244
Eclectic Insurance Company	Eclectic Insurance Company	BABCOCK, ADAM STANLEY	0000012	PROD	Connecticut	Producer	002356
Eclectic Insurance Company	Eclectic Insurance Company	BABCOCK, ADAM STANLEY	0000013	PROD	Connecticut	Producer	002356
Eclectic Insurance Company	Eclectic Insurance Company	BAILES, AMANDA DANE	0000014	PROD	Connecticut	Producer	002353
Eclectic Insurance Company	Eclectic Insurance Company	BAILES, AMANDA DANE	0000015	PROD	Connecticut	Producer	002353
Eclectic Insurance Company	Eclectic Insurance Company	BARNETT, ANNA	0000016	PROD	Connecticut	Producer	002333
Eclectic Insurance Company	Eclectic Insurance Company	BARNETT, ANNA	0000017	PROD	Connecticut	Producer	002333
Eclectic Insurance Company	Eclectic Insurance Company	BARRAZA, WAGNER GUSTAV	0000018	PROD	Connecticut	Producer	002244
Eclectic Insurance Company	Eclectic Insurance Company	BARRAZA, WAGNER GUSTAV	0000019	PROD	Connecticut	Producer	002244
Eclectic Insurance Company	Eclectic Insurance Company	BASLE, RYAN GUY	0000020	PROD	Connecticut	Producer	002356
Eclectic Insurance Company	Eclectic Insurance Company	BASLE, RYAN GUY	0000021	PROD	Connecticut	Producer	002356
Eclectic Insurance Company	Eclectic Insurance Company	DEAN, MICAH JUSTIN	0000022	PROD	Connecticut	Producer	001001

To open the **Active Licenses and Appointments Inquiry** page, from the [Inquiries](#) menu select [Producer Management](#), 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 [Recent Reports](#).
- **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.

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## *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.

**Vertafore** **Producer Manager™**Test for 10795  
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All Reports Recent Reports **Producer Costs Inquiry**

### Producer Costs Inquiry

Shows the regulatory costs associated with producers.

**Date Range of Incurred Costs**

Begin Date:  End Date:

**Filter Criteria**

Selecting the following criteria will limit the costs displayed in the report but will not exclude costs that are not associated with a producer.

**States:**

- Alabama
- Alaska
- American Samoa
- Arizona
- Arkansas
- California
- Colorado
- Connecticut
- Delaware

**Service Types:**

- APPT
- 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 report to those associated with a producer.

**Business Units:**

- TestBU969
- TestBU97
- TestBU970
- TestBU971
- TestBU972
- TestBU973
- TestBU974
- TestBU975
- TestBU976

**Locations:**

- Pittsburgh PA
- PulsarChangeLocation
- Rives Junction
- Walla Walla WA

**Departments:**

- Product Management
- PulsarChangeDept
- QA
- QA1
- QA9
- Regression\_Dept

**Format Options**

**Mask SSNs:**  (\*\*\*-\*\*-1234)

The criteria you have selected will result in a report containing approximately 7 rows.



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	A	B	C	D	E	F	G	H	I	J	K	L	M
1	State	Service Type	Residency	Transaction Date	Transaction ID	State Fee	Sicon Fee	Producer TIN	Producer Name	Entity Type	Business Unit	Location	Department
2	CO	License Application (LICAPPL)	RES	8/10/2011	3851180	284	8.55	***-**-0430	Smith-Wesson, Sally	IL	LICSUP		
3	CO	License Application (LICAPPL)	RES	8/10/2011	3851180	284	8.55	***-**-0430	Smith-Wesson, Sally	IL	ANO		
4	CO	License Application (LICAPPL)	RES	8/10/2011	3851183	284	8.55	***-**-0430	Grisham, Tyler	IL	LICSUP		
5	CO	Individual Status Inquiry (ILSTSQ)		8/10/2011	3851185	0	1	***-**-0430	Grisham, Tyler	IL	LICSUP		
6	CO	Agency License Renewal (AGLICRNWL)	NON	8/10/2011	3851141	0	0	82-0409975	Age and See Agency	AGY	LICSUP		
7	TN	Agency License Renewal (AGLICRNWL)	NON	8/10/2011	3851142	0	0	82-0409975	Age and See Agency	AGY	LICSUP		
8	CO	License Application (LICAPPL)	NON	8/10/2011	3850764	224	8.55	82-0409975	Age and See Agency	AGY	LICSUP		
9	CT	License Application (LICAPPL)	NON	8/10/2011	3850765	0	8.55	82-0409975	Age and See Agency	AGY	LICSUP		

To open the **Producer Costs Inquiry** page, from the [Inquiries](#) menu select [Producer Management Inquiries](#), 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 *mmdyyy* 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 *mmdyyy* 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 [Recent Reports](#).
- **Cancel:** Click to open the Producer Manager Home page.

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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.

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## *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.

**CE Deficiency Inquiry**

Which of your producers have an active license that is expiring soon and have not yet completed their continuing education requirements? Generate a list of producers who are CE deficient.

**Criteria**

**Active Licenses Expiring In:** 30 Days

**States:** California, Colorado, Connecticut, Georgia

**Business Units:** 00001, 00002, 00003, 00004

[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
Cannella, Sally (VA) SSN: ***-**-3145   BU: BUS	VA	40547577	Producer	09-16-2011	955 Hall Street...	Law & Regulatio...	Pending	2.0	0.0	[Icon]
Cannella, Sally (VA) SSN: ***-**-3145   BU: BUS	VA	40547577	Producer	09-16-2011	955 Hall Street...	Life & Health	Pending	8.0	0.0	[Icon]
Cannella, Sally (VA) SSN: ***-**-3145   BU: BUS	VA	40547577	Producer	09-16-2011	955 Hall Street...	Total	Pending	24.0	0.0	[Icon]
Cannella, Sally (VA) SSN: ***-**-3145   BU: BUS	VA	40547577	Producer	09-16-2011	955 Hall Street...	Property & Casu...	Pending	8.0	0.0	[Icon]
Cooper, Kathy (UT) SSN: ***-**-8031   BU: QARBU	UT	288429	Resident Producer Individual	09-16-2011	4868 Thomas Street...	Total	Not Compliant	24.0	19.0	[Icon]
Gabriel, Adalbert (VA) SSN: ***-**-5397   BU: BUS	VA	40865782	Producer	09-16-2011	4775 Marsh Rd...	Title	Pending	8.0	0.0	[Icon]
Gabriel, Adalbert (VA) SSN: ***-**-5397   BU: BUS	VA	40865782	Producer	09-16-2011	4775 Marsh Rd...	Total	Pending	24.0	0.0	[Icon]
Gabriel, Adalbert (VA) SSN: ***-**-5397   BU: BUS	VA	40865782	Producer	09-16-2011	4775 Marsh Rd...	Property & Casu...	Pending	8.0	0.0	[Icon]
Gabriel, Adalbert (VA) SSN: ***-**-5397   BU: BUS	VA	40865782	Producer	09-16-2011	4775 Marsh Rd...	Life & Health	Pending	8.0	0.0	[Icon]
Gabriel, Adalbert (VA) SSN: ***-**-5397   BU: BUS	VA	40865782	Producer	09-16-2011	4775 Marsh Rd...	Law & Regulatio...	Pending	2.0	0.0	[Icon]

Key: [Icon] = View CE Transcript Report

23 active producer license records found, displaying 11 to 20. [First/Prev] 1, 2, 3 [Next/Last]

To open the **CE Deficiency Inquiry** page, from the [Inquiries](#) 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** (🔍): 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.

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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.

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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](#).

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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.

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### *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.

The screenshot shows the Vertafore Producer Manager interface. At the top, it says "Vertafore Producer Manager™" and "Test for 10795". The user is logged in as "Valued User". The navigation menu includes "Licensing", "Companies", "Inquiries", "Express Services", and "Administration". The "Inquiries" menu is expanded, showing "All Reports", "Recent Reports", and "Professional Liability Insufficient Coverage Inquiry".

The "Professional Liability Insufficient Coverage Inquiry" page has the following fields:

- Insufficient Coverage As Of \***: 01-31-2014
- Only include Producers with expired coverage.
- Coverage Type \***: Errors & Omissions And Bond
- Producer Type**: Both
- Producer Status**: Active
- Business Units**: A dropdown menu with options: 00001, 00002, 00003, 00004, 123TEST, AAA, AAABU, ADFADF, ALLCODES, ALLLONG, ALLTHREE, AN, ANG, B3.

Buttons for "Submit Offline" and "Cancel" are at the bottom right of the form.

Below the form is an Excel spreadsheet showing the results of the inquiry. The spreadsheet has the following columns: Producer Name, Producer Type, PM Producer Id, NPN, Email Address, Phone Number, Address, Coverage Type, Company Name, and Policy Number.

Producer Name	Producer Type	PM Producer Id	NPN	Email Address	Phone Number	Address	Coverage Type	Company Name	Policy Number
A & H INSURANCE	AGY	5233			7025641031	6 WATER STREET HENDERSON , NV 89015			
BATTLE & KEETON	AGY	5226			4057223511	6921 NORTH CLASSEN BLVD. OKLA CITY, OK 73116			
CABALLERO, JAMIE S	IL	52017			2342342345	1105 FOREST WOODS DRIVE CHARLOTTE, NC 28212			
DAN CORRIGAN	AGY	5009			2103402182	5300 WALZEM RD STE 200 SAN ANTONIO , TX 78213	BOND	Acme Corp	5764765767
DAN CORRIGAN	AGY	5009			2103402182	5300 WALZEM RD STE 200 SAN ANTONIO , TX 78213	POLICY	Loyal Pip Inc	23454
DURE-CARRIER-GODCHAUX AGENCY, INC.	AGY	5228			3379489186	306 WEST LAIRDY STREET OPELOUSAS, LA 70570			
GAARDELLA, ARNOLD P	IL	43282				4104 STONEBROOKE ROAD AMES, IA 50010			
GABELER, DALE M	IL	59765				38406 129 ST ABERDEEN, SD 57401			
GOLSETH & GREGSON INS SERVICES INC	AGY	5253			5205717737	P O BOX 13698 TUCSON, AZ 857323598			
HORIZON AGENCY	AGY	5212			9529442929	11000 WEST 78TH ST, STE 300 EDEN PRAIRIE, MN 55344			
INTERSTATE TRUCKERS INS AGCY	AGY	5315			2083228313	6056 CORPORAL LANE BOISE, ID 83704			
JOHNSON, ADA B	IL	53310	23444		2342342345	PO BOX 26967 OKLAHOMA CITY, OK 73126			
LADUKE, SANDY	IL	75843			8606260889	18 OLIVIER LANE SOUTHWINGTON, CT 06489			
LADYK, GILBERT III	IL	7106				PO BOX 6989 MOBILE, AL 36680			
LASIKSURGE, SUSAN	IL	50868			2342342345	PO BOX 2500 HAVRE, MT 59501	BOND	Issalle CCompany	556356
LASIKSURGE, SUSAN	IL	50868			2342342345	PO BOX 2500 HAVRE, MT 59501	POLICY	Lasalle Company	56453425


To open the **Professional Liability Insufficient Coverage Inquiry** page, from the [Inquiries](#) menu select [Producer Management](#), 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 both coverage types, from the dropdown menu select Errors & Omissions And Bond.
  - To report producers with insufficient professional liability coverage of either 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.

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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.

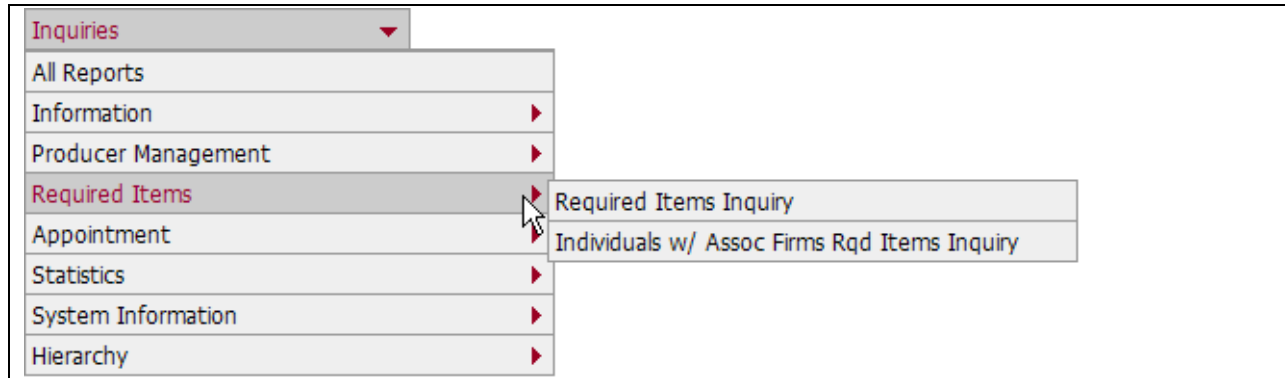
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To search for producers with professional liability coverage that will expire by a certain future date, enter the date in the **Insufficient coverage as of** field. Or, to search for producers with professional liability coverage that has lapsed, enter 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 [Producer Express Bulk Processing Module User Guide](#).

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# Required Items Inquiries

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



The **Required Items** sub-menu of the [Inquiries](#) menu may offer the following options:

- [Required Items Inquiry](#)
- [Individuals with Associated Firms Required Items Inquiry](#)


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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](#).

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## *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.



UAT for

Logged in as Valued User [Logout](#)

Licensing
Companies
Inquiries
Express Services
Administration

[All Reports](#) | [Recent Reports](#) | **[Required Items Inquiry](#)**

### Required Items Inquiry

Find out which producers have not yet provided items required for licensure in any state or in just one.

**Producer Type**

Firm  Individual Licensee

**Follow-up Date**

All dates

All items that are Past Due

Between   and

**Status**

Requested

All dates

Requested/Received In the Last Week

Between   and

**Required Items**

- CE Completion
- Fingerprint Card
- Identify Correct Agency Lic.
- Lapsed License - Branch Action
- License
- NPN Missing
- Need Agency Lic. Before Active

**States**

- Alabama
- Alaska
- American Samoa
- Arizona
- Arkansas
- Armed Forces Americas
- Armed Forces Other

**Staff Members**

- User, Valued
- Admin, Sircon
- ADMINISTRATOR, SIRCON

**Business Units**

- ASURION
- CHUG
- CPYADJSTR
- Chicago
- GRNSBRG
- GWCC
- JHIA

Displaying 1 - 9 (of 9 matching records) Page 1 of 1

Producer Name	SSN	State	Status	Type	Bus. Unit	Follow-up Date
<a href="#">Jost, Stephen F</a>	***-**-2009	New York	Requested	Fingerprint Card		10-22-2009
<a href="#">Miles, Joan Christy</a>	***-**-2009	New York	Requested	Fingerprint Card		10-22-2009
<a href="#">Lercel, John Michael</a>	***-**-2009	New York	Requested	Fingerprint Card		11-02-2009
<a href="#">TARR, WILLIAM L</a>	***-**-2009	New York	Requested	Fingerprint Card		12-09-2009
<a href="#">NEACE, JOHN F</a>	***-**-2009		Requested	Lapsed License - Branch Action		10-01-2011
<a href="#">Jost, Stephen F</a>	***-**-2009	Alabama	Requested	CE Completion		08-31-2012
<a href="#">ANIELLO, RICHARD T</a>	***-**-2009	Delaware	Requested	NPN Missing		
<a href="#">CAYLOR, THADDEUS M</a>	***-**-2009	New York	Requested	Fingerprint Card		
<a href="#">Hessel, Robert Wesley</a>	***-**-2009	Illinois	Requested	Need Indiv. Lic. Before Active		

Displaying 1 - 9 (of 9 matching records) Page 1 of 1

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06-14-2012		Individual Required Items Inquiry			Page 1 of 1	
<b>Items Requested:</b>	12-31-1969 through 06-14-2012					
<b>Follow-up Date:</b>	12-31-1969 through 06-13-2012					
<b>Required Items:</b>	All Items					
<b>States:</b>	All States					
<b>Business Units:</b>	All Business Units					
<b>Date Range:</b>	Compared against all request dates.					
<b>Submitting Staff Members:</b>	All Submitting Staff Members					
<hr/>						
<b>Individual Name</b>	<b>Indv ID</b>	<b>SSN</b>	<b>Business Units</b>			
HECKER, MICHELLE ANGLEEE LOWEN	820661	-7577	AWD			
<hr/>						
<b>Required Items</b>	<b>State</b>	<b>Item Type</b>	<b>Business Unit</b>	<b>Status</b>	<b>Created</b>	<b>Requested Received</b>
		NPN Missing	AWD	Requested	05-28-2009	05-28-2009
<hr/>						
<b>All Requested Dates:</b> 05-28-2009						
<b>Submitting Staff Member:</b> Cloud, Patti						
<hr/>						
<b>Individual Name</b>	<b>Indv ID</b>	<b>SSN</b>	<b>Business Units</b>			
EISS, MITCHELL H	820663	-8843	AWD			
<hr/>						
<b>Individual External System IDs</b>	<b>External System Type</b>	<b>ID</b>	<b>Business Unit</b>	<b>Primary?</b>	<b>Inactive?</b>	
Agent Number		AWDNO		No	No	
Recruiter Code		VHO00		No	No	
<hr/>						
<b>Required Items</b>	<b>State</b>	<b>Item Type</b>	<b>Business Unit</b>	<b>Status</b>	<b>Created</b>	<b>Requested Received</b>
		NPN Missing		Requested	05-28-2009	05-28-2009
<hr/>						
<b>All Requested Dates:</b> 05-28-2009						
<b>Submitting Staff Member:</b> User, Valued						
<hr/>						
<b>Individual Name</b>	<b>Indv ID</b>	<b>SSN</b>	<b>Business Units</b>			
YEOMANS, WALT L	865356	-1358	AWD			
<hr/>						
<b>Required Items</b>	<b>State</b>	<b>Item Type</b>	<b>Business Unit</b>	<b>Status</b>	<b>Created</b>	<b>Requested Received</b>
		1033 Certification		Requested	10-06-2011	10-01-2011
<hr/>						
<b>All Requested Dates:</b> 10-01-2011						
<b>Submitting Staff Member:</b> User, Valued						
<hr/>						
		California (CA) Fingerprint Card		Requested	10-06-2011	12-06-2010
<hr/>						
<b>All Requested Dates:</b> 12-06-2010, 11-06-2010						
<b>Submitting Staff Member:</b> User, Valued						

To open the **Required Items Inquiry** page, from the [Inquiries](#) menu select [Required Items](#), 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.

Fields and controls include the following:

- **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 *mmdyyy* date format. Then, enter the last date of the date range, using the *mmdyyy* date format. Or, click the **Calendar** buttons () 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 *mmdyyy* date format. Then, enter the last date of the date range, using the *mmdyyy* 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 [Recent Reports](#) 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.
  - **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.


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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](#).

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### *Individuals with Associated Firms Required Items Inquiry*

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

UAT for  
Logged in as Valued User [Logout](#)  
Licensing Companies Inquiries Express Services Administration  
Producer Quick Search  
All Reports Recent Reports **Individuals w/ Assoc Firms Rqd Items Inquiry**  

### Individuals with Associated Firms Required Items Inquiry

Report the same information as the Individual Required Items Inquiry but on individuals associated with a specific agency.

Status:

Begin Date:  End Date:

Compare date range with latest request date

Required Item:

State:

Follow-up Dates Between

Begin Date:  End Date:

Submitting Staff Members

Admin, Sircon  
ADMINISTRATOR, SIRCON  
Aiken, Tamara

Business Units

ASURION  
CHUG  
CPYADJSTR  
Chicago  
GRNSBRG

[Search Specific Firm](#)

**BEECHER CARLSON INS SERVICES LLC** Unrated

EIN	License State/#	Active BU	NPN	Resident States
95-3679538	<input type="checkbox"/> AK 8488	<input type="checkbox"/> CHUG	659823	<input type="checkbox"/> California

[Home](#) | [Help](#) | [Contact Us](#)

08-03-2012 **Individual Required Items Inquiry** With Associated Firms Page 2 of 3

Items Requested: 08-01-2009 through 08-01-2012  
 Follow-up Date: <None Specified>  
 Required Items: All Items  
 State: All States  
 Associated Firm: All Firms  
 Business Units: All Business Units  
 Date Range: Compared against all request dates.  
 Submitting Staff Members: All Submitting Staff Members

Firm Name	Firm ID	EIN	Business Units	
WELLS FARGO INS SERVICES USA INC	568793	56-1882208	CHUG, GRNSBRG, ORSCATL, ORSCDLS, ORSCMIL, ORSCORL, ORSCPITT, PAM	

Firm External System IDs	ID	Business Unit	Primary?	Inactive?
External System Agency Code	NE 1428	PAM	No	No
Agency Code	SE 1457	PAM	No	No
Agency Code	SW 1456	PAM	No	No
Branch Agency Code	80 2029	ORSCATL	No	Yes
Branch Agency Code	92 2948	ORSCORL	No	Yes
Branch Agency Code	SE 1225	PAM	No	No
DB Unique Identifier	65		No	No

Actively Associated Individual	Indv ID	SSN	Business Units	
NEACE, JOHN F	306896		GRNSBRG, ORSCPITT	

Individual External System IDs	ID	Business Unit	Primary?	Inactive?
External System Type DB Unique Identifier	8152		No	No
Producer Code	14188 14202 14206	GRNSBRG	No	No
Producer Code	72 3044	ORSCPITT	No	No

Individual Required Items	State	Item Type	Business Unit	Status	Created	Requested	Received	Follow-up
		Lapsed License - Branch Action		Requested	10-07-2011	10-07-2011		10-01-2011

All Requested Dates: 10-07-2011  
 Submitting Staff Member: User, Valued

To open the **Individuals with Associated Firms Required Items Inquiry** page, from the [Inquiries](#) menu select [Required Items](#), 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 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.

Fields and controls include the following:

- **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 in the report results if any 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 *mmdyyy* 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 *mmdyyy* 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 *mmdyyy* 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 *mmdyyy* 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.
  - **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.

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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](#).

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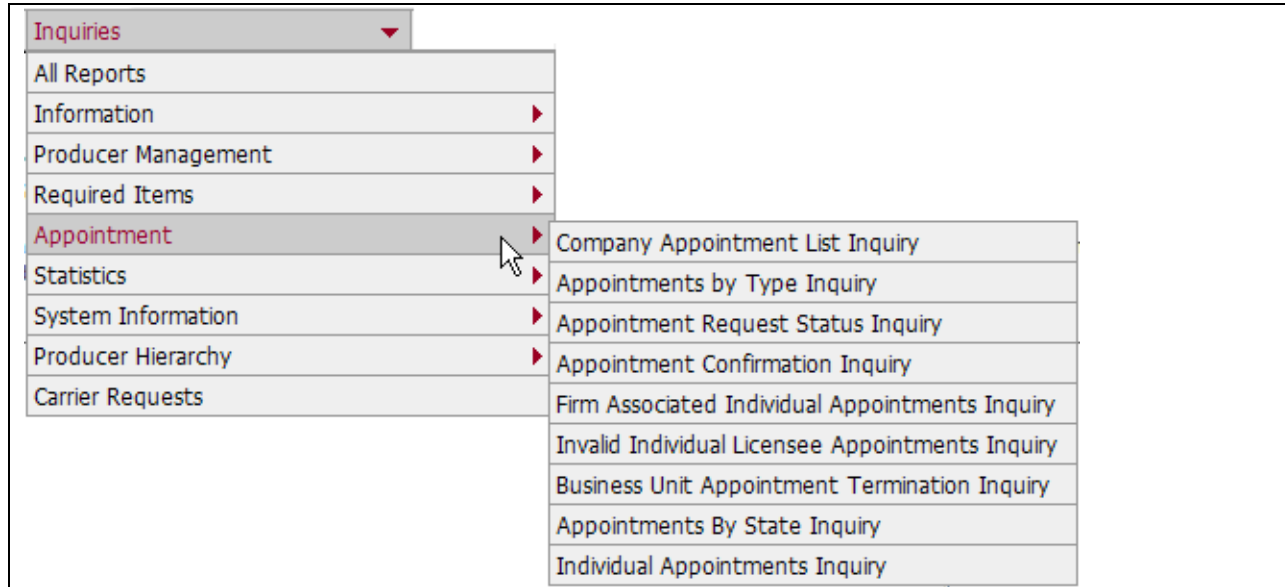
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If you are generating an "on-demand" report by clicking the **View/Refresh Report** button, the range between the status **Begin Date** and **End Date** fields may not exceed 90 days. To expand the date range in which to report required items, generate the report offline by clicking the **Submit Offline** button. After it generates, the report will be available for download from the [Recent Reports](#) page.

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# Appointment Inquiries

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



The **Appointment** sub-menu of the [Inquiries](#) menu may offer the following options:

- [Company Appointment List Inquiry](#)
- [Appointments by Type Inquiry](#)
- [Appointment Request Status Inquiry](#)
- [Appointment Confirmation Inquiry](#)
- [Firm Associated Individual Appointments Inquiry](#)
- [Invalid Individual Licensee Appointment Inquiry](#)
- [Business Unit Appointment Termination Inquiry](#)
- [Appointments by State Inquiry](#)
- [Individual Appointments Inquiry](#)

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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](#).


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## *Company Appointment List Inquiry*

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

UAT for  
Logged in as Valued User [Logout](#)

Licensing Companies Inquiries Express Services Administration

Producer Quick Search

All Reports Recent Reports Company Appointment List Inquiry

### Company Appointment List Inquiry

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 termination dates on or after the date range specified. Please note, if you choose to "View/Refresh Report" the date range selected must be less than or equal to 31 days.

[Search Company](#)

Company Name	EIN	License Number	NAIC ID	City	State
INSURANCE COMPANY	75-2344200		43460	Rocky Hill	Connecticut

**Appointment Criteria**

Please enter, at a minimum, the 'Appointment Responses Received or Recorded' dates.

Appointment Responses Received or Recorded

between  and

State

Alabama

Current Appointment Status

Submitting Staff Member

Admin, Sircon  
Barantchouk, Deb  
Bell, Jane  
Bratt, Holli  
Dell, Ron

Business Unit

IM  
ML  
PL  
SR

**Producer Criteria**

Results can be filtered to appointments for producers specified by External System ID.

External System ID

Active External System Ids Only

**Display Configuration**

Additional information about the producer that can be displayed in the resulting report:

Spreadsheet View

Submit Offline

View/Refresh Report

Cancel

https://sdbuat.sircon.com/?id=34&connectionhandle=W7whmBpUho%2brg5MUUYUgZxq1%2brbtKHLkaq7RmnwSbe - Windows Intern...  
 TOC First Prev Next Last Goto Page 1 of 2 100% Search Download Print Help X

01-11-2012 **Company Appointment List Inquiry** Page 1 of 2

State: Mississippi (MS)  
 Company: INSURANCE COMPANY (592011)  
 Appt Actv Dates: Between 09-01-2011 And 09-30-2011  
 Status(es): Active (AC), Inactive (IN)  
 Submitting Staff Member(s): All Staff Members  
 External System ID: All External System IDs  
 Active External System Ids: No  
 Business Unit(s): All Business Units

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Entity Type Individual Licensee

Appt State	Appt Type	Active Date	Term Date	State Verified?	Last Upd By
<b>Licensee Name:</b> BEELMAN, ERIC Mississippi (MS)	No LOA Needed	EIN/SSN: 123-45-6789 08-30-2011	Active BU:	Ext Sys ID: Yes	BENGE
<b>Licensee Name:</b> BURNS, PAUL Mississippi (MS)	No LOA Needed	EIN/SSN: 123-45-6789 08-15-2011	Active BU:	Ext Sys ID: Yes	BENGE
<b>Licensee Name:</b> CHOREN, TIMOTHY M Mississippi (MS)	No LOA Needed	EIN/SSN: 123-45-6789 08-30-2011	Active BU:	Ext Sys ID: Yes	BENGE
<b>Licensee Name:</b> CLEMMENSEN, AMY M Mississippi (MS)	No LOA Needed	EIN/SSN: 123-45-6789 09-13-2011	Active BU:	Ext Sys ID: Yes	BENGE
<b>Licensee Name:</b> CROTTY, GREGORY Mississippi (MS)	No LOA Needed	EIN/SSN: 123-45-6789 03-14-2011	Active BU:	Ext Sys ID: Yes	BENGE
<b>Licensee Name:</b> EDWARDS, DEBRA C Mississippi (MS)	No LOA Needed	EIN/SSN: 123-45-6789 09-08-2011	Active BU:	Ext Sys ID: Yes	BENGE
<b>Licensee Name:</b> FRANK, CYNTHIA LEE Mississippi (MS)	No LOA Needed	EIN/SSN: 123-45-6789 08-30-2011	Active BU:	Ext Sys ID: Yes	BENGE
<b>Licensee Name:</b> HAM, JEFFREY MARTIN Mississippi (MS)	No LOA Needed	EIN/SSN: 123-45-6789 08-30-2011	Active BU:	Ext Sys ID: Yes	BENGE
<b>Licensee Name:</b> NOTHEISEN, CHRISTOPHER Mississippi (MS)	No LOA Needed	EIN/SSN: 123-45-6789 08-30-2011	Active BU:	Ext Sys ID: Yes	BENGE
<b>Licensee Name:</b> PEDERSEN, PAMELA A Mississippi (MS)	No LOA Needed	EIN/SSN: 123-45-6789 09-12-2011	Active BU:	Ext Sys ID: Yes	BENGE
<b>Licensee Name:</b> SCHNEIDER, BORDELON Mississippi (MS)	No LOA Needed	EIN/SSN: 123-45-6789 08-30-2011	Active BU:	Ext Sys ID: Yes	BENGE
<b>Licensee Name:</b> SCHOFIELD, DAVID A Mississippi (MS)	No LOA Needed	EIN/SSN: 123-45-6789 09-13-2011	Active BU:	Ext Sys ID: Yes	BENGE
<b>Licensee Name:</b> SLACK, TIMOTHY Mississippi (MS)	No LOA Needed	EIN/SSN: 123-45-6789 08-04-2011	Active BU:	Ext Sys ID: Yes	BENGE
<b>Licensee Name:</b> STERLING, PAUL Mississippi (MS)	No LOA Needed	EIN/SSN: 123-45-6789 08-18-2011	Active BU:	Ext Sys ID: Yes	BENGE

Prdcr Type	Name	TIN	BU	Ext Sys ID	Appt State	Appt Type	Actv Dte	Trm Dte	State Vrfd?	Last Upd By
Firm	3 OAKS LIFE LLC	383441443		00 882319	MI	Multiple Lines P&C	04-10-2003	04-10-2003	Y	CATS
Firm	3 OAKS LIFE LLC	383441443		00 882319	MI	Multiple Lines P&C	04-18-2003		Y	CATS
Firm	58 P BARON AGENCY, INC.	382220090		00 882319	MI	Multiple Lines P&C	05-30-2003		Y	CATS
Firm	A.A.W. INC	382677434		00 882319	MI	Multiple Lines P&C	05-30-2003		Y	CATS
Firm	ABC INSURANCE	383292820		20 262540	MI	Multiple Lines P&C	08-07-2000	03-12-2003	N	ATTRUIAC
Firm	ACE AGENCY INC	383281017		00 882319	MI	Multiple Lines P&C	01-28-2003		Y	CATS
Firm	ACE FINANCE	383583515		00 882319	MI	Multiple Lines P&C	05-21-2003		Y	CATS
Firm	AFFINITY INSURANCE	383642411		42 620035	MI	Multiple Lines P&C	11-25-2009		Y	DGROETSCH
Firm	ALBERTA SERVICE CORP	381887450		00 882319	MI	Multiple Lines P&C	07-10-2002		N	LOAD
Firm	ALCOTT CORP	609121140		64942	MI	Life	04-30-2009		Y	Beattie
Firm	AMARATH	555555006		229043080	MI	Casualty	06-05-2007		Y	JMACBANE
Firm	AMARATH	555555006		229043080	MI	Property	06-05-2007		Y	JMACBANE
Firm	AMARIKAN AGENCY	382656847		00 882319	MI	Multiple Lines P&C	01-28-2003		Y	CATS
Firm	AMERICA ONE OF LANSING	382306332		81 150574	MI	Multiple Lines P&C	06-16-2003		N	CELESTINEJ
Firm	AMERICAN	061402343		02 023572	MI	Multiple Lines P&C	12-07-2000		Y	LOAD
Firm	AMERICAN ROAD SVCS	381899518		17 170005	MI	Multiple Lines P&C	03-31-2000		Y	LOAD
Firm	ANGEL AGENCY INC	382117647		00 882319	MI	Multiple Lines P&C	07-10-2002		N	LOAD
Firm	ANU AGENCY INC	381778222		00 882319	MI	Multiple Lines P&C	03-04-2003	03-04-2003	Y	CATS
Firm	ANU AGENCY INC	381778222		00 882319	MI	Multiple Lines P&C	05-01-2003		Y	CATS
Firm	ANNE REDEKOR AGENCY	382798485		00 882319	MI	Multiple Lines P&C	01-13-2003	01-13-2003	Y	CATS
Firm	ANNE REDEKOR AGENCY	382798485		00 882319	MI	Multiple Lines P&C	02-17-2003	02-17-2003	Y	CATS
Firm	ANNE REDEKOR AGENCY	382798485		00 882319	MI	Multiple Lines P&C	04-29-2003		Y	CATS
Firm	AOI RISK SERVICES, INC.	060711972		31 802587	MI	Multiple Lines P&C	04-11-2002		Y	NELSENC
Firm	ARBOR INSURANCE	383233663		20 262540	MI	Multiple Lines P&C	10-12-2000		Y	LOAD
Firm	ARC EXCESS & SURPLUS	113367953		12 120587	MI	Multiple Lines P&C	01-12-2001		N	LOAD
Firm	ARMSTRONG/ROBITAILLE/R	330624633		35 351730	MI	Multiple Lines P&C	07-30-1997		Y	LOAD
Firm	ARTHUR J GALLAGHER &	330842395		37 330064	MI	Multiple Lines P&C	04-10-2003	04-10-2003	Y	CATS
Firm	ARTHUR NOLL AGENCY	061253350		02 021859	MI	Multiple Lines P&C	02-03-1997		N	LOAD
Firm	ASAE SERVICES CORP	521066386		42 620223	MI	Multiple Lines P&C	08-08-2001		Y	LOAD
Firm	AUTO BUYER CREDIT LIFE	434213137		00 882319	MI	Multiple Lines P&C	11-25-2002	11-25-2002	Y	CATS
Firm	AVENUE AGENCY INC	383444923		00 882319	MI	Multiple Lines P&C	07-10-2003		Y	CATS
Firm	B C AGENCY INC	381801907		00 882319	MI	Multiple Lines P&C	05-15-2003		Y	CATS
Firm	B. A. N. AGENCY INC	383115998		00 882319	MI	Multiple Lines P&C	11-07-2002	11-07-2002	Y	CATS
Firm	BAALCO AGENCY INC	383626737	BU2	00 882319	MI	Multiple Lines P&C	04-10-2003	04-10-2003	Y	CATS
Firm	BAALCO AGENCY INC	383626737	BU2	00 882319	MI	Multiple Lines P&C	04-18-2003		Y	CATS
Firm	BANCAR ASSOCIATES, INC.	222868398		13 650465	MI	Multiple Lines P&C	03-26-2002		Y	LOAD
Firm	BASESTAR	092384599	BU2, H01.	0000000481	MI	Accident and Health	06-29-2009	06-20-2011	N	ABREDIN
Firm	BCJ AGENCY INC	383300320		00 882319	MI	Multiple Lines P&C	05-15-2003		Y	CATS
Firm	BEST BUY INSURANCE	383081861		20 262540	MI	Multiple Lines P&C	08-07-2000		Y	LOAD
Firm	BJA AGENCY INC	382084063		00 882319	MI	Multiple Lines P&C	11-07-2002	11-07-2002	Y	CATS
Firm	BJA AGENCY INC	382084063		00 882319	MI	Multiple Lines P&C	07-09-2003		Y	CATS
Firm	BRDGWAY AGENCY INC	382653206		00 882319	MI	Multiple Lines P&C	07-10-2003		Y	CATS
Firm	BRIST	111335677		0000000750	MI	Accident and Health	04-13-2010	04-14-2010	N	SYSTEM USER
Firm	BRIST	111335677		0000000750	MI	Accident and Health	04-14-2010	04-28-2010	Y	SYSTEM USER

To open the **Company Appointment List Inquiry** page, from the **Inquiries** menu select **Appointment**, 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.

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 **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.

Fields and controls include the following:

- **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.

Fields and controls include the following:

- **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 (  ) associated with the inquiry on the [Recent Reports](#) 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, 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.

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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](#).

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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 [Recent Reports](#) 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.

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

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## *Appointments by Type Inquiry*

Use the **Appointments by Type Inquiry** page to review all active appointments by all or just one appointing company in one 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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Licensing Companies Inquiries Express Services Administration

All Reports Recent Reports Appointments by Type Inquiry

### Appointments by Type Inquiry

As opposed to the Company Appointment List Inquiry, which looks at appointments by regulated company, this powerful report shows you active and inactive appointments held by producers in a selected state, regardless of appointing company or period of time.

**Appointment Criteria**

Please enter, at a minimum, the 'Appointments Active Between' dates and a state.

Appointments Active Between  and

State

State Verify

Submitting Staff Member

Stom, Dennis	▲
SUAREZ, AILEEN	
Supervisor, Jane	
Supervisor, Nutrition	
Tavelli, Kristen	
TEAMER, LORRETTA	▾
TECSON, JULIE	
Terry, Jacque	▾

Appointment Types [\(Hide Historical Types\)](#)

Accident and Health
Carrier Requests
Disability
Fire and Casualty
Life Only
Personal Lines

No Writing Company has been selected.

[Search Company](#)

**Producer Criteria**

Results can be filtered to producers specified by Business Unit:

Business Unit

00001	▲
00002	
00003	
00004	
123TEST	
ADFADF	
AN	
ANG	▾

**Display Configuration**

Additional configuration about how the report will be displayed:

Report Type

Spreadsheet View

Submit Offline View/Refresh Report Cancel

https://testpm.sircon.com/?name=%2F2FzirconDbExecutedReports%2F10795%2FappTypeDetails.ro%3B2&se - Windows Internet Explorer

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06-15-2012 **Appointment Type Inquiry - Details** Page 1 of 2590

State: Minnesota (MN)  
 Company: <None Specified>  
 Appt Actv Dates: 06-15-2012 through 06-15-2012  
 Appt Type(s): <All Appointment Types>  
 Submitting Staff Member(s): All Staff Members  
 Business Unit(s): All Business Units  
 State Verify: All Appointments

Entity Type	Firm	License Name	License ID	EIN/SSN	Business Units	Appt State	Appointment Type	Company Name	Appt Status	Active Dte	Term Dte	State Verified	Record Only?	Request
		1ST STATE AGENCY LECENTER, INC.	64135	411342423		Minnesota	Casualty	Hartford Accident and Indemnity Company	Active	10-04-2001		Yes	No	N/A
		1ST STATE AGENCY LECENTER, INC.	64135	411342423		Minnesota	Casualty	Hartford Casualty Insurance Company	Active	10-04-2001		Yes	No	N/A
		1ST STATE AGENCY LECENTER, INC.	64135	411342423		Minnesota	Casualty	Hartford Other Insurance Company	Active	10-04-2001		Yes	No	N/A
		1ST STATE AGENCY LECENTER, INC.	64135	411342423		Minnesota	Casualty	Hartford Underwriters Insurance Company	Active	10-04-2001		Yes	No	N/A
		1ST STATE AGENCY LECENTER, INC.	64135	411342423		Minnesota	Casualty	Twin City Fire Insurance Co	Active	10-04-2001		Yes	No	N/A
		1ST STATE AGENCY LECENTER, INC.	64135	411342423		Minnesota	Property	Hartford Accident and Indemnity Company	Active	10-04-2001		Yes	No	N/A
		1ST STATE AGENCY LECENTER, INC.	64135	411342423		Minnesota	Property	Hartford Casualty Insurance Company	Active	10-04-2001		Yes	No	N/A
		1ST STATE AGENCY LECENTER, INC.	64135	411342423		Minnesota	Property	Hartford Fire Insurance Company	Active	10-04-2001		Yes	No	N/A
		1ST STATE AGENCY LECENTER, INC.	64135	411342423		Minnesota	Property	Hartford Other Insurance Company	Active	10-04-2001		Yes	No	N/A
		1ST STATE AGENCY LECENTER, INC.	64135	411342423		Minnesota	Property	Hartford Underwriters Insurance Company	Active	10-04-2001		Yes	No	N/A
		1ST STATE AGENCY LECENTER, INC.	64135	411342423		Minnesota	Property	Twin City Fire Insurance Co	Active	10-04-2001		Yes	No	N/A

report\_129613.xls [Compatibility Mode] - Microsoft Excel

Entity Type	License Name	TIN	EUI	Company Name	Appt State	Appt Type	Appt Sts	Active Dte	Term Dte	ST Verifd?	Record Only?	Request Status
Firm	TABB BROCHENBROUGH & RAGLAND, LL541729976	1221EST		Hartford Casualty Insurance Company	CA	Fire and Casualty	Active	08-25-2000		Y	N	N/A
Firm	TABB BROCHENBROUGH & RAGLAND, LL541729976	1221EST		Hartford Fire Insurance Company	CA	Fire and Casualty	Active	08-25-2000		Y	N	N/A
Firm	TABB BROCHENBROUGH & RAGLAND, LL541729976	1221EST		Hartford Other Insurance Company	CA	Fire and Casualty	Active	08-25-2000		Y	N	N/A
Firm	TABB BROCHENBROUGH & RAGLAND, LL541729976	1221EST		Hartford Underwriters Insurance Company	CA	Fire and Casualty	Active	08-25-2000		Y	N	N/A
Firm	TABB BROCHENBROUGH & RAGLAND, LL541729976	1221EST		Twin City Fire Insurance Co	CA	Fire and Casualty	Active	08-25-2000		Y	N	N/A
Firm	THE ARIZONA GROUP	560738849		Hartford Accident and Indemnity Company	CA	Fire and Casualty	Active	03-30-2001		Y	N	N/A
Firm	THE ARIZONA GROUP	560738849		Hartford Casualty Insurance Company	CA	Fire and Casualty	Active	03-30-2001		Y	N	N/A
Firm	THE ARIZONA GROUP	560738849		Hartford Fire Insurance Company	CA	Fire and Casualty	Active	03-30-2001		Y	N	N/A
Firm	THE ARIZONA GROUP	560738849		Hartford Other Insurance Company	CA	Fire and Casualty	Active	03-30-2001		Y	N	N/A
Firm	THE ARIZONA GROUP	560738849		Hartford Underwriters Insurance Company	CA	Fire and Casualty	Active	03-30-2001		Y	N	N/A
Firm	THE ARIZONA GROUP	560738849		Twin City Fire Insurance Co	CA	Fire and Casualty	Active	03-30-2001		Y	N	N/A
Firm	1-000-4-INSURE, INS SERV, INC	554346956		Hartford Accident and Indemnity Company	CA	Fire and Casualty	Active	03-27-2001		Y	N	N/A
Firm	1-000-4-INSURE, INS SERV, INC	554346956		Hartford Casualty Insurance Company	CA	Fire and Casualty	Active	03-27-2001		Y	N	N/A
Firm	1-000-4-INSURE, INS SERV, INC	554346956		Hartford Fire Insurance Company	CA	Fire and Casualty	Active	03-27-2001		Y	N	N/A
Firm	1-000-4-INSURE, INS SERV, INC	554346956		Hartford Other Insurance Company	CA	Fire and Casualty	Active	03-27-2001		Y	N	N/A
Firm	1-000-4-INSURE, INS SERV, INC	554346956		Hartford Underwriters Insurance Company	CA	Fire and Casualty	Active	03-27-2001		Y	N	N/A
Firm	1-000-4-INSURE, INS SERV, INC	554346956		Twin City Fire Insurance Co	CA	Fire and Casualty	Active	03-27-2001		Y	N	N/A
Firm	1STAGCHOICE, INC.	560362741		Hartford Casualty Insurance Company	CA	Fire and Casualty	Active	03-31-2000		Y	N	N/A
Firm	1STAGCHOICE, INC.	560362741		Hartford Fire Insurance Company	CA	Fire and Casualty	Active	03-31-2000		Y	N	N/A
Firm	1STAGCHOICE, INC.	560362741		Hartford Other Insurance Company	CA	Fire and Casualty	Active	03-31-2000		Y	N	N/A
Firm	1STAGCHOICE, INC.	560362741		Hartford Underwriters Insurance Company	CA	Fire and Casualty	Active	03-31-2000		Y	N	N/A
Firm	1STAGCHOICE, INC.	560362741		Twin City Fire Insurance Co	CA	Fire and Casualty	Active	03-31-2000		Y	N	N/A
Firm	2000 INSURANCE SERVICES, INC.	530793562		Hartford Casualty Insurance Company	CA	Fire and Casualty	Active	01-30-2001		Y	N	N/A
Firm	2000 INSURANCE SERVICES, INC.	530793562		Hartford Fire Insurance Company	CA	Fire and Casualty	Active	01-30-2001		Y	N	N/A
Firm	2000 INSURANCE SERVICES, INC.	530793562		Hartford Other Insurance Company	CA	Fire and Casualty	Active	01-30-2001		Y	N	N/A
Firm	2000 INSURANCE SERVICES, INC.	530793562		Hartford Underwriters Insurance Company	CA	Fire and Casualty	Active	01-30-2001		Y	N	N/A
Firm	2000 INSURANCE SERVICES, INC.	530793562		Twin City Fire Insurance Co	CA	Fire and Casualty	Active	01-30-2001		Y	N	N/A
Firm	A & J AMERICAN INSURANCE SERVICES	580243248		Hartford Accident and Indemnity Company	CA	Fire and Casualty	Active	04-09-2003		Y	N	N/A
Firm	A & J AMERICAN INSURANCE SERVICES	580243248		Hartford Casualty Insurance Company	CA	Fire and Casualty	Active	04-09-2003		Y	N	N/A
Firm	A & J AMERICAN INSURANCE SERVICES	580243248		Hartford Fire Insurance Company	CA	Fire and Casualty	Active	04-09-2003		Y	N	N/A

To open the **Appointments by Type Inquiry** page, from the [Inquiries](#) menu select [Appointment](#), 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 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.

Fields and controls include the following:

- **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 (  ) associated with the inquiry on the [Recent Reports](#) 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:

#### Details

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.

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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](#).

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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.

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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 [Using the Carrier Requests Appointment Type](#) guide, available on the Printable Help Guides page.

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

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## *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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Inquiries
Express Services
Administration

Producer Quick Search

All Reports
Recent Reports
Appointment Request Status Inquiry

### Appointment Request Status Inquiry

Check the status of appointment requests in all, one, or multiple states. If desired, filter by request status, state, submitting staff 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.)

Please enter, at a minimum, the 'Appointment Submitted or Recorded Between' dates.

Appointment Submitted or Recorded Between  
 Begin Date:  End Date:

External System ID:   Active External System Ids Only

Include Record Only Appointments

**Request Statuses**  
 Approved  
 Denied  
 Error  
 Pending  
 Submitted to SIRCON  
 Transaction Request Failed

**State**  
 Alabama  
 Alaska  
 American Samoa  
 Arizona  
 Arkansas  
 California  
 Colorado  
 Connecticut

**Submitting Staff Member**  
 WOJNAR, JASON  
 wojnar, newbie  
 Wolf, Lone  
 Wressell, Christine  
 Wressell, Christine  
 Wusman, Roger  
 YANG, JUNG  
 Yang, Jungsoo

**Business Unit**  
 00001  
 00002  
 00003  
 00004  
 123TEST  
 AAA  
 AAABU  
 ADFADF

Spreadsheet View

07-19-2012
**Appointment Request Status Inquiry**
Page 4 of 5

**Appointments Submitted or Between** 07-19-2010 And 08-31-2010  
**State(s):** All States  
**Appointment Request Status(es):** All Statuses  
**Submitting Staff Member(s):** All Submitting Staff Members  
**External System ID:** All External System IDs  
**Active External System ID Only:** No  
**Business Units:** All Business Units  
**Include Record Only:** No

**State:** Oklahoma (OK)

Appointment Request Status:		Approved							
Producer/ License Name	EIN/ SSN	Busines s Units	External System ID	Request Type	Requested Action	BI Processing Status			
Company	State Appointment	Requested Eff Date	Submit Date	Actual Eff Date	Active Date	Trmn Date	Trmn Reason	Submitting Staff Member	
L L JOHNS & ASSOC INC	ORIC	38-1957546	PAM	55; NE0330	PIN	Termination		Engels, Beth	
L L JOHNS & ASSOC INC	ORIC	38-1957546	PAM	55; NE0330	PIN	Termination		Engels, Beth	

Request Type	Requested Action	CO	Appt Type	Request Date	Submit Date	Actual Date
PN	Appointment	ORC	Casualty	08-26-2010	08-26-2010	08-26-2010
PN	Appointment	ORC	Uninsured Line Credit	08-10-2010	08-10-2010	08-10-2010
SFS	Appointment	ORC	Property	07-06-2010	07-21-2010	07-06-2010
PN	Termination	ORC	Casualty	08-05-2010	08-05-2010	08-05-2010
PN	Termination	ORC	Property	08-05-2010	08-05-2010	08-05-2010
SFS	Appointment	ORC	Accident and Health	06-21-2010	07-21-2010	06-21-2010
SFS	Appointment	ORC	Property and Allied Lines	06-21-2010	07-21-2010	06-21-2010



To open the **Appointment Request Status Inquiry** page, from the [Inquiries](#) menu select [Appointment](#), 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.

Fields and controls include the following:

- **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 *mmdyyyyy* 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 *mmdyyyyy* 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 (  ) associated with the inquiry on the [Recent Reports](#) 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.

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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](#).


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## *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.



UAT for  
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Licensing Companies Inquiries Express Services Administration

Producer Quick Search

All Reports Recent Reports **Appointment Confirmation Inquiry**

### 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 filter the report to show only those requests submitted by a particular staff member, for a particular business unit, or with a particular result (e.g., approved, denied, etc.).

**Appointment Criteria**  
Please enter, at a minimum, the 'Appointment Responses Received or Recorded' dates.

Appointment Responses Received or Recorded  
between  and

<b>Submitting Staff Member</b>	<b>Request Statuses</b>	<b>Business Unit</b>
<input type="text" value="Admin, Sircon"/> <input type="text" value="ADMINISTRATOR, SIRCON"/> <input type="text" value="Aiken, Tamara"/> <input type="text" value="Aiken, Tamara"/> <input type="text" value="alaine, v"/> <input type="text" value="Alanis, Blanca"/> <input type="text" value="Allen, Shirley"/> <input type="text" value="Allen, Shirley"/>	<input type="text" value="Approved"/> <input type="text" value="Denied"/> <input type="text" value="Error"/> <input type="text" value="Pending"/> <input type="text" value="Submitted to SIRCON"/> <input type="text" value="Transaction Request Failed"/>	<input type="text" value="ASURION"/> <input type="text" value="CHUG"/> <input type="text" value="CPYADJSTR"/> <input type="text" value="Chicago"/> <input type="text" value="GRNSBRG"/> <input type="text" value="GWCC"/> <input type="text" value="JHIA"/> <input type="text" value="MXGA"/>

**Producer Criteria**  
Results can be filtered to appointments for a specific producer:

[Search Producer](#)

Or to appointments for producers specified by External System ID.

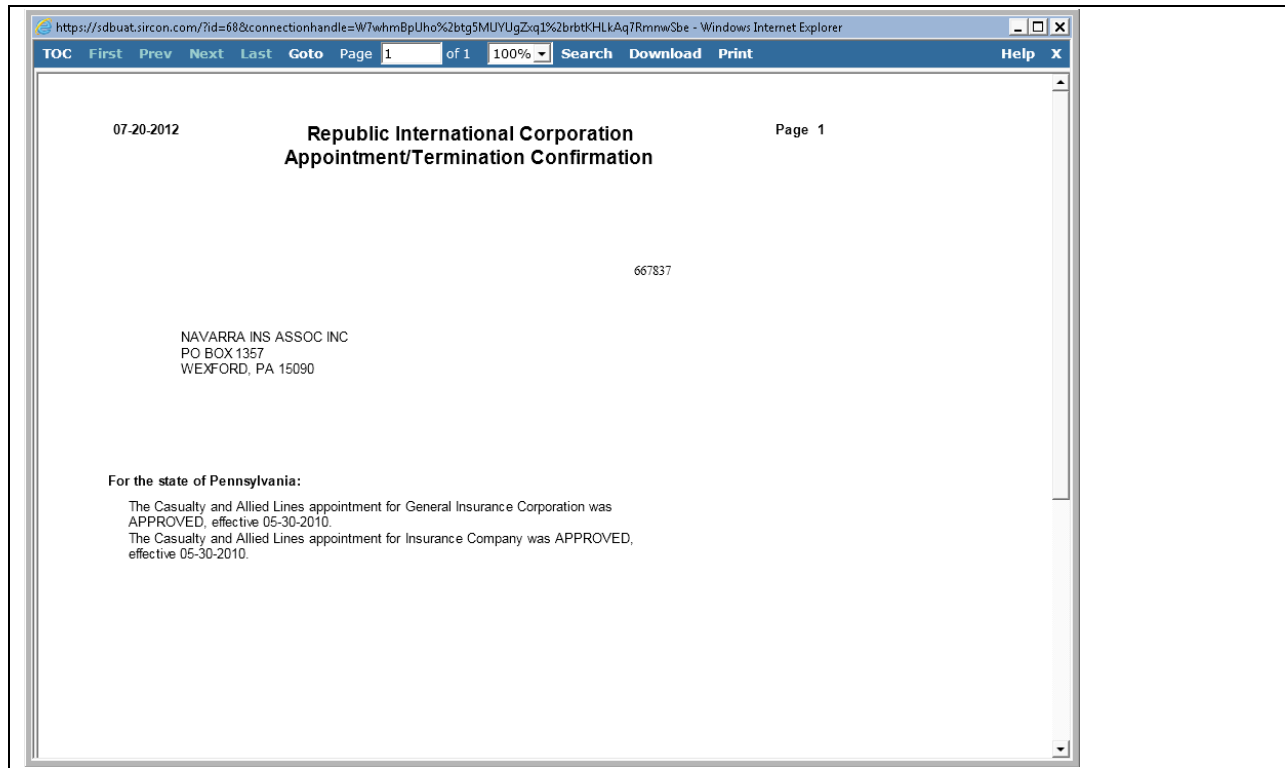
External System ID   
 Active External System Ids Only

**Display Configuration**  
Additional information about the producer that can be displayed in the resulting report:

Sort Results By   
 Include Record Only Appointments

[Submit Offline](#) [View/Refresh Report](#) [Cancel](#)

[Home](#) | [Help](#) | [Contact Us](#)



To open the **Appointment Confirmation Inquiry** page, from the [Inquiries](#) menu select [Appointment](#), 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.

Fields and controls include the following:

- **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 *mmdyyyy* 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 *mmdyyyy* 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.

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 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.

The screenshot displays the 'Review/Update Producer' page in the Vertafore Producer Manager. The search criteria are set to 'Firm' and 'Arizona'. The search results table is as follows:

Name	EIN	License State/#	NPN	Active BU	City	State
<a href="#">AFFILIATED INS SERVICE CORP</a>	23-2838624	AZ 128769	2007367	AGY	CONSHOHCKEN	PA
<a href="#">AMERICAN ROAD SERVICES CO</a>	38-1899518	AZ 88386	958839	MKTPLAT	DEARBORN	MI
<a href="#">BANC OF AMERICA INS SERVICES INC</a>	52-1523496	AZ 50154	686455	MKTPLAT	CHARLOTTE	NC
<a href="#">BENNETT &amp; PORTER INS SERVICES LLC</a>	86-1048476	AZ 166793	8316688	AGY	SCOTTSDALE	AZ
<a href="#">CITI ASSUR SERVICES INC</a>	52-0255715	AZ 20894	660350	MKTPLAT	FT WORTH	TX
<a href="#">COLLING INS SERVICES INC</a>	84-1005559	AZ 202104	6646768	AGY	LAKEWOOD	CO
<a href="#">ELECTRIC INS AGENCY LLC</a>	04-3146670	AZ 111238	721835	AGY	BEVERLY	MA
<a href="#">ESURANCE INS SERVICES INC</a>	77-0516068	AZ 86349	2988247	MKTPLAT	SAN FRANCISCO	CA
<a href="#">HANCOCK INTERNATIONAL INC</a>	86-1048077	AZ 137021	8864952	AGY	PHOENIX	AZ
<a href="#">HORIZON INS GROUP INC</a>	86-0660148	AZ 817746	2227035	AGY	PHOENIX	AZ

Fields and controls include the following:

- **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 ([-]) 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.

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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.

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### *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.



UAT for

Logged in as Valued User [Logout](#)

Licensing
Companies
Inquiries
Express Services
Administration

[All Reports](#) | [Recent Reports](#) | **Firm Associated Individual Appointments Inquiry**

### Firm Associated Individual Appointments Inquiry

Check to see what appointment actions have occurred among producers associated with a selected agency in the past month. This flexible report lets you choose to view appointment data for individuals connected with firms either by a formal association or by an external system code.

Please enter, at a minimum, the 'Appointment/Termination' dates.

Appointment/Termination Between

Begin Date  End Date

Association Type

State(s)	Status(es)	Submitting Staff Member(s)	Business Unit(s)
<input type="text" value="Alabama"/> <input type="text" value="Alaska"/> <input type="text" value="American Samoa"/> <input type="text" value="Arizona"/> <input type="text" value="Arkansas"/> <input type="text" value="Armed Forces Americas"/>	<input type="text" value="Active - Approved"/> <input type="text" value="Inactive - Approved"/> <input type="text" value="Active - Denied"/> <input type="text" value="Inactive - Denied"/> <input type="text" value="Active - Pending"/> <input type="text" value="Inactive - Pending"/>	<input type="text" value="Admin, Sircon"/> <input type="text" value="ADMINISTRATOR, SIRCON"/>	<input type="text" value="ASURION"/> <input type="text" value="CHUG"/> <input type="text" value="CPYADJSTR"/> <input type="text" value="Chicago"/> <input type="text" value="GRNSBRG"/> <input type="text" value="GWCC"/>

Active Companies

GENERAL INSURANCE CORPORATION  
INSURANCE COMPANY  
LIFE INS CO

Spreadsheet View  
[Search Associated Firm](#)

Associated Firm

Name	EIN	Active Business Unit	License State/#
<input type="text" value="BEECHER CARLSON INS SERVICES LLC"/>	<input type="text" value="95-3679538"/>	<input type="text" value="CHUG"/>	<input type="text" value="AK 8488"/>
City	State	NPN	
<input type="text" value="ATLANTA"/>	<input type="text" value="Georgia"/>	<input type="text" value="659823"/>	

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The screenshot shows a web browser window displaying a report titled "Firm Associated Individual Appointments Inquiry" for the date range 07-20-2012. The report includes filters for dates, association type, states, statuses, staff, business units, and companies. It lists the firm "BEECHER CARLSON INS SERVICES LLC" and its associated individual "BEECHER, WILLIAM BRUCE". Below this, it shows individual appointments for both the firm and the individual, including details like state, company, appointment type, active date, and term dates.

Below the browser window is a Microsoft Excel spreadsheet with columns for Firm Name, Firm EIN, Firm IDs, Firm Ext Sys IDs, Assoc Indv Name, Assoc Indv SSN, Assoc Indv IDs, and Indv Ext Sys IDs. The spreadsheet contains a list of 30 rows, each representing a record for the firm and individual.

To open the **Firm Associated Individual Appointments Inquiry** page, from the [Inquiries](#) menu select [Appointment](#), 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 *mmdyyyy* 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 *mmdyyyy* 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 (  ) associated with the inquiry on the [Recent Reports](#) 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 two-letter 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 [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.



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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](#).

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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 [Recent Reports](#) page.

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

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## *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.

The screenshot shows the Sircon Producer Manager interface. At the top, there is a navigation menu with 'Licensing', 'Companies', 'Inquiries', 'Express Services', and 'Administration'. The 'Inquiries' menu is expanded, showing 'All Reports', 'Recent Reports', and 'Invalid Individual Licensee Appointments Inquiry'. The main content area is titled 'Invalid Individual Licensee Appointments Inquiry' and includes a search form with fields for 'Affiliation Status Between', 'Begin Date' (01-10-2012), and 'End Date' (07-18-2012). There are also dropdown menus for 'Submitting Staff Member' and 'Business Unit'. Below the form, there are checkboxes for 'Invalid Condition(s)'. The bottom of the form has buttons for 'Submit Offline', 'View/Refresh Report', and 'Cancel'.

Below the form, there is a browser window showing the results of the inquiry. The browser title is 'Invalid Individual Licensee Appointments Inquiry' and the page number is 'Page 2 of 3'. The data is presented in a table format with the following sections:

**Appointments without Direct Agreements**

Indv_ID	Individual Name	SSN	Business Units																																																															
44720	DANIEL, FRED III	-8102																																																																
<table border="1"> <thead> <tr> <th colspan="7">Agreement</th> </tr> <tr> <th>Company Affiliation Status</th> <th>Affiliation Status Date</th> <th>Affiliated Company</th> <th>Status</th> <th>Begin Date</th> <th>End Date</th> <th>Company Status</th> </tr> </thead> <tbody> <tr> <td>Active</td> <td>12-11-1996</td> <td>Hartford Underwriters Insurance Company</td> <td>N/A</td> <td></td> <td></td> <td>N/A</td> </tr> <tr> <td>Active</td> <td>12-11-1996</td> <td>Twin City Fire Insurance Co</td> <td>N/A</td> <td></td> <td></td> <td>N/A</td> </tr> </tbody> </table>				Agreement							Company Affiliation Status	Affiliation Status Date	Affiliated Company	Status	Begin Date	End Date	Company Status	Active	12-11-1996	Hartford Underwriters Insurance Company	N/A			N/A	Active	12-11-1996	Twin City Fire Insurance Co	N/A			N/A																																			
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Agreement																																																																		
Company Affiliation Status	Affiliation Status Date	Affiliated Company	Status	Begin Date	End Date	Company Status																																																												
Active	12-11-1996	Hartford Accident and Indemnity Company	N/A			N/A																																																												
Active	12-11-1996	Hartford Casualty Insurance Company	N/A			N/A																																																												
Active	12-11-1996	Hartford Fire Insurance Company	N/A			N/A																																																												
Active	12-11-1996	Hartford Other Insurance Company	N/A			N/A																																																												
Active	12-11-1996	Hartford Underwriters Insurance Company	N/A			N/A																																																												
Active	12-11-1996	Trumbull Insurance Company	N/A			N/A																																																												
Active	12-11-1996	Twin City Fire Insurance Co	N/A			N/A																																																												



To open the **Invalid Individual Licensee Appointments Inquiry** page, from the [Inquiries](#) menu select [Appointment](#), 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.
  - **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 [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.

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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.

**Business Unit Appointment Termination Inquiry**

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 sell for your business unit.

Please enter, at a minimum, the 'Appointments Terminated by other Business Units' dates.

Appointments Terminated by Business Units not actively assigned to the Staff Member, Between

Begin Date  End Date

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07-23-2012 **Business Unit Appointment Termination Inquiry** Page 4 of 9

Appointments Terminated by other Business Units: Between 01-01-2004 And 07-01-2012

Entity Type	Individual Licensee				
<b>Producer Name</b> CLARK, ANNDREA J <b>SSN</b> -5966 <b>Business Unit(s)</b> BU2					
State	Company	Appt Type	Processing	County Termination	
Arizona (AZ)	MWA	Doesn't Appt By LOA	08-19-2004	No	
Nevada (NV)	P&C	Casualty	08-19-2004	No	
Nevada (NV)	P&C	Property	08-19-2004	No	
<b>Producer Name</b> Hathaway, Josh <b>SSN</b> -3334 <b>Business Unit(s)</b> BE3, BU2, IITS3, T1					
State	Company	Appt Type	Processing	County Termination	
Michigan (MI)	BOUNDARY	Accident and Health	09-07-2004	No	
Michigan (MI)	BOUNDARY	Accident and Health	08-13-2004	No	
Michigan (MI)	BOUNDARY	Accident and Health	08-11-2004	No	
<b>Producer Name</b> Hung, Tina <b>SSN</b> -7419 <b>Business Unit(s)</b> BU2					
State	Company	Appt Type	Processing	County Termination	
Delaware (DE)	BOUNDARY	Doesn't Appt By LOA	10-19-2004	No	
<b>Producer Name</b> TUBERGEN, KEITH <b>SSN</b> -1921 <b>Business Unit(s)</b> BE3					
State	Company	Appt Type	Processing	County Termination	
Alaska (AK)	BOUNDARY	Doesn't Appt By LOA	02-15-2006	No	



To open the **Business Unit Appointment Termination Inquiry** page, from the [Inquiries](#) menu select [Appointment](#), 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.

Fields and controls include the following:

- **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 () 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 [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.

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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](#).

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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.

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

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## *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 one selected firm or individual producer.



**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.

**BURKEL, JAN A** Unrated [Search Producer](#)

SSN	License State/#	Active BU	NPN	Resident States
-7107	FL P105404	INT	5105419	Florida

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<https://sdbuat.siron.com/?id=108&connectionhandle=W7whmBpUho%2btg5MUUYgZxq1%2brbtKHLkAq7RmnwSb> - Window...

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**01-19-2012 Individual Appointments State View Inquiry** Page 1 of 1

SSN -7107 Name BURK, JAN A

Status Active (AC) Effective Date 10-14-2009 Termination Date

State Florida (FL)

NAIC ID	Company Name	Status	Effective Date	Sys Record Only
52021	NIGCA DENTAL HEALTH OF FLORIDA INC.	Inactive	10-14-2009	

Appointment Type	Status	Active Date	Term Date	Termination Reason	Shared Producer Name	State Verified	Sys Record Only
Life, Health, & Var Ann. 0215	Inactive	10-14-2009	10-14-2009	State Denied		Y	N

**Appointment Request Information**

Appt Action	Submit Date	Submit Status	Response Date	Actual Effective Date	Rejection Reason
Appointment	10/14/2009	Denied	10/14/2009	10/14/2009	Appointer does not have necessary license/lines for the requested appointment.

NAIC ID	Company Name	Status	Effective Date	Sys Record Only
95136	NIGCA HEALTHCARE OF FLORIDA	Inactive	10-14-2009	

Appointment Type	Status	Active Date	Term Date	Termination Reason	Shared Producer Name	State Verified	Sys Record Only
Life, Health, & Var Ann. 0215	Inactive	10-14-2009	10-14-2009	State Denied		Y	N

**Appointment Request Information**

Appt Action	Submit Date	Submit Status	Response Date	Actual Effective Date	Rejection Reason
Appointment	10/14/2009	Denied	10/14/2009	10/14/2009	Appointer does not have necessary license/lines for the requested appointment.

NAIC ID	Company Name	Status	Effective Date	Sys Record Only
62308	LIFE INS. CO.	Active	10-14-2009	

Appointment Type	Status	Active Date	Term Date	Termination Reason	Shared Producer Name	State Verified	Sys Record Only
Life, Health, & Var Ann. 0215	Active	10-14-2009				N	N

**Appointment Request Information**

Appt Action	Submit Date	Submit Status	Response Date	Actual Effective Date	Rejection Reason
Appointment	10/14/2009	Submitted to SIRCON			

To open the **Appointments By State Inquiry** page, from the [Inquiries](#) menu select [Appointment](#), 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.

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 **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.

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 **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 [Inquiry Output Window](#).
- **Cancel:** Click to open the Producer Manager Home page.

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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](#).

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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.

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### *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.



UAT for  
Logged in as Valued User [Logout](#)

Licensing Companies Inquiries Express Services Administration

Producer Quick Search

All Reports Recent Reports **Individual Appointments Inquiry**

### Individual Appointments Inquiry

Review all appointment and termination activity for all producers (or just one producer) in your system during the past month.

Please enter, at a minimum, the 'Appointment/Termination' dates.

Appointment/Termination Between  
Begin Date: 12-19-2010 End Date: 01-18-2012

External System ID:   Primary Only

State (s):  
Alabama  
Alaska  
American Samoa  
Arizona  
Arkansas  
Armed Forces Americas

Status (es):  
Active - Approved  
Inactive - Approved  
Active - Denied  
Inactive - Denied  
Active - Pending  
Inactive - Pending

Submitting Staff Member (s):  
Administrator, SIRCON  
Aniballi, Holli  
Arment, Michelle  
Boutain, Ani  
Bowen, Lora  
Bratt, Michelle

Business Unit (s):  
AGTID  
ALT  
AU  
CGI  
CHC  
CHLIC

NIGCA  
Active Writing Companies:  
NIGCA DENTAL HEALTH OF COLORADO, INC.  
NIGCA DENTAL HEALTH OF DELAWARE  
NIGCA DENTAL HEALTH OF FLORIDA INC.  
NIGCA DENTAL HEALTH OF ILLINOIS, INC.  
NIGCA DENTAL HEALTH OF KANSAS, INC.  
NIGCA DENTAL HEALTH OF KENTUCKY, INC.

Spreadsheet View

[Search Specific Individual](#)

No Individual has been selected.



01-18-2012 **Individual Appointments Inquiry** Page 1 of 1

Appt/Trmn Dates: 12-19-2011 through 01-18-2012  
 Ext Sys Id: <All External System IDs>  
 Primary Ext Sys Id Only: No  
 State(s): <All States>  
 Status(es): <All Statuses>  
 Submitting Staff: <All Staff Members>  
 Business Unit(s): <All Business Units>  
 Companies: <All Active Companies>  
 Individual: <All Individuals>

Company	NAIC	65498
LIFE INSURANCE COMPANY		

Individual Licensee	SSN	Appt State	Appointment Type	Active Date	Termination Date	Termination Reason	Record Only?
LOANS, LAUREL	020052012	Colorado	Doesn't Appoint By LOA	12-17-2005	01-17-2012	Cancel	Yes

viewInquiry.xls [Compatibility Mode] - Microsoft Excel

	A	B	C	D	E	F	G	H	I	J	K
		Company Name	Individual Licensee Name	SSN	Appt State	Appointment Type	Active Date	Termination Date	Termination Reason	Record Only?	
1											
2		NIGCA DENTAL HEALTH OF COLORADO, INC.	Eldredge, Christopher	123456789	CO	Doesn't Appoint By LOA	03-12-2011			Y	
3		NIGCA DENTAL HEALTH OF COLORADO, INC.	PASTRANO, JASON K	123456790	CO	Doesn't Appoint By LOA	08-05-2004	12-20-2010	Cancel	Y	
4		NIGCA DENTAL HEALTH OF FLORIDA INC.	NYGAARD, PAMELA	123456791	FL	Nonres Health 0840	02-08-2011			N	
5		NIGCA DENTAL HEALTH OF MARYLAND, INC.	KAPLOFF, MICHAEL N	123456792	MD	Doesn't Appoint By LOA	11-12-1999	12-21-2010	Cancel	N	
6		NIGCA DENTAL HEALTH OF PENNSYLVANIA, INC.	Junket, Jim	123456793	PA	Accident and Health	08-16-2011	08-16-2011	State Denied	N	
7		NIGCA DENTAL HEALTH OF TEXAS, INC.	NYGAARD, PAMELA	123456794	TX	Life, Accident, Health and HMO	04-05-2011			N	
8		NIGCA DENTAL HEALTH PLAN OF ARIZONA, INC.	Wesson, Quinn R	123456795	AZ	Doesn't Appoint By LOA	02-28-2011	02-28-2011	Cancel	Y	
9		NIGCA HEALTHCARE OF ARIZONA, INC.	FAEDO, JULIAN	123456796	AZ	Doesn't Appoint By LOA	12-27-2010			Y	
10		NIGCA HEALTHCARE OF ARIZONA, INC.	GULLORY, BLANEY	123456797	AZ	Doesn't Appoint By LOA	01-03-2011			Y	
11		NIGCA HEALTHCARE OF ARIZONA, INC.	HOGAN, CHRISTOPHER M	123456798	AZ	Doesn't Appoint By LOA	12-27-2010			Y	
12		NIGCA HEALTHCARE OF ARIZONA, INC.	Wesson, Quinn R	123456799	AZ	Doesn't Appoint By LOA	02-28-2011	02-28-2011	Cancel	Y	
13		NIGCA HEALTHCARE OF COLORADO, INC.	Eldredge, Christopher	123456800	CO	Doesn't Appoint By LOA	03-12-2011			Y	
14		NIGCA HEALTHCARE OF COLORADO, INC.	PASTRANO, JASON K	123456801	CO	Doesn't Appoint By LOA	08-05-2004	12-20-2010	Cancel	Y	
15		NIGCA HEALTHCARE OF FLORIDA	BOSTROM, RICHARD E	123456802	FL	Health 0240	04-10-2003	12-21-2010	Cancel	N	
16		NIGCA HEALTHCARE OF FLORIDA	EDDY, JOHN J	123456803	FL	Health 0240	01-11-2010	12-21-2010	Cancel	N	
17		NIGCA HEALTHCARE OF FLORIDA	FOY, PETER C	123456804	FL	Nonres Health 0840	03-10-2010	12-23-2010	Cancel	N	
18		NIGCA HEALTHCARE OF FLORIDA	HAFT, GARY	123456805	FL	Health 0240	01-06-2009	12-21-2010	Cancel	N	
19		NIGCA HEALTHCARE OF FLORIDA	NYGAARD, PAMELA	123456806	FL	Nonres Health 0840	02-08-2011			N	
20		NIGCA HEALTHCARE OF FLORIDA	PRICE, PHILLIP B	123456807	FL	Health 0240	06-16-2009	01-03-2011	Cancel	N	
21		NIGCA HEALTHCARE OF ILLINOIS, INC.	PASTRANO, JASON K	123456808	IL	Doesn't Appoint By LOA	10-29-2003	12-20-2010	Cancel	Y	
22		NIGCA HEALTHCARE OF ILLINOIS, INC.	SULLIVAN, JOSEPH P	123456809	IL	Doesn't Appoint By LOA	10-05-2001	12-23-2010	Cancel	Y	
23		NIGCA HEALTHCARE OF NEW YORK	BAUER, SUSAN L	123456810	NY	Doesn't Appoint By LOA	02-16-2009	01-01-2011	Cancel	N	
24		NIGCA HEALTHCARE OF NEW YORK	MCCABE, JAMES M	123456811	NY	Doesn't Appoint By LOA	11-13-2006	12-20-2010	Cancel	N	
25		NIGCA HEALTHCARE OF SOUTH CAROLINA, INC.	FINNEGAN, JAMES B	123456812	SC	Accident and Health	01-22-2009	12-21-2010	Cancel	N	
26		NIGCA HEALTHCARE OF TEXAS, INC.	BAILEY, MARK A	123456813	TX	Life	09-23-2011			N	
27		NIGCA HEALTHCARE OF TEXAS, INC.	NYGAARD, PAMELA	123456814	TX	Life, Accident, Health and HMO	04-05-2011			N	
28		NIGCA Health and Life Insurance Company	CARDENAS-MUNDO, BARBARA	123456815	IL	Doesn't Appoint By LOA	01-11-2011			N	
29		NIGCA Health and Life Insurance Company	CLARK, CAITLYN E	123456816	CO	Doesn't Appoint By LOA	01-11-2011			Y	
30		NIGCA Health and Life Insurance Company	Eldredge, Christopher	123456817	CO	Doesn't Appoint By LOA	03-12-2011			Y	
31		NIGCA Health and Life Insurance Company	FITZMAURICE, ROBERT T	123456818	IN	Doesn't Appoint By LOA	10-11-2009	12-21-2010	Cancel	Y	
32		NIGCA Health and Life Insurance Company	FITZMAURICE, ROBERT T	123456819	MD	Doesn't Appoint By LOA	10-11-2009	12-21-2010	Cancel	Y	
33		NIGCA Health and Life Insurance Company	Junket, Jim	123456820	PA	Accident and Health	08-16-2011	08-16-2011	State Denied	N	
34		NIGCA Health and Life Insurance Company	Junket, Jim	123456821	PA	Life and Fixed Annuities	08-16-2011	08-16-2011	State Denied	N	

To open the **Individual Appointments Inquiry** page, from the [Inquiries](#) menu select [Appointment](#), 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.

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 (").
- **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 [Inquiry Output Window](#). 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 [Inquiry Output Window](#).
- **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.



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 [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.

Fields and controls include the following:

- **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 *mmdyyyyy* 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 *mmdyyyyy* 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.
- **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 (  ) associated with the inquiry on the [Recent Reports](#) 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 [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.

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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](#).

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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 [Recent Reports](#) page.

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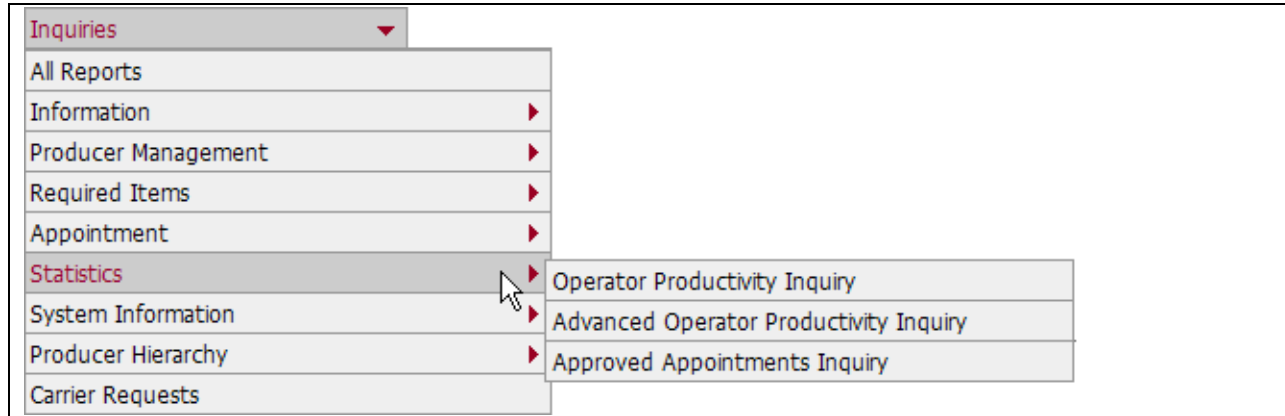
For easier viewing of the report results in any chosen output format, we recommend always checkmarking the **Spreadsheet View** checkbox.

Looking for similar report results but for firm producers? Try the [Producer Appointment Inquiry](#) which also allows you to filter results by appointment activity for producers in an agreement with a selected, other producer.

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# Statistics Inquiries

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



The **Statistics** sub-menu of the [Inquiries](#) menu may offer the following options:

- [Operator Productivity Inquiry](#)
- [Advanced Operator Productivity Inquiry](#)
- [Approved Appointments Inquiry](#)

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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](#).

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## *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 [Advanced Operator Productivity Inquiry](#).)



**Vertafore Producer Manager™** Test for 10795  
Logged in as Valued User [Logout](#)

Licensing | Companies | Inquiries | Express Services | Administration

All Reports | Recent Reports | **Operator Productivity Inquiry**

**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.

Please enter dates below:

Operator Productivity Between  
Begin Date  End Date

Submitting Staff Member <input type="text" value="/*&amp;*(. E l%#\$/&gt;&lt;script&gt;alert('si'), /&gt;&lt;script&gt;alert('si')/*&lt;script&gt;alert('si'), /&gt;&lt;script&gt;alert('si')/*&lt;script&gt;alert('si'), /&gt;&lt;script&gt;alert('si')&lt;&lt;&lt;&gt;&gt;, &lt;&lt;&lt;&gt;&gt;"/>	Business Unit <input type="text" value="00001"/> <input type="text" value="00002"/> <input type="text" value="00003"/> <input type="text" value="00004"/> <input type="text" value="123TEST"/>
--	---

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Active Portal - [operActivityAll] - Windows Internet Explorer  
 https://sdbuat.sircon.com/acweb/viewer/viewframeset.jsp?id=454&connectionhandle=u7whmBpUho%2btg5MUyUgZxq1%2brbtKHLkAq7Rmnw5begyRYEMw

TOC First Prev Next Last Goto Page 1 of 1 100% Search Download Print Help X

10-28-2009 **Operator Productivity Inquiry** Page 1 of 1  
 Between 10-27-2009 And 10-27-2009

Operator Productivity: Between 10-27-2009 And 10-27-2009  
 Submitting Staff Member(s): All Submitting Staff Members  
 Business Units: All Business Units

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Employee Type: <None>

Staff Member ID	Staff Member
6097	SUPERVISOR, KRISTIN

Activity: Individual License Applications Added

Activity Detail Type	Count
Approved	1
Pending Submission to State	1

Activity: Individuals

Activity Detail Type	Count
Individuals Updated	17



Activity: Individual Required Items

Activity Detail Type	Count
Errors & Omissions	1
Miscellaneous	1

To open the **Operator Productivity Inquiry** page, from the [Inquiries](#) menu select [Statistics](#), 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 [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.

## *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 [Operator Productivity Inquiry](#).)

The screenshot displays the Vertafore Producer Manager interface. At the top, the logo and 'Producer Manager™' are visible, along with a user login status 'Logged in as Valued User' and a 'Logout' link. A navigation menu includes 'Licensing', 'Companies', 'Inquiries', 'Express Services', and 'Administration'. The main content area is titled 'Business Unit Interest Inactivation Inquiry' and includes a brief description: 'Get a "heads up" that a producer should be terminated by running this report to discover when other business units have already inactivated the producer.' Below this, there are input fields for 'Begin Date' (01/01/2008) and 'End Date' (05-16-2014). A 'Search By' section has radio buttons for 'Staff Member' (selected) and 'Business Unit', and a dropdown menu for 'BU Name' with options: 00001, 00002, 00003, 00004, and 123TEST. Buttons for 'Submit Offline', 'View/Refresh Report', and 'Cancel' are at the bottom of the form.

Below the form, there are links for 'Home | Help | Contact Us', a copyright notice 'Copyright © 2003-2014 Vertafore, Inc.', and a server ID 'devapsrv3vm.sircon.com - 480e2106-877d-4ed6-9cee-1cbfa8c30d85'.



The bottom part of the image shows a browser window displaying the results of the inquiry. The browser title is 'Windows Internet Explorer' and the address bar shows 'https://sdbuat.sircon.com/?id=277&connectionhandle=W7whmBpUho%2btg5MUYUgZxq1%2brbtKHLkAq7RmnwSb'. The browser's navigation bar includes 'TOC', 'First', 'Prev', 'Next', 'Last', 'Goto', 'Page 1 of 1', '100%', 'Search', 'Download', 'Print', and 'Help X'. The main content area shows the report title 'Business Unit Interest Inactivation Inquiry' and 'Page 1 of 1'. The report details include: 'Inactivation Date: Between 06-14-2012 And 06-14-2012', 'Search By: Business Unit', 'Staff Member:', and 'BU Name(s): All Business Units'. The results are presented in two tables:

Entity Type	Firm	Producer Name	EIN	Business Unit(s)
		BOWERMASTER & ASSOC INS AGENCY, INC	41-2048776	AARP_CERT
BU Name	Status	Begin Date	End Date	
N/A	Inactive	06-14-2012	06-14-2012	
Entity Type	Individual Licensee	Producer Name	SSN	Business Unit(s)
		AARON, RAYNEL S	206-	AARP_CERT
BU Name	Status	Begin Date	End Date	
N/A	Inactive	06-14-2012	06-14-2012	

To open the **Advanced Operator Productivity Inquiry** page, from the [Inquiries](#) menu select [Statistics](#), 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 unchecked 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
  - Employee Type
  - Staff Member ID
  - Staff Member Name
  - Activity
  - Total Duration (for date period specified)
  - Count (how many times logged on)
- Detailed View
  - Employee Type
  - Staff Member ID
  - Staff Member Name

- Activity Sub Type
- Activity Sub Type Value
- Activity Type
- Start Date (for each Activity Type)
- Start Time (for each Activity Type)
- Dur (hrs) (for each Activity Type)
- 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 [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.

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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.

**Approved Appointments Inquiry**  
 Access a list of approved appointments for a given company, state, and date range.

**Producer Type**  
 Both  Firm  Individual Licensee

**Due Dates**  
 From 01-01-2011 to 12312011

**State**  
 Connecticut

**Companies**  
 Spreadsheet View  
 Life Insurance Company  
 Mutual Life Insurance Company  
 State Life Insurance Company

Submit Offline Cancel

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	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R
	State	Company Name	NAIC ID	EIN	Producer Type	Active State	Inactive State	Total State Appointment	Active County	Inactive County	Total County							
1																		
2	AL	Rondeley Company	76766	76-6767867	Individual	4	0	4	0	0	0							
3	AL	Sentinel Insurance Company, Ltd	11000	45-6789555	Firm	0	0	0	0	0	0							
4	AL	Sentinel Insurance Company, Ltd	11000	45-6789555	Individual	0	0	0	0	0	0							
5	AL	Sonebull Insurance Company	27120	06-1184804	Firm	0	0	0	0	0	0							
6	AL	Sonebull Insurance Company	27120	06-1184804	Individual	19	0	20	0	0	0							
7	AR	Shawford Fire Insurance Company	19682	08-0383760	Individual	0	0	0	0	0	0							
8	AR	Sonebull Insurance Company	27120	06-1184804	Individual	0	0	0	0	0	0							
9	CA	Rondeley Company	76766	76-6767867	Individual	1	0	1	0	0	0							
10	CA	Sentinel Insurance Company, Ltd	11000	45-6789555	Individual	1	0	1	0	0	0							
11	CA	Sonebull Insurance Company	27120	06-1184804	Individual	0	0	0	0	0	0							
12	CT	Sonebull Insurance Company	27120	06-1184804	Firm	0	0	0	0	0	0							
13	CT	Sonebull Insurance Company	27120	06-1184804	Individual	1	0	1	0	0	0							
14	FL	Rondeley Company	76766	76-6767867	Individual	0	0	0	0	0	0							
15	FL	Sentinel Insurance Company, Ltd	11000	45-6789555	Individual	0	0	0	0	0	0							
16	FL	Sonebull Insurance Company	27120	06-1184804	Individual	15	0	15	130	1	140							
17	ID	Rondeley Company	76766	76-6767867	Firm	0	0	0	0	0	0							
18	ID	Rondeley Company	76766	76-6767867	Individual	0	0	0	0	0	0							
19	ID	Sentinel Insurance	11001	06-1552103	Individual	2	0	2	0	0	0							
20	ID	Sentinel Insurance Company, Ltd	11000	45-6789555	Firm	0	0	0	0	0	0							
21	ID	Sentinel Insurance Company, Ltd	11000	45-6789555	Individual	0	0	0	0	0	0							

To open the **Approved Appointments Inquiry** page, from the [Inquiries](#) menu select [Statistics](#), and then select **Approved Appointments Inquiry**.

**Report Criteria**

Fields and controls include the following:

- **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 county 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.

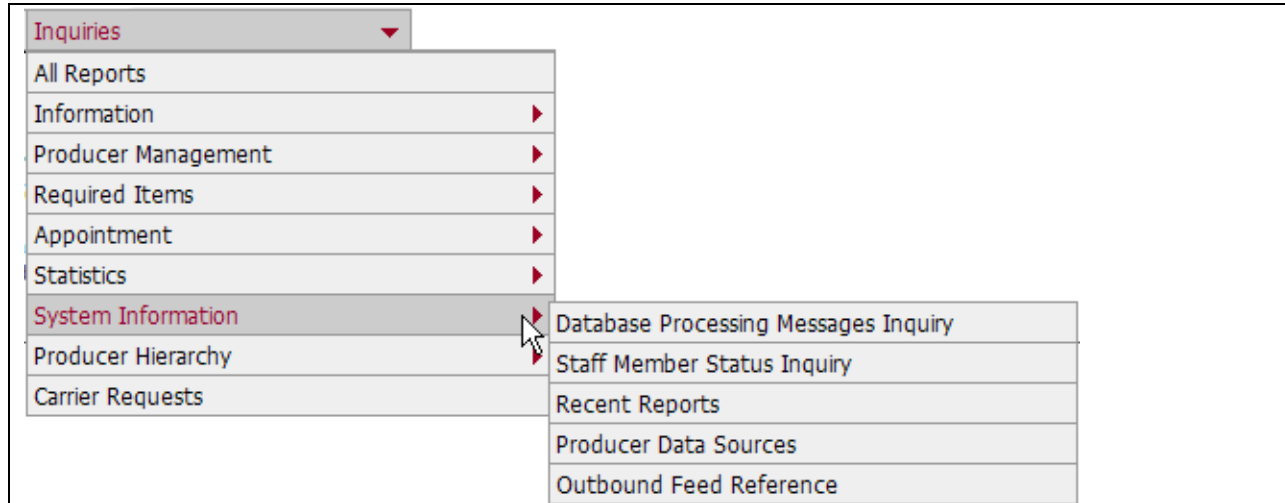
### Page Controls

- **Submit Offline:** Click the **Submit Offline** button to generate the report offline. For more information, see [Recent Reports](#).
- **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.



The **System Information** sub-menu of the [Inquiries](#) menu may offer the following options:

- [Database Processing Messages Inquiry](#)
- [Staff Member Status Inquiry](#)
- [Maintain Offline Inquiries](#)
- [Outbound Feed Reference](#)
- [Producer Data Sources](#)


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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](#).

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## *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.



**Vertafore** *Producer Manager™*

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Licensing ▾
Companies ▾
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Administration ▾

Producer Quick Search

All Reports
Recent Reports
Database Processing Messages Inquiry

### 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.

Database messages generated between:
 

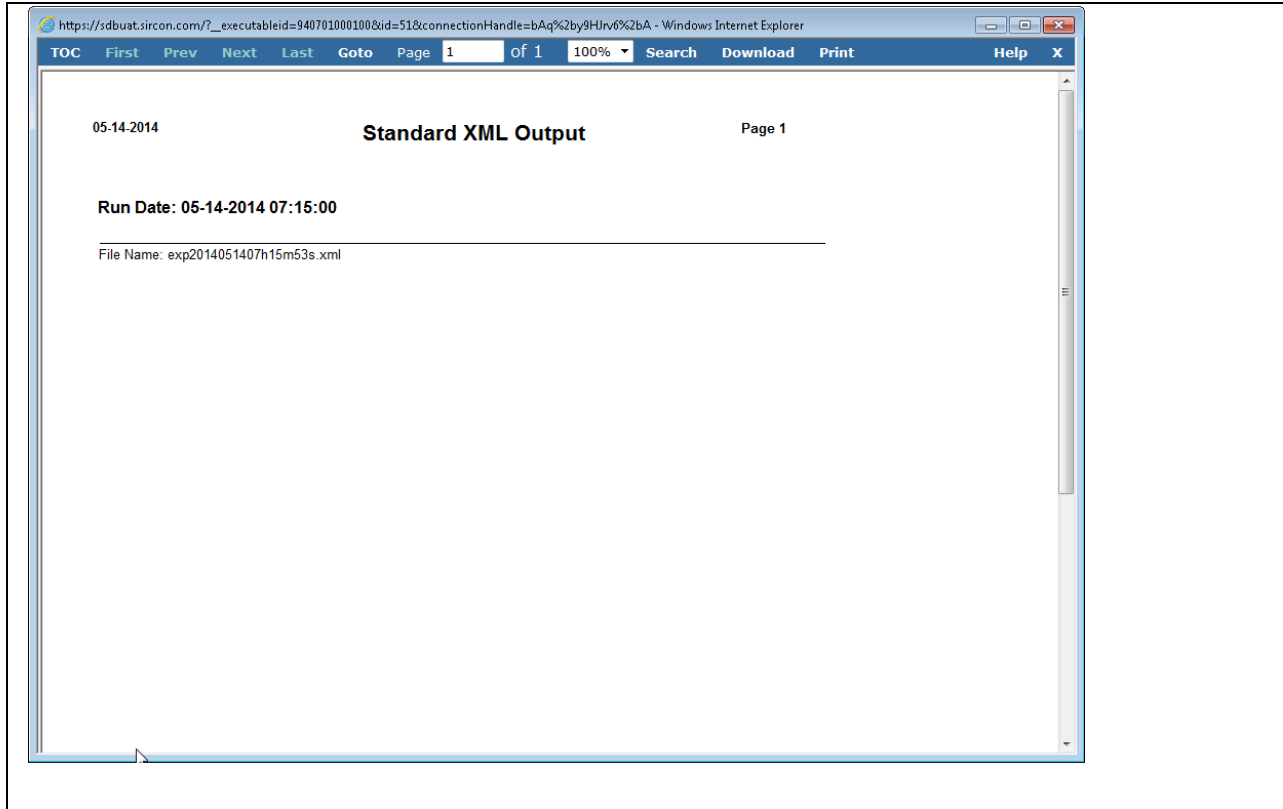
**Begin Date** 05-01-2014

**End Date** 05-07-2014  (15 days maximum)

**Database Messages**

Select messages to preview/print:

<input type="checkbox"/>	Date	Time	Title	Last Preview Date	Last Preview User
<input type="checkbox"/>	05-07-2014	12:30 AM	Purge Chgd_Prdr_Dtl table for 05-07-2014 00:30:01		
<input type="checkbox"/>	05-07-2014	06:03 PM	Standard XML Output		
<input type="checkbox"/>	05-07-2014	06:05 PM	SDB Communications Program		
<input type="checkbox"/>	05-07-2014	10:20 PM	Purge WEB_SRVC_RQST table for 05-07-2014 22:20:00		
<input type="checkbox"/>	05-06-2014	12:30 AM	Purge Chgd_Prdr_Dtl table for 05-06-2014 00:30:00		
<input type="checkbox"/>	05-06-2014	06:07 PM	SDB Communications Program	05-13-2014	Valued User
<input type="checkbox"/>	05-06-2014	10:20 PM	Purge WEB_SRVC_RQST table for 05-06-2014 22:20:00	05-13-2014	Valued User
<input type="checkbox"/>	05-06-2014	06:04 PM	Standard XML Output	05-13-2014	Valued User
<input type="checkbox"/>	05-05-2014	06:04 PM	Standard XML Output		
<input type="checkbox"/>	05-05-2014	06:05 PM	SDB Communications Program		
<input type="checkbox"/>	05-05-2014	12:30 AM	Purge Chgd_Prdr_Dtl table for 05-05-2014 00:30:01	05-13-2014	Valued User
<input type="checkbox"/>	05-05-2014	10:20 PM	Purge WEB_SRVC_RQST table for 05-05-2014 22:20:01		
<input type="checkbox"/>	05-02-2014	10:20 PM	Purge WEB_SRVC_RQST table for 05-02-2014 22:20:00		
<input type="checkbox"/>	05-02-2014	12:30 AM	Purge Chgd_Prdr_Dtl table for 05-02-2014 00:30:00		
<input type="checkbox"/>	05-02-2014	06:04 PM	Standard XML Output		
<input type="checkbox"/>	05-02-2014	06:04 PM	SDB Communications Program		
<input type="checkbox"/>	05-01-2014	12:30 AM	Purge Chgd_Prdr_Dtl table for 05-01-2014 00:30:01		
<input type="checkbox"/>	05-01-2014	10:20 PM	Purge WEB_SRVC_RQST table for 05-01-2014 22:20:00	05-13-2014	Valued User
<input type="checkbox"/>	05-01-2014	06:04 PM	Standard XML Output		
<input type="checkbox"/>	05-01-2014	06:06 PM	SDB Communications Program		



To open the **Database Processing Messages Inquiry** page, from the [Inquiries](#) menu select [System Information](#), 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 OBDP 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\_Prdr\_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.

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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.

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## 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.

05-13-2014 **Staff Member Status Inquiry** Page 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	12-11-2008	Inactive
LDILLON	DILLON, LARRY		06-26-2001	12-11-2008	Inactive
LDRAGUSTINOVICH	DRAGUSTINOVICH, IRENA		06-26-2001	04-30-2002	Inactive
lengthset	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 Role, Test3	09-01-2005	06-29-2012	Inactive
LTEAMER	TEAMER, LORRETTA		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
MAINTCEINFO	maintain. ce information		01-01-2000	06-29-2012	Inactive

To open the **Staff Member Status Inquiry** page, from the [Inquiries](#) menu, select [System Information 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 [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.

## 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.

The screenshot shows the 'Recent Reports' tab in the Producer Manager application. At the top, there is a navigation menu with options like 'Licensing', 'Companies', 'Inquiries', 'Express Services', and 'Administration'. A search bar is also present. Below the navigation, there are tabs for 'All Reports' and 'Recent Reports'. A message indicates that inquiries are retained for 30 days. A table lists several reports, including 'Approved Appointments Inquiry', 'Individual Appointments Inquiry', and 'License Renewals Due Inquiry'. Each row includes a 'Delete' button, the report name, start and completion times, the user who submitted it, and the current status. There are also 'Refresh' and 'Cancel' buttons for the entire list.



Delete	Name	Start Time	Completion Time	Submitted By	Status	Download
<input type="button" value="Abort"/>	Approved Appointments Inquiry	05-13-2014 9:12 AM	-	User, Valued	Running	
<input type="checkbox"/>	Individual Appointments Inquiry	05-13-2014 9:11 AM	05-13-2014 9:12 AM	User, Valued	Succeeded	
<input type="checkbox"/>	License Renewals Due Inquiry	05-13-2014 9:10 AM	05-13-2014 9:11 AM	User, Valued	Succeeded	

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**.

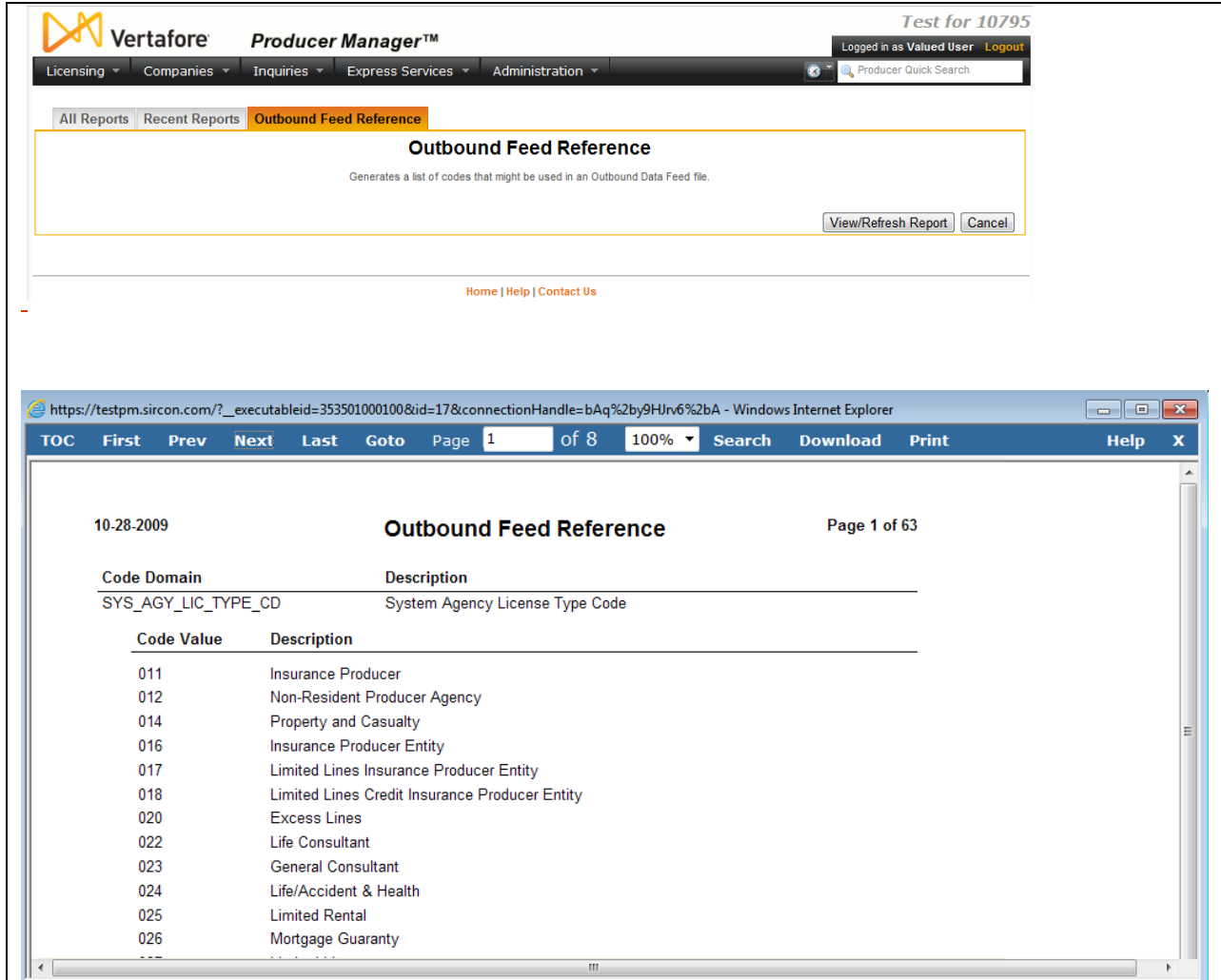
Fields and controls include the following:

- **All Reports:** Click to open the [All Reports](#) 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 [Inquiry Output Window](#).
- **Download:** Click the PDF (  ) button to open the report in a separate window in PDF format, or click the Excel button (  ) 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.

## 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.



To run the **Outbound Feed Reference** report, from the [Inquiries](#) menu select [System Information](#), 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.

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

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## 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 [anti-money laundering \(AML\) training request or status file uploads](#).



**Vertafore Producer Manager™** Test for 10795  
Logged in as Valued User [Logout](#)

Licensing Companies Inquiries Express Services Administration

All Reports Recent Reports **Producer Data Sources**

**Producer Data Sources**  
Provides access to details of AML or Quick Load batch processes. Clear

**Filter Criteria**

**Run Date**  
Begin Date: 02-01-2009 End Date: 04-07-2009

Status:  Source:

Filename:  Staff Member:

Filename	Source	Status	Run Date	Staff Member	Errors	Excluded	Total	Actions
Nagefen.csv	Quick Load Producers	Processed	04/07/2009	Westby, Cliff	0	0	1	
Nagefen.csv	Quick Load Producers	Processed	04/07/2009	Mason, Michelle	0	0	1	
Nagefen.csv	Quick Load Producers	Processed	04/07/2009	User, Valued	1	0	1	
Nagefen.csv	Quick Load Producers	Processed	04/07/2009	User, Valued	0	0	1	
Nagefen.csv	Quick Load Producers	Processed	04/07/2009	User, Valued	1	0	1	
Nagefen.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	
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	
MacMonster&DatFirm.csv	Quick Load Producers	Processed	02/20/2009	Mason, Michelle	2	0	2	
MacMonster&DatFirm.csv	Quick Load Producers	Processed	02/20/2009	Mason, Michelle	1	0	2	
upload.csv	AML (LIMRA)	Processed	02/19/2009	User, Valued	0	0	1	
asdf.csv	Quick Load Producers	Processed	02/19/2009	User, Valued	0	0	1	
upload.csv	Quick Load Producers	Processed	02/19/2009	User, Valued	0	0	1	
upload.csv	Quick Load Producers	Processed	02/19/2009	User, Valued	0	0	1	
New Microsoft Visio Drawing.csv	Quick Load Producers	Processed	02/11/2009	Mason, Michelle	0	0	0	
QuickLoad.csv	Quick Load Producers	Processed	02/03/2009	Mason, Michelle	87	0	150	


Key: = View Processing Results

22 data sources found, displaying 1 to 20. [First/Prev] 1, 2 [Next/Last]

To open the **Producer Data Sources** page, from the [Inquiries](#) menu select [System Information](#), 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 *mmd/yyyy* 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 () to open the [Processing Results](#) 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 [Producer Data Sources](#) page.

**Processing Results**

Processing results for the selected producer data source:

Filename	Source	Status	Run Date	Staff Member
ORINDIV3.csv	PDB	Processed	11-04-2009	Valued User

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

Name	TIN	Producer Type	Status	Processing Messages	Actions
AMOS	*****0000	Individual	Processed	1 message	[Icons]
ANDREESSEN	*****0000	Individual	Processed		[Icons]
BENSON	*****0000	Individual	Processed		[Icons]
BROTHERSON	*****0000	Individual	Processed		[Icons]
BROTHERSON	*****0000	Individual	Processed	1 message	[Icons]
BURNS	*****0000	Individual	Processed		[Icons]
CAROLLO	*****0000	Individual	Processed		[Icons]
CASTELLAW	*****0000	Individual	Processed	Sync Producer was already up-to-date with PDB. No synchronization with PDB was necessary.	[Icons]
CAYLOR	*****0000	Individual	Processed		[Icons]
Conrad	*****0000	Individual	Error	Sync A matching record with the TIN *****6068 could not be located within PDB	[Icons]
FRIEDENBACH	*****0000	Individual	Processed		[Icons]
GIBBONS	*****0000	Individual	Processed		[Icons]
GUTHRIE-STENHJEM	*****0000	Individual	Processed		[Icons]
HAUGEN	*****0000	Individual	Processed		[Icons]
HELGENBERGER	*****0000	Individual	Processed		[Icons]
HENRY	*****0000	Individual	Processed		[Icons]
HUFFMAN	*****0000	Individual	Processed		[Icons]
HUTTON	*****0000	Individual	Processed	PDB Report Appointment: Doesn't Appear By LOA appointment with INSURANCE COMPANY (20687) in Tennessee does not have the necessary supporting license(s) and/or qualification(s).	[Icons]
JENKINS	*****0000	Individual	Processed	1 message	[Icons]
JENSEN	*****0000	Individual	Processed		[Icons]

Key: [Icon] View PDB Report [Icon] Show/Hide Processing Messages [Icon] View Reconciliation Details

62 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 [Producer Data Sources](#) 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**

Fields and controls include the following:

- **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 [Producer Data Sources](#) 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 () 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.

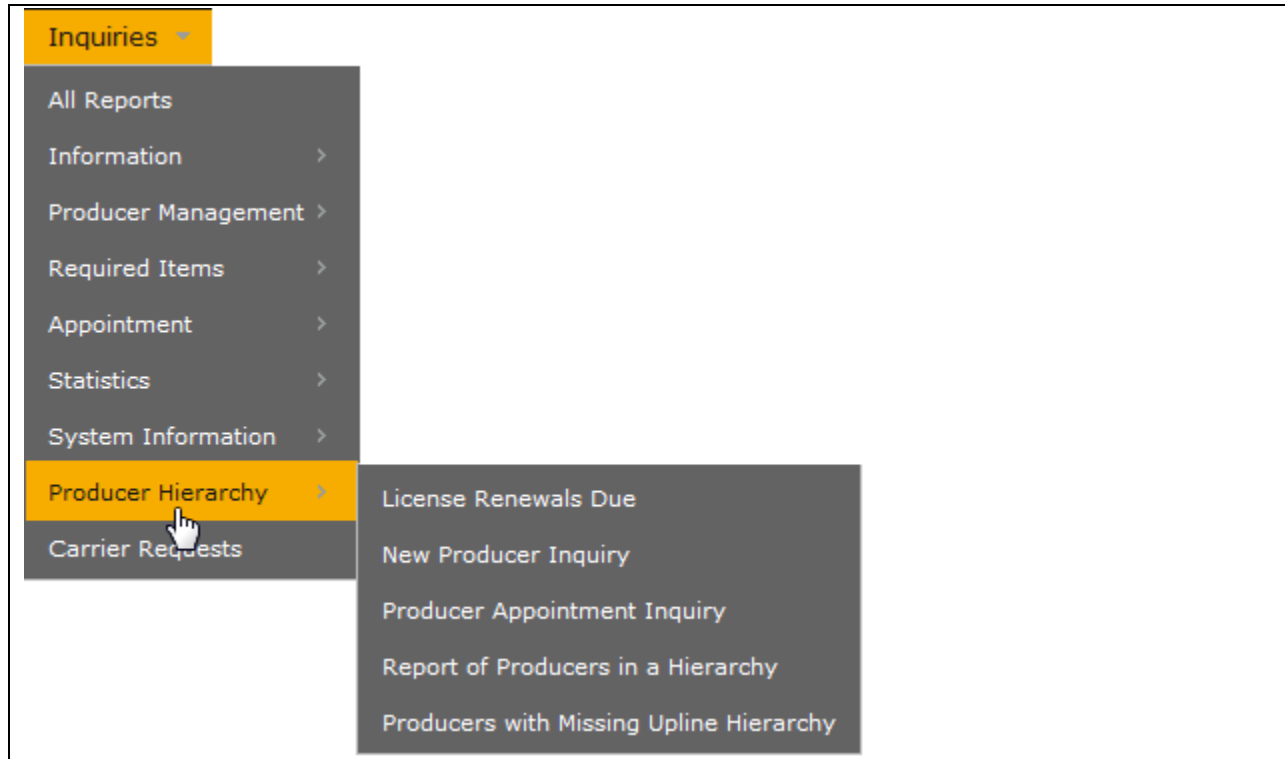
---

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.

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# 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.



The **Producer Hierarchy** sub-menu of the [Inquiries](#) 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](#)

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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](#).

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## *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.

**License Renewals Due**

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 specified producer.

**Due Dates**  
From [06-25-2012] to [07-31-2012]

**Producer Status**  
[Dropdown]

**State**  
[Dropdown]

**License Status**  
[Dropdown]

**License Type**  
 Accident & Sickness Agent  
 Adjuster  
 Adjuster (Firm)  
 Adjuster - DHS Texas  
 Adjuster Trainee  
 Adjusting Firm

**Qualifications**  
 A & H - Ltd to Credit Health AGY  
 Acc Hlth or Sick Reinsurance  
 Acc. Hlth. & Sickness MGA  
 Accident & Health (P&C only)

**Business Units**  
 00001  
 00002  
 00003  
 00004

Include "Do Not Contract"

**Hierarchy Downline**  
 Restrict results to producers that report to a **specific producer**.  
 No producer selected.

[Submit Offline] [Cancel]

Sircon ID	Prod user ID	Last Name	First Name	Middle Name	Suffix	Firm Name	SSN / EIN	License State	License Number	License Status	License Type	Original Issue Date	Exgr Date	Business Units	Re
1	094653					CUSTOM BENEFIT PROGRAMS INC	123456789	California (CA)	0B78383	AC	Non-Resident Producer Firm	6/12/1996	6/30/2012	AWD	Lf6
2	094638					FARMINGTON CO	123456790	Arizona (AZ)	04349	AC	Non-Resident Producer Firm	6/26/1988	6/30/2012	AWD	Lf6
3	739101					SECURITY INS SERVICES INC	123456791	Illinois (IL)	100306002	AC	Business Entity Producer	7/28/2004	7/28/2012	AWD	No
4	094653					CUSTOM BENEFIT PROGRAMS INC	123456792	West Virginia (WV)	100110212	AC	Business Entity Producer	4/25/2006	6/30/2012	AWD	No
5	094638					FARMINGTON CO	123456793	Arizona (AZ)	04349	AC	Non-Resident Producer Firm	6/26/1998	6/30/2012	AWD	Lf6
6	097317					ACCO-GOVERNMENT EMPLOYEE BENEFITS	123456794	Arizona (AZ)	133745	AC	Non-Resident Producer Firm	6/14/2002	6/30/2012	AWD	Lf6
7	084725					BENEFIT ALLIANCE INC	123456795	Utah (UT)	046094	AC	Non-Res Producer Organization	6/1/2010	6/30/2012	AWD	Ac
8	094653					CUSTOM BENEFIT PROGRAMS INC	123456796	California (CA)	0B78383	AC	Non-Resident Producer Firm	6/12/1996	6/30/2012	AWD	Ac
9	097317					ACCO-GOVERNMENT EMPLOYEE BENEFITS	123456797	Arizona (AZ)	133745	AC	Non-Resident Producer Firm	6/14/2002	6/30/2012	AWD	Lf6
10	094653					CUSTOM BENEFIT PROGRAMS INC	123456798	California (CA)	0B78383	AC	Non-Resident Producer Firm	6/12/1996	6/30/2012	AWD	Lf6
11	739101					SECURITY INS SERVICES INC	123456799	Illinois (IL)	100306002	AC	Business Entity Producer	7/28/2004	7/28/2012	AWD	No
12	094725					BENEFIT ALLIANCE INC	123456800	Utah (UT)	046094	AC	Non-Res Producer Organization	6/1/2010	6/30/2012	AWD	Ac
13	094653					CUSTOM BENEFIT PROGRAMS INC	123456801	California (CA)	0B78383	AC	Non-Resident Producer Firm	6/12/1996	6/30/2012	AWD	Ac



To open the **License Renewals Due** page, from the [Inquiries](#) menu select [Producer Hierarchy](#), 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 *mmdyyy* 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 *mmdyyy* 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.

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 **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.

Fields and controls include the following:

- **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 [Recent Reports](#).
- **Cancel:** Click to open the Producer Manager Home page.

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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](#).

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The **License Renewals Due Inquiry** automatically generates in tabular format. Always click the **Excel Format** () button on the [Recent Reports](#) 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.

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## *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.

The screenshot displays the Vertafore Producer Manager interface. At the top, the navigation menu includes 'Licensing', 'Companies', 'Inquiries', 'Express Services', and 'Administration'. The user is logged in as 'Valued User' and is currently viewing the 'New Producer Inquiry' page. The form contains the following sections:

- Created Date:** Includes 'Begin Date' (07-07-2011) and 'End Date' (08-06-2011).
- Producer Status:** A dropdown menu.
- Hierarchy Downline:** A text area with the instruction 'Restrict results to producers that report to a specific producer.' and the current state 'No producer selected.'
- Business Unit(s):** A list box showing units 00001, 00002, 00003, and 00004.

Below the form, there are 'Submit Offline' and 'Cancel' buttons. A footer contains 'Home | Help | Contact Us'. Below the form, a Microsoft Excel spreadsheet is shown, displaying the data generated by the inquiry. The spreadsheet has the following columns:

Created Date	Producer ID	Last Name	First Name	Middle Name	Suffix	Firm Name	License Status	Resident State(s)	Business Units	Doing Business As (DBA) Alias	Preferred Address Line 1
						THOMAS REAL ESTATE & INS CO	Active	AR	ASURON		114 E CONWAY ST
		NASSH	EMAD	QUERQUE	S		Pending	CA	ORSCLA		16014 ARROW HWY
		NANCE	RICHARD	JACKSON			Active	CA	PAM		11544 COLOMA RD
		SKLKEN	DANIEL	CARY			Active	CA	JHA		17960 ANDREWS ST
		SKLKEN	DANIEL	CARY			Active	CA	OTS		17960 ANDREWS ST
		NEWBERRY	SHERALD	ROSE			Pending	CA			225 SOUTH LAKE AVENUE
						ONLINE TRP INS SERVICES INC	Active	CA	JHA		17960 ANDREWS ST
						ONLINE TRP INS SERVICES INC	Active	CA	OTS		17960 ANDREWS ST
		HALLON	JORGE	L			Active	FL	ORCUP		7529 SW 109TH CT
						ASSET-CARD CORPORATION OF AMERICA	Active	FL	ORCUP		175 SW 7TH STREET #2407
		CALLANAN	CASEY	M			Active	IA	ORAGU		FIRST INSURANCE AGENCY
						FLAHC INC	Active	IA	ORAGU		25 W. STATE STREET
		ZWIHER	JAMES	R			Pending	IL	ORSCLA		ADVANTAGE AVIATION INSURANCE
		PESCH	MICHAEL	R			Active	IL	PAM		TWO PERCE PLACE
		PRESTON	ROBERT	J			Pending	IL	PAM		1000 N MILWAUKEE AVE



To open the **New Producer Inquiry** page, from the [Inquiries](#) menu select [Producer Hierarchy](#), 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.

Fields and controls include the following:

- **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 *mmdyyy* 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 *mmdyyy* 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.

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 **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.

Fields and controls include the following:

- **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.

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The **New Producer Inquiry** automatically generates in tabular format. Always click the **Excel Format** () button on the [Recent Reports](#) 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.

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

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## *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.

The screenshot displays the 'Producer Appointment Inquiry' page in the Vertafore Producer Manager system. The page includes a navigation menu at the top with options like 'Licensing', 'Companies', 'Inquiries', 'Express Services', and 'Administration'. The main content area features a search form with the following fields:

- Appointment/Termination:** Begin Date (07-07-2012) and End Date (08-06-2012).
- External System ID:** External System ID field and a checked 'Primary Only' checkbox.
- State(s):** A dropdown menu with options from Alabama to California.
- Status(es):** A dropdown menu with options like 'Active - Approved', 'Inactive - Approved', etc.
- Submitting Staff Member(s):** A dropdown menu with names like Lennon, Karyn; Little, Stuart; Loomis, Kelly; etc.
- Business Unit(s):** A dropdown menu with options like QUIRX, RALBU, RLOR, etc.
- Active Companies:** A list of company names including 'The Jones Western Company', 'TrueBlue', 'Trumbull Insurance Company', etc.
- Hierarchy Downline:** A section with a 'Restrict results to producers that report to a specific producer.' checkbox and a 'No producer selected.' message.
- Single Producer:** A section with a 'Search for a specific producer.' checkbox and a 'No producer selected.' message.

At the bottom right of the form are 'Submit Offline' and 'Cancel' buttons. Below the form, a Microsoft Excel spreadsheet is shown, displaying the data returned by the inquiry. The spreadsheet has columns for Company Name, NAIC ID, Producer ID, Last Name, First Name, Middle Name, Suffix, Firm Name, SSN/EIN, Producer Status, Appt State, Appt Type, Appt Status, Active Date, Term Date, Term Reason, Rec Only, Appt Rpt Date, License Type (License #), Business Units, and Staff Mem.

Company Name	NAIC ID	Producer ID	Last Name	First Name	Middle Name	Suffix	Firm Name	SSN/EIN	Producer Status	Appt State	Appt Type	Appt Status	Active Date	Term Date	Term Reason	Rec Only	Appt Rpt Date	License Type (License #)	Business Units	Staff Mem
AnLife Insurance Company	50534	AKLEY	KRISTEN	BENJA	MN			507654321	Active	OK	Accident and Health	Inactive	06-29-2009	06-29-2009	Cancel	Y		Producer (4004061), Non-Resident		
AnLife Insurance Company	50534	AKLEY	KRISTEN	BENJA	MN			507654322	Active	OK	Accident and Health	Inactive	06-29-2009	06-29-2009	Cancel	Y		Producer (4004061), Non-Resident		
AnLife Insurance Company	50534	AKLEY	KRISTEN	BENJA	MN			507654323	Active	OK	Life	Inactive	06-29-2009	06-29-2009	Cancel	Y		Producer (4004061), Non-Resident		
AnLife Insurance Company	50534	AKLEY	KRISTEN	BENJA	MN			507654324	Active	OK	Life	Inactive	06-29-2009	06-29-2009	Cancel	Y		Producer (4004061), Non-Resident		
AnLife Insurance Company	50534	AKLEY	KRISTEN	BENJA	MN			507654325	Active	TX	Life, Accident, Health and	Inactive	06-29-2009	06-30-2009	Cancel	Y		General Lines Agent (1241224)		
AnLife Insurance Company	50534	AKLEY	KRISTEN	BENJA	MN			507654326	Active	TX	Life, Accident, Health and	Inactive	06-29-2009	06-30-2009	Cancel	Y		General Lines Agent (1241224)		
AnLife Insurance Company	50534						ADVANCED VOLUNTARY CONCEPTS	263795461	Active	NJ	Doesn't Appt by LOA	Active	06-25-2009			Y		1116 (1217087)		
AnLife Insurance Company	50534						ADVANCED VOLUNTARY CONCEPTS	263795461	Active	PA	Accident and Health	Active	06-25-2009			Y		1115 (550162)		
AnLife Insurance Company	50534	ANDREW	JASON	THOMAS				23456789	Active	CA	Disability	Active	05-24-2009			N	06-23-2009	Resident Insurance Producer		
AnLife Insurance Company	50534	ANDREW	JASON	THOMAS				23456790	Active	CA	Disability	Active	05-24-2009			N	06-23-2009	Resident Insurance		AMD



To open the **Producer Appointment Inquiry** page, from the [Inquiries](#) menu select [Producer Hierarchy](#), 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.

Fields and controls include the following:

- **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 () 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.

Fields and controls include the following:

- **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.

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 **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.

Fields and controls include the following:

- **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 [Recent Reports](#).
- **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.

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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.

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The **Producer Appointment Inquiry** automatically generates in tabular format. Always click the **Excel Format** () button on the [Recent Reports](#) 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).

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Unlike the [Individual Appointments Inquiry](#), 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.

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### *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.

**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.

If a producer has multiple agreements that appear in the identified hierarchies, the producer will appear in the report multiple times, once for each agreement.

**Producer Criteria**

Filter producers by type and data on their agreements:

Producer Type: Individual Licensee, Firm  
 Agreement Status: Active, Inactive  
 Agreements identified by an active External System ID of type: <No Type Selected>

**Upline Criteria**

Each producer's upline will contain an agreement matching the following criteria:

- List upline agreements by External System IDs
- Select a specific upline agreement

Name	EIN	NPN	Status	Type	Company
The Firm	12-9999999		Active	RMO	TEST2

Select a different Upline Agreement

**Display Configuration**

Additional information about the producer that can be displayed in the resulting report:

Additional External System ID type: <No Type Selected>

Mask SSN (Ex. XXX-XX-1234)

Submit Offline Cancel

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report\_130341.xls [Compatibility Mode] - Microsoft Excel

Individual Last Name	Individual First Name	Firm Name	TIN	Agreement Status	Agreement Type Code	Agreement ESID	Hierarchy Template	Base Role	Parent Agreement ESID	Parent Agreement
Accept	Jim		***-**-5614	AC	EMO	050505050	9009	EMO	546642555	CAPIS
Allen	Daniel		***-**-7779	AC	GA	10 177905	9999	GA	546642555	CAPIS
BRAVO	FRANK		***-**-1044	AC	GA	10 177905	9999	GA	546642555	CAPIS
Thayer	Ben		***-**-3057	AC	CA	0000000434	9009	CA	546642555	CAPIS

To open the **Report of Producers in a Hierarchy** page, from the [Inquiries](#) menu select [Producer Hierarchy](#), 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.

Fields and controls include the following:

- **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 specific 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.

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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 [Recent Reports](#) 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](#).)

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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.

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## *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

**Producers with Missing Upline Hierarchy**  
 This report identifies producers that have active agreements with invalid upline hierarchies.  
 If a producer has multiple agreements that are missing an upline hierarchy, the producer will appear in the report multiple times, once for each agreement.

**Producer Criteria**  
 Filter producers with active agreements:  
 Producer Type: Individual Licensee, Firm  
 Producer Status: Active, Inactive, Pending  
 Only include producers with an active license:   
 Agreements identified by an active External System ID of type: AGENCY\_ID

**Missing Upline Criteria**  
 Select the scenario in which the producer's upline is invalid:  
 The parent agreement is inactive  
 No upline exists  
 No upline exists, where the producer's agreement has an additional producer.  
 Additional Producer Role: ACME  
 Identified by one of the following External System IDs  
 Enter 1-50 External System IDs, separated by commas. Example: AB1234, YZ0987

Submit Offline Cancel

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report\_130355.xls [Compatibility Mode] - Microsoft Excel

Producers with Missing Upline Hierarchy Report											
8/23/2012											
Producer Upline Scenario: The parent agreement is inactive											
Producer Type: Individual Licensee (IL), Firm (AGY)											
Producer Status: Active (AC), Inactive (IN), Pending (PN)											
Producer Agreement ESID Type: All											
Only Producers with an Active License: False											
Additional Producer Role: N/A											
Additional Producer Agreement ESID Search Values: N/A											
Note: External System ID is abbreviated as ESID.											
Last Name	First Name	Firm Name	Producer Status	Agreement Ty	Agreement Begin Date	Agreement ESID	Agreement ESID Type	Hierarchy Template	Base Role	Parent Agreement ESID	Parent Agreement ESID
Bedard	Jon		AC	RMO	3/5/2007	0000000099	TEST	3406	RMO		
Ochoad	Oordon		AC	RMO	3/5/2007	0000000110	CAPIS	3406	RMO		
JORZ	LUCILLE		AC	GA	3/6/2007	00 880116	CAPIS	3099	GA		
		Qwinline Agency Inc.	PN	GA	5/15/2007	30054088	CAPIS	3265	GA		
		First Finance Fidelity	AC	RMO	3/22/2007	888888000	CAPIS	3406	RMO		
		First Finance Fidelity	AC	EMO	2/18/2007	888888000	CAPIS	3260	EMO		
		Ludlge Agency	PN	GA	3/2/2007	444499911	CAPIS	3072	GA		
		Age and See Agency	AC	LO	3/22/2007	204051051	CAPIS	3421	SGA	128000000	CAPIS
		Thomas Sherk Agency	PN	GA	8/9/2007	333333666	CAPIS	3415	GA	704771244	CAPIS

To open the **Producers with Missing Upline Hierarchy** page, from the [Inquiries](#) menu select [Producer Hierarchy](#), 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 of 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 [Recent Reports](#).
- **Cancel:** Click to open the Producer Manager Home page.

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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** () button on the [Recent Reports](#) page to view the results in a spreadsheet.

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## 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.

**Vertafore Producer Manager™** UAT for 50015  
Logged in as Valued User Logout

Licensing Companies Inquiries Express Services Administration

All Reports Recent Reports **Carrier Requests**

### Carrier Requests

Find out which producers have outstanding product authorization requests per carrier or get a custom list of carrier requests. Currently, only the Agency Install version of this report is available.

**Follow-up Date**  
 All dates  
 Has follow-up date In the Last Week  
 Between [ ] and [ ]

**Request Date**  
 All dates  
 Requested In the Last Week  
 Between [ ] and [ ]

**Carrier** [ ]

**Writing Companies** [ ]

**Products**  
Benefits, Life and Health  
Life - Group  
Life - Individual  
Variable Annuity  
Variable Life

**States**  
Alabama  
Alaska  
American Samoa  
Arizona  
Arkansas  
Armed Forces Americas  
Armed Forces Other

**Status**  
Approved  
JIT Approved  
Pending  
Submitted

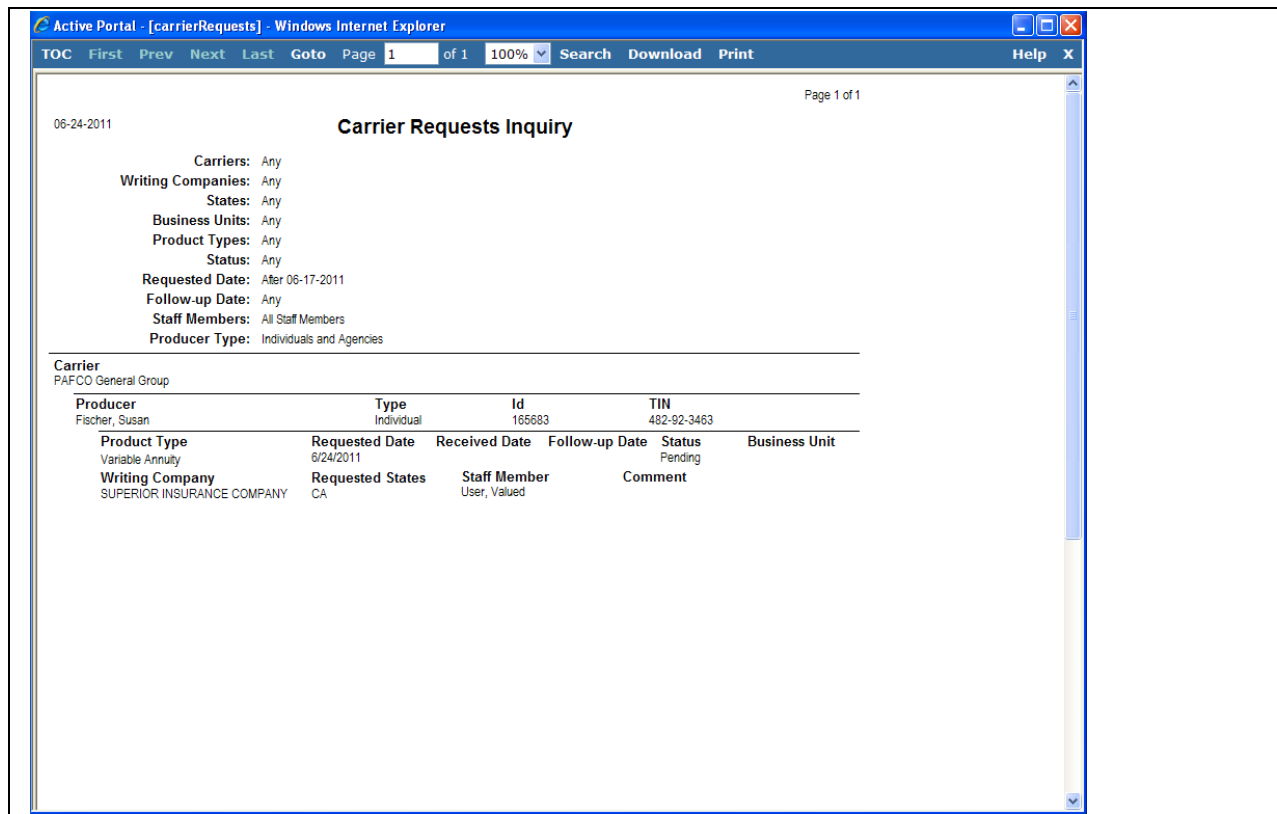
**Business Units**  
ABU  
BD  
BD2  
BD3  
BD4  
BD5  
NATBU

**Staff Members**  
User, Valued  
Barott, Chris  
Beattie, Jeff  
BOYARDEE, CHEF  
Bredin, Andy  
Cao, Yeqing  
Curtis, Scott

**Producer Type**  
Firm  
Individual Licensee

Mask SSN (Ex. XXX-XX-1234)  Spreadsheet View

Submit Offline View/Refresh Report Cancel



To open the **Carrier Requests Inquiry** page, from the [Inquiries](#) 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.

Fields and controls include the following:

- **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 () 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 [Recent Reports](#).
- **Cancel:** Click to open the Producer Manager Home page.

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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.

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# 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	