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SIRCON FOR CARRIERS

Sales Authorizations

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Overview

Introduction and Background

Licensing specialists and agency administrators can use Producer Central to quickly determine if a producer is qualified to transact on behalf of their company.

An agent, or broker's, compliance information is recorded and maintained in Producer Central, including:

- Active licenses
- Qualifications, or Lines of Authority (LOA)
- Carrier appointments
- Securities registrations
- Compulsory or product-specific training

There are two ways licensing staff can validate a producer is fully authorized to represent a specific product in a state:

1. Review the **Producer Record** and manually verify the producer has the correct licenses, qualifications, appointments, and education to represent the business.
2. Use the **Sales Authorization** functionality to quickly verify if a producer is fully authorized to represent a given product at a certain stage of the sales cycle in a specific state.

Sales Authorizations work by cross referencing the producer's credentials with the state regulations for each insurance product and writing company. All the logic that makes Sales Authorization work is configured in the system in advance.

State regulations are configured and maintained by Vertafore for each product type. Examples of products include Commercial Packages, Long Term Care, or Variable Annuities. You can select which product types are visible for your business.

Note: The list of product types available from the **Product Type** menu is based on standard insurance line of business specifications set forth by [ACORD](#).

If your organization has multiple underwriting companies that only do business in certain states, you will need to configure which companies operate in each state.

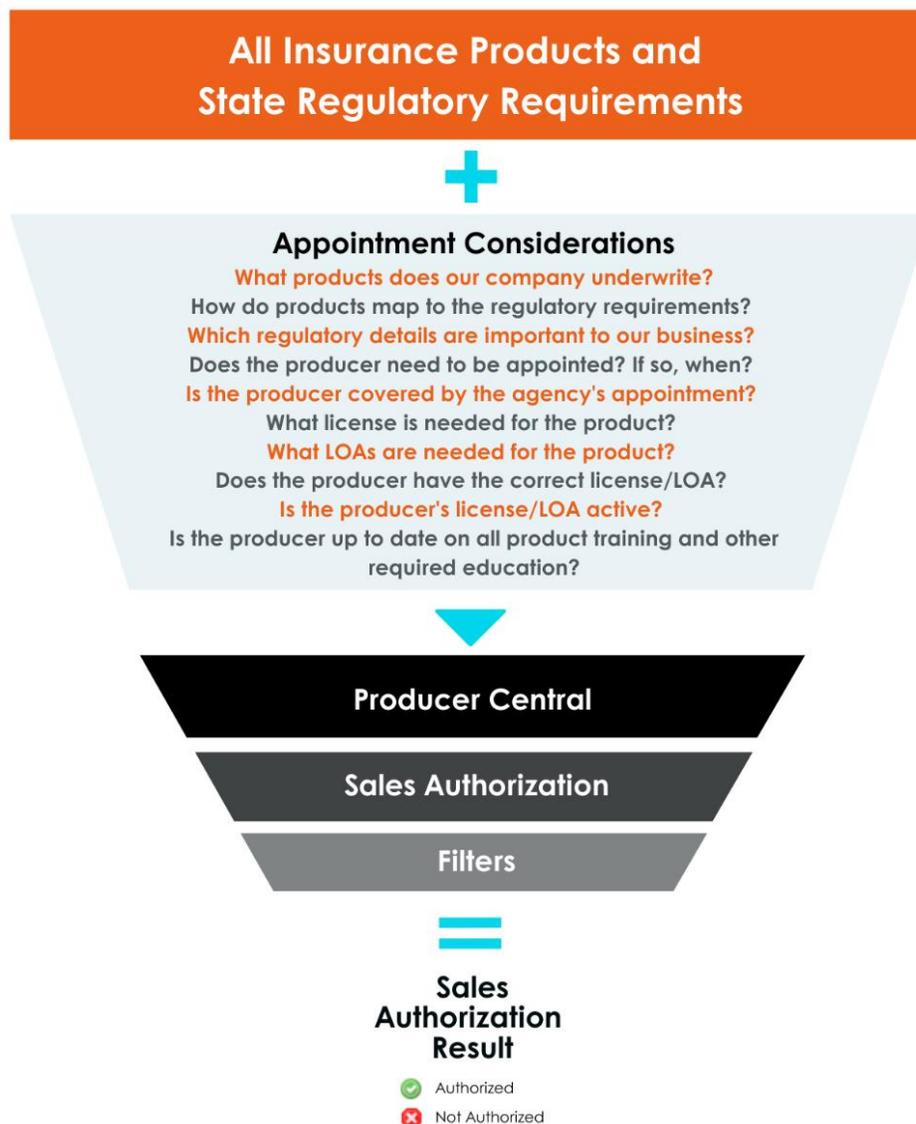
Next, Vertafore works with your team to set up Sales Events, or sales cycles. These events represent different activities producers may need to complete. Issue Policy, Request Quote, and Submit Policy Application are all examples of sales events available in the system.

Section: Overview

The Sales Authorization will run the data through filters to check that a producer has the proper license, qualification, education, and appointment to complete the sales event for the company and state in question.

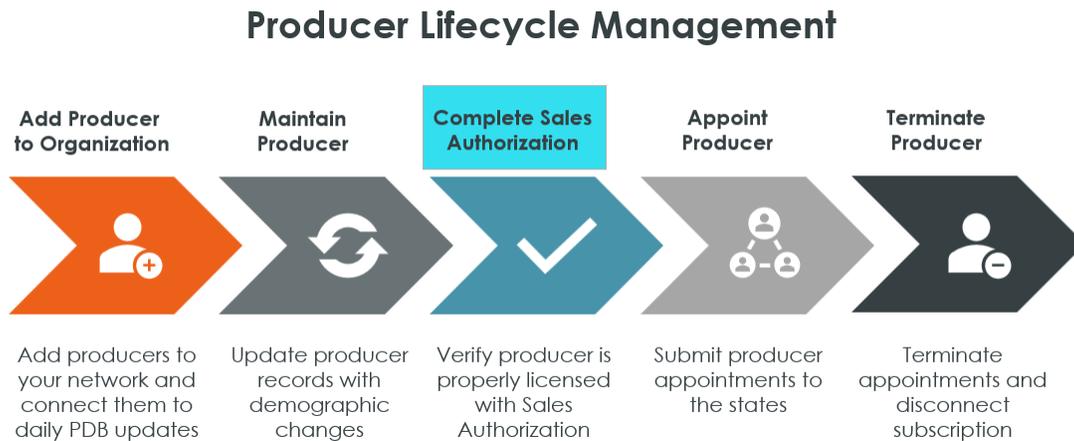
Once the authorization is complete, the **Sales Authorization Result** will show you if the producer is authorized to represent your company, or they are not authorized.

- **Authorized** – This means the producer is fully authorized to represent a given product type and writing company at a certain stage of the sales cycle in a specific state.
- **Not Authorized** – The producer is not authorized to represent the writing company. The list of missing credentials will be included if the producer is not authorized.



Section: Overview

Sales authorizations are normally performed during the Producer Lifecycle Management process. When you complete the sales authorization before appointing a producer, you can verify the producer has the proper credentials to represent your company.



What will be covered?

In this guide, we will cover how to complete sales authorizations for producers. We will also review how to configure the Sales Authorization functionality to tailor it to the needs of your business.

Who should use this document?

Users who run Sales Authorizations or review the Sales Authorization History report in Producer Central. This document can also be used by administrators that need to configure Sales Authorizations.

When should you use this document?

Use this document when you need to:

- Verify Sales Authorizations
- Configure Sales Authorizations
- View the Sales Authorization History

Verify Sales Authorization

Use the **Verify Sales Authorization** functionality to determine if a selected producer has the regulatory and/or education credentials necessary to perform a specific sales activity for a specific product line in a specific state.

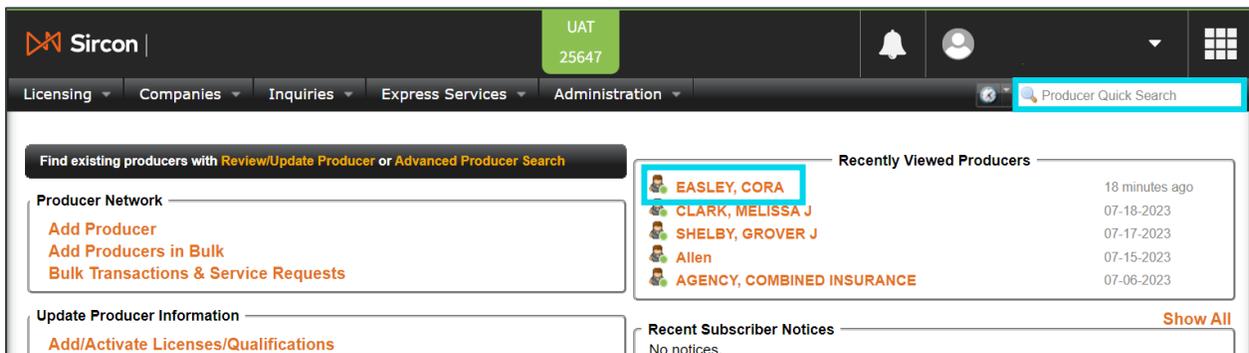
There is no cost associated with doing a producer sales authorization check, and it will not affect or change the producer record itself.

There are two different ways to navigate to the *Verify Sales Authorization* page:

1. From the Producer Record
2. From the Licensing Menu

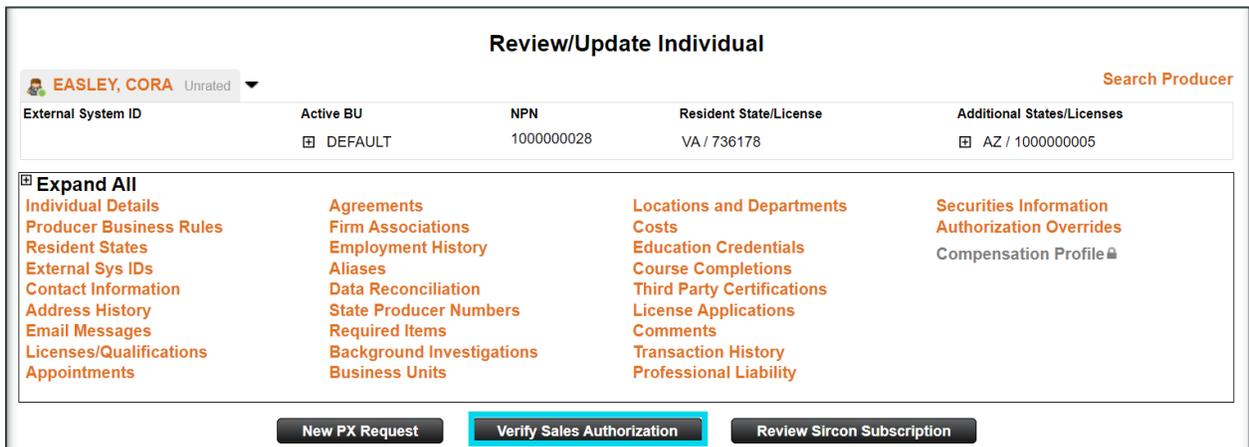
Navigate to the Verify Sales Authorization from the Producer Record

1. Search for the producer using the **Producer Quick Search** or by clicking on the producer's name from the **Recently Viewed Producers** section.



The screenshot shows the Siron application interface. At the top, there is a navigation bar with the Siron logo, a user profile dropdown showing 'UAT 25647', and a 'Producer Quick Search' input field. Below the navigation bar, there are several sections: 'Find existing producers with Review/Update Producer or Advanced Producer Search', 'Producer Network' with options like 'Add Producer' and 'Add Producers in Bulk', 'Update Producer Information' with 'Add/Activate Licenses/Qualifications', and 'Recently Viewed Producers' which lists several producers including 'EASLEY, CORA' (highlighted in a blue box), 'CLARK, MELISSA J', 'SHELBY, GROVER J', 'Allen', and 'AGENCY, COMBINED INSURANCE'. There is also a 'Recent Subscriber Notices' section showing 'No notices'.

2. You will now see the *Review/Update Individual* page.
3. Click the **Verify Sales Authorization**.



The screenshot shows the 'Review/Update Individual' page for producer 'EASLEY, CORA'. The page has a header with the producer's name and a 'Search Producer' button. Below the header is a table with the following data:

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

Below the table is an 'Expand All' section with a grid of links for various producer details and actions:

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

At the bottom of the page, there are three buttons: 'New PX Request', 'Verify Sales Authorization' (highlighted in a blue box), and 'Review Siron Subscription'.

Section: Verify Sales Authorization

- You will now see the *Verify Sales Authorization* page.

Verify Sales Authorization


EASLEY, CORA Unrated

[Search Producer](#)

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

State/Jurisdiction Required

-- Select Jurisdiction -- ▾

Product Required

-- Select Product -- ▾

Sales Event Required

-- Select Sales Event -- ▾

Writing Company

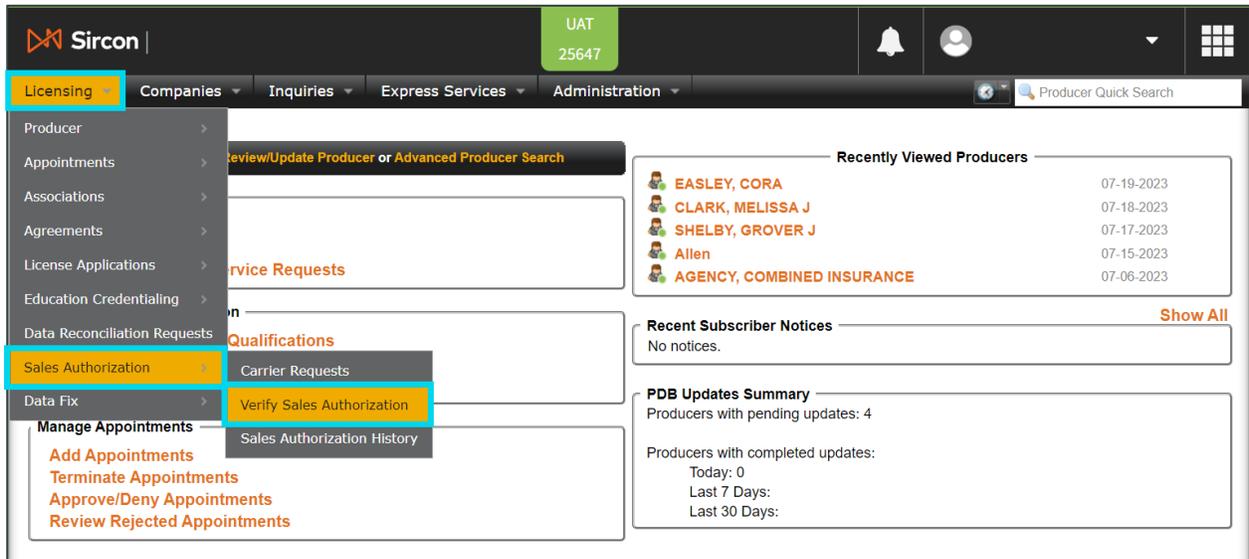
-- Select Writing Company -- ▾

Related Firm

[Search](#)

Navigate to the Verify Sales Authorization from the Licensing Menu

- From the **Licensing** menu, select **Sales Authorization** then click **Verify Sales Authorization**.



The screenshot shows the Siron system interface. The top navigation bar includes the Siron logo, a user profile (UAT 25647), a notification bell, and a search icon. Below the navigation bar, the 'Licensing' menu is expanded, showing options like 'Producer', 'Appointments', 'Associations', 'Agreements', 'License Applications', 'Education Credentialing', 'Data Reconciliation Requests', 'Sales Authorization', 'Data Fix', and 'Manage Appointments'. The 'Sales Authorization' option is highlighted, and its sub-menu is open, showing 'Carrier Requests', 'Verify Sales Authorization', and 'Sales Authorization History'. The 'Verify Sales Authorization' option is also highlighted. On the right side of the interface, there are several panels: 'Recently Viewed Producers' listing EASLEY, CORA (07-19-2023), CLARK, MELISSA J (07-18-2023), SHELBY, GROVER J (07-17-2023), Allen (07-15-2023), and AGENCY, COMBINED INSURANCE (07-06-2023); 'Recent Subscriber Notices' showing 'No notices'; and 'PDB Updates Summary' showing 'Producers with pending updates: 4' and 'Producers with completed updates: Today: 0, Last 7 Days: , Last 30 Days: '.

Section: Verify Sales Authorization

2. Select the **Producer Type**, either **Individual Licensee** or the **Firm**.
3. Enter at least one of the search criteria to locate the producer. In this example we are using the Last name.
4. Click **Search**.

Verify Sales Authorization

Search Producer

Producer Type Firm Individual Licensee

Please enter at least one of the search criteria below:

Last <input type="text" value="Easley"/>	First <input type="text"/>	Middle <input type="text"/>	
SSN <input type="text"/>	NPN <input type="text"/>	Active Business Unit <input type="text"/>	
License Number <input type="text"/>		License State <input type="text"/>	
External System ID <input type="text"/>		Primary External ID Only <input type="checkbox"/>	

Records Per Page:

5. You will now see the *Verify Sales Authorization* page.

Complete a Sales Authorization

1. From the dropdown menus on the *Verify Sales Authorization* page, select your producer sales authorization check criteria:
 - **State/Jurisdiction:** Select the name of the regulatory jurisdiction for which you are requesting a sales authorization check for the selected producer. It should be the primary risk state for a policy.
 - **Product:** Select the type of product for which you are requesting a sales authorization check. It should be the option that most closely describes the policy this producer might be selling.

Note: The options include ACORD standard and DTCC interface product types.

- **Sales Event:** Select the name of the step in the sales process for which you are requesting a sales authorization check for the selected producer. This is the action the agent is attempting.
 - The standard **Sales Events** are Request Quote, Submit Policy Application, Issue Policy, and Pay Compensation. Additional events can be configured by your business.
- **Writing Company:** Select the name of the carrier appointing or underwriting company for which you are requesting a sales authorization check for the selected producer. It should be the underwriting company issuing the Product.
- **Related Firm:** *Optional*. This allows the sales authorization check to factor in the producer's firm-related securities registrations and education credential information (if configured).

Section: Verify Sales Authorization

- See the [Check for Securities Registries](#) section for more information about how to use this option. For only a basic sales authorization check, you can ignore the **Related Firm** criteria.

2. With your criteria selected, click the **Check Authorization** button.

Verify Sales Authorization

 **EASLEY, CORA** Unrated

Search Producer

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

State/Jurisdiction Required

Virginia ▼

Product Required

Accident - Individual ▼

Sales Event Required

Issue Policy ▼

Writing Company

American P&C ▼

Related Firm

Search

Check Authorization
Return

3. The results of the check will display in a box on the right side of the page. The results indicate whether the selected producer is authorized to perform the sales event for the selected product/state, based on whether the producer holds the proper licenses, lines of authority, and/or appointments.

Verify Sales Authorization

 **EASLEY, CORA** Unrated

Search Producer

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

State/Jurisdiction Required

Virginia ▼

Product Required

Accident - Individual ▼

Sales Event Required

Issue Policy ▼

Writing Company

American P&C ▼

Related Firm

Search

Check Authorization
Return

This producer is authorized.

- ✔

Appointments and Affiliations

The following appointments and/or affiliations satisfied this requirement:

Appointment:

Life and Health
- ✔

License / LOA

The following license and line of authority combinations satisfied this requirement:

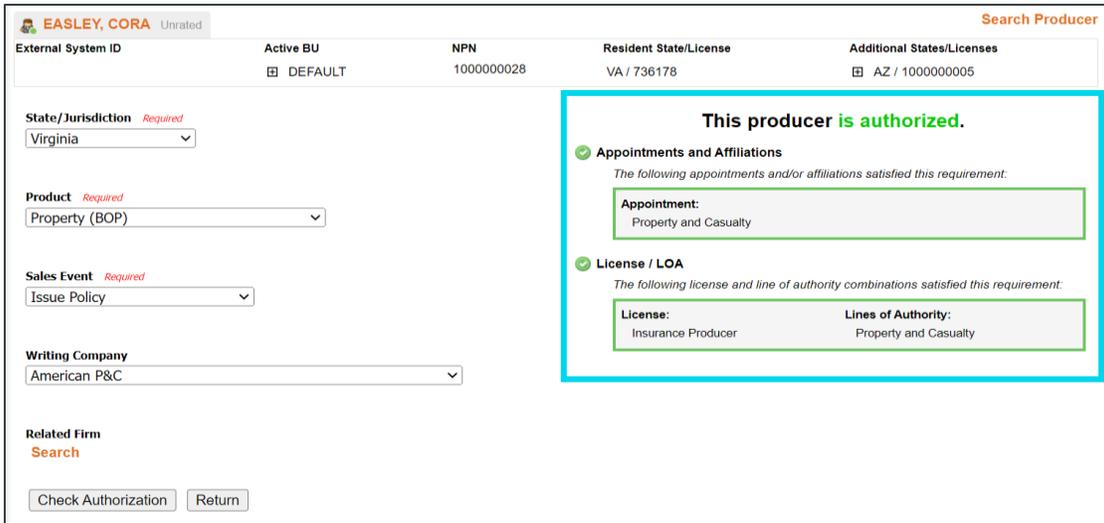
License:	Lines of Authority:
Insurance Producer	Health

Section: Verify Sales Authorization

Let's see a couple examples of the **Sales Authorization** in action.

In the first example below, the producer needs to Issue a Policy for Property insurance with the American P&C company in Virginia.

After the authorization is complete, we can see the producer is authorized to issue a policy. The producer has a Property & Casualty appointment and the proper license and lines of authority.



EASLEY, CORA Unrated Search Producer

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

State/Jurisdiction *Required*
 Virginia

Product *Required*
 Property (BOP)

Sales Event *Required*
 Issue Policy

Writing Company
 American P&C

Related Firm
 Search

Check Authorization Return

This producer is authorized.

✔ Appointments and Affiliations
 The following appointments and/or affiliations satisfied this requirement:

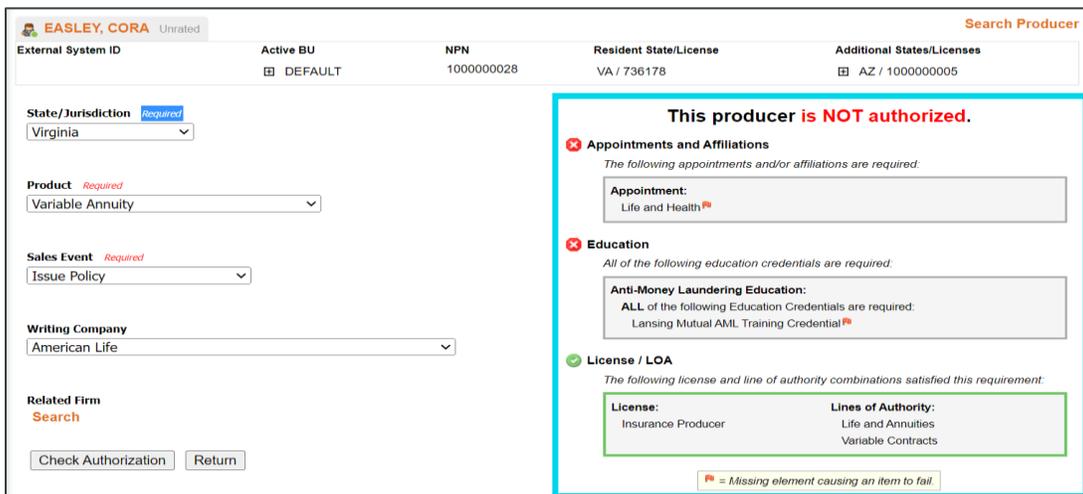
Appointment: Property and Casualty
--

✔ License / LOA
 The following license and line of authority combinations satisfied this requirement:

License: Insurance Producer	Lines of Authority: Property and Casualty
---------------------------------------	---

In the next example, the same producer needs to issue a Variable Annuity policy with the American Life company in Virginia. The result is that the producer is not authorized to issue a policy for Variable Annuity. The producer has the correct license and LOA, but they are missing an appointment and the Anti-Money Laundering education credential.

All it takes is one missing credential to return a “Not Authorized” result.



EASLEY, CORA Unrated Search Producer

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

State/Jurisdiction *Required*
 Virginia

Product *Required*
 Variable Annuity

Sales Event *Required*
 Issue Policy

Writing Company
 American Life

Related Firm
 Search

Check Authorization Return

This producer is NOT authorized.

✘ Appointments and Affiliations
 The following appointments and/or affiliations are required:

Appointment: Life and Health ❗

✘ Education
 All of the following education credentials are required:

Anti-Money Laundering Education: ALL of the following Education Credentials are required: Lansing Mutual AML Training Credential ❗
--

✔ License / LOA
 The following license and line of authority combinations satisfied this requirement:

License: Insurance Producer	Lines of Authority: Life and Annuities Variable Contracts
---------------------------------------	--

❗ = Missing element causing an item to fail.

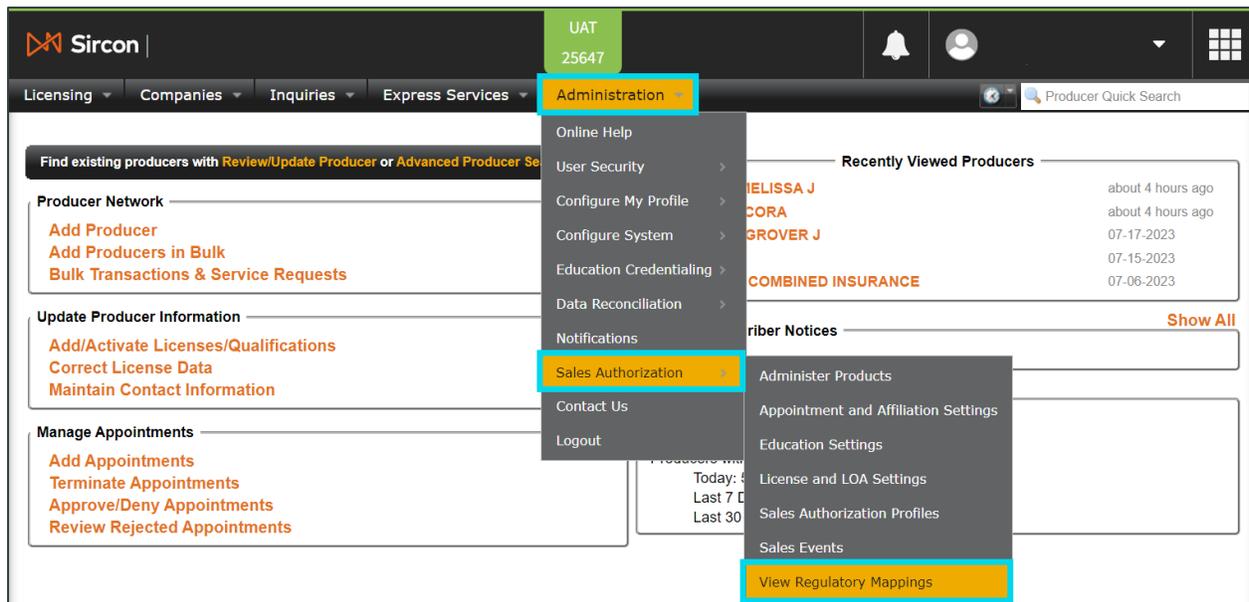
View Regulatory Mappings

Use the **View Regulatory Mappings** page to see the state regulatory mappings. These mappings indicate the different requirements that producers need to be properly licensed. Regulatory mappings are maintained by Vertafore, and the page is view only.

To support the producer Sales Authorization capability, Vertafore maintains mappings between product types and license types, lines of authority, and appointment types for every product type and state combination. We have also configured mappings between products and securities registrations.

You can easily review the mappings to ensure that your company's rules for Sales Authorization checks agree with our interpretations of state regulations by following the steps below.

1. From the **Administration** menu, select **Sales Authorization**, and then select **View Regulatory Mappings**.



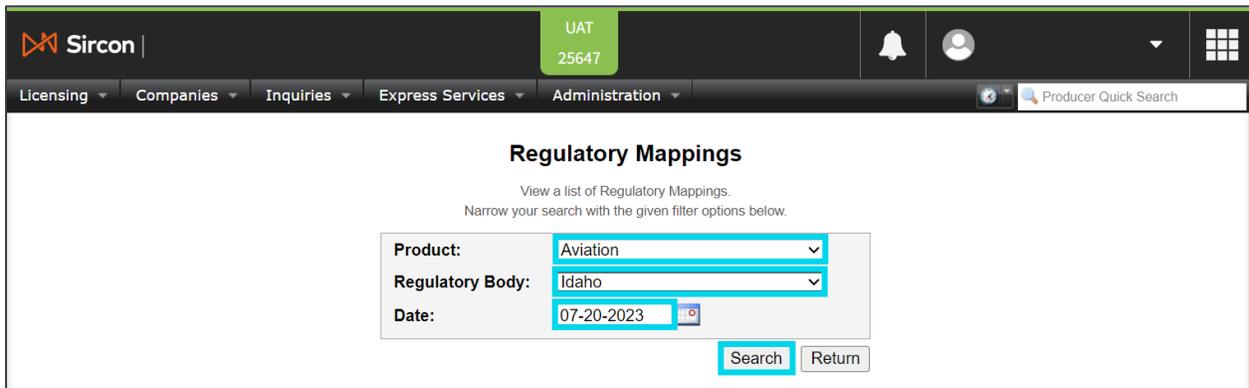
2. The *Regulatory Mappings* page will open.
3. On this page you will see three options to filter the regulatory mappings. You can input one or multiple of the following fields:
 - **Product:** From the dropdown menu, select a product type whose data mappings you want to filter the Search Results by. The options are grouped by Active Products and Inactive Products, as configured on the *Administer Products* page.

Section: View Regulatory Mappings

- **Regulatory Body:** From the dropdown menu, select the name of a state or regulatory jurisdiction whose data mappings you want to filter the search results by.
 - **Date:** You can also view active mappings as of a specific date. This field will default to the current date.
4. Click the **Search** button.

Note: In the example below, we are looking up the regulatory mappings for Aviation insurance in Idaho as of 7/20/2023.

Note: To view all states' data mappings for a selected product type, from the **Regulatory Jurisdictions** dropdown menu select the blank option at the top of the menu, and then click the **Search** button.



Regulatory Mappings

View a list of Regulatory Mappings.
Narrow your search with the given filter options below.

Product: Aviation
Regulatory Body: Idaho
Date: 07-20-2023

Search Return

5. The search results will show the current mappings between the selected product types and regulatory details in all or selected states. You will see the following fields:
- **Regulatory Body:** Displays the name of a state, district, or territory associated with the mapping.
 - **Producer Type:** Displays the specific entity type of the mapping, either Individual or Agency.
 - **Residency:** Displays whether the data mapping relationship applies to a resident or non-resident of the state or district displaying in the **Regulatory Body** field. If the data mapping applies to both a resident and non-resident, displays Both.
 - **Requirements:** Displays the specific license class, qualification (LOA), appointment type, and/or securities registration that a producer is required to hold in order to be authorized to represent the selected product type in the state, district, or territory displayed in the Regulatory Body field.
 - **Use Indicator Status:** Displays whether a specific license, LOA, or appointment type code is enabled in your company's instance of Producer Central.

Section: View Regulatory Mappings

Note: Code use indicators are another Vertafore configuration point that helps shield you from having to deal with regulatory details in the system that are unimportant to your company's business.

If you see a code use indicator with an **Inactive** status that you feel should be **Active** in your company's instance of Producer Central, please contact your Vertafore representative.

- At the bottom of the list, you can select to export the mappings to CSV, Excel, or PDF format to easily share the information with your legal or regulatory compliance team.

Regulatory Mappings

View a list of Regulatory Mappings.
Narrow your search with the given filter options below.

Product:

Regulatory Body:

Date:

Regulatory Body	Producer Type	Residency	Requirements	Use Indicator Status
Idaho	Individual	Both	License : Insurance Producer	Active
			Qualification : Casualty	Active
Idaho	Individual	Both	Appointment : Casualty	Active
			Appointment : Property	Active
Idaho	Agency	Both	License : Insurance Producer	Active
			Qualification : Casualty	Active
Idaho	Agency	Both	Qualification : Property	Active
			Appointment : Casualty	Active
Idaho	Agency	Both	Appointment : Property	Active

Export options: [CSV](#) | [Excel](#) | [XML](#) | [PDF](#)

Producer Sales Authorization is a tool to assist users with verifying that a producer has certain credentials to sell. A result of "Authorized" for a producer means that the applicable rules determined by your company's configuration have been satisfied for that producer. However, a producer receiving an "Authorized" result may require other credentials that are not addressed in your company's configuration of Producer Sales Authorization. While Vertafore strives to provide a complete set of authorization rules to help ensure producer sales compliance, it is your responsibility to verify this capability is used effectively in your business. Please check with your compliance team regarding proper usage.

Note: If you encounter any issues during Sales Authorization, it is recommended that you first check the *Regulatory Mappings* page to understand the regulatory requirements of the state.

Sales Authorization Configuration

In order for the Sales Authorization to work correctly, some configuration is required in Producer Central. In this section, we will review how to customize Sales Authorization to suit the needs of your business.

Producer Central arrives at a simple “yes” or “no” answer to the question, “Is this producer fully credentialed and authorized to transact business for us?” using the logic defined by your configuration.

Here are the basic steps required to configure Sales Authorizations:

Sales Authorization Configuration



In this section, we'll review the different options available to configure Sales Authorizations.

Administer Products

The first step to configure the system is to determine which products and writing companies are applicable to your organization.

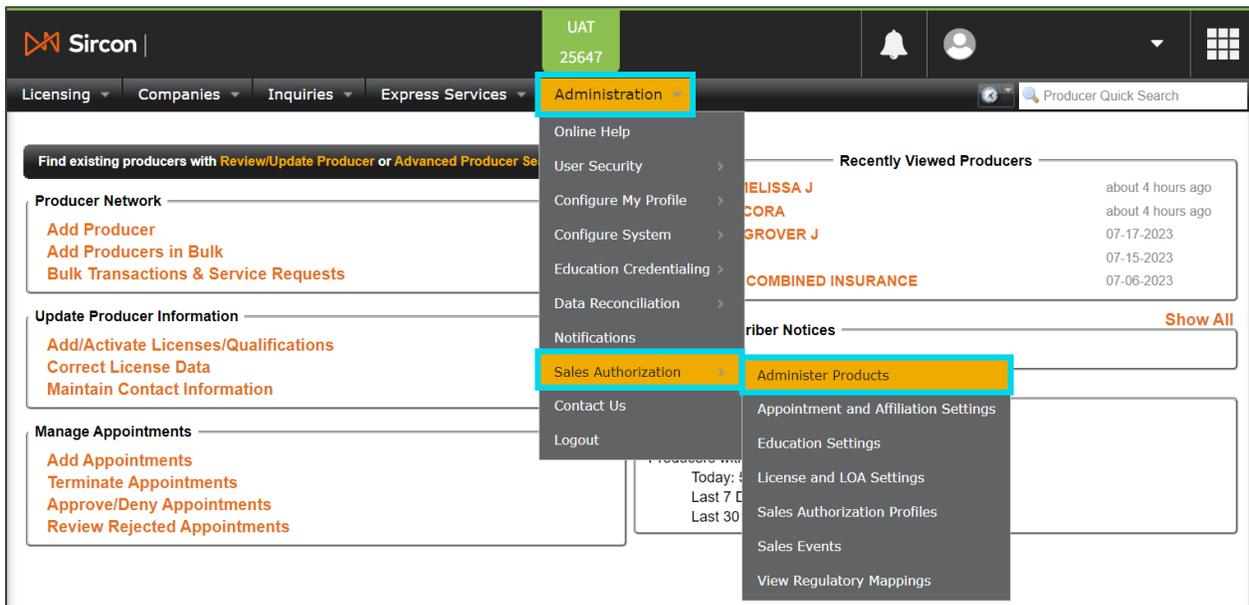
Sales Authorization supports a multitude of product types. When the security permissions for Sales Authorization are first configured, every single product type is enabled, and Producer Central will check authorization for any combination of product type, state, and underwriting company.

If your business does not need all the product types, you can choose which to enable and which to ignore. Or – if your carrier group consists of a number of underwriting companies, and some do business in some states while others don't – you can enable certain product types for some underwriters in specific states and disable them for others.

Vertafore initially works with each carrier to determine which products are applicable to your organization and which states the products are active. This is done by assigning writing companies to specific state and product combinations.

On the *Administer Products* page, you can configure Producer Central to reject a sales authorization combination that does not make sense for your business. Use the following steps to configure the products:

1. From the **Administration** menu, select **Sales Authorization**, and then select **Administer Products**.



The screenshot shows the Vertafore Administration interface. The 'Administration' menu is open, and 'Sales Authorization' is highlighted. The 'Administer Products' option is also highlighted. The background shows the main dashboard with sections for 'Producer Network', 'Update Producer Information', and 'Manage Appointments'.

Section: Sales Authorization Configuration

- You will now see the *Administer Products* page. This page displays all the Active Products and Inactive Products in your organization. From here you can see the following fields:

 - Products:** Displays the name of the product. The ACORD product type code displays in brackets to the right of the name.
 - Availability:** Displays one of the following current availability status indicators:

 - Always:** *Default*. Configuration available for all of your carrier's appointing companies in all states.
 - Custom:** *User-configured*. Product is unavailable for at least one of your carrier's appointing companies in at least one state. A product type with a value of **Custom** in the Availability field indicates that it has been user-disabled for one or multiple state and appointing company combinations.
 - Actions:** Click the **Edit State/Writing Company Combinations** (✎) button to open the *Product Availability* page. Here you can review the availability of the selected product type in all states or update the availability of the selected product type for one or multiple of your carrier's appointing companies in a selected state.

Administer Products

Configure the products that are available for Producer Sales Authorization requests.

i The Producer Sales Authorization feature does not yet support this product in at least one state.

⚠ Your Code Use Indicator configuration is insufficient for this product in at least one state.

⚠ This product is a securities-only product, and the Securities rule is not enabled.

Active Products	Availability	Actions
<input checked="" type="checkbox"/> 529 Plan [529P]	Always	
<input checked="" type="checkbox"/> Accident - Group [ACGGR]	Always	✎
<input checked="" type="checkbox"/> Accident - Individual [ACCIN]	Always	✎
<input checked="" type="checkbox"/> Accounts Receivable [ACCTR]	Always	✎
<input checked="" type="checkbox"/> Annuity - Group [ANNGR]	Always	✎
<input checked="" type="checkbox"/> Annuity - Individual [ANNIN]	Always	✎
<input checked="" type="checkbox"/> Aviation [AVIA]	Always	✎
<input checked="" type="checkbox"/> Property (BOP) [BOPPR]	Always	✎
<input checked="" type="checkbox"/> Recreational Vehicle [RECV]	Always	✎
<input checked="" type="checkbox"/> Residence Glass [RGLAS]	Always	✎
<input checked="" type="checkbox"/> Robbery [ROBB]	Always	✎
<input checked="" type="checkbox"/> Scheduled Property [SCHPR]	Always	✎
<input checked="" type="checkbox"/> Whole Life [1]	Always	✎
<input checked="" type="checkbox"/> Worker's Compensation [WORK]	Always	✎

Key: ✎ = Edit State/Writing Company Combinations

Inactive Products

Products

Nothing found to display.

Section: Sales Authorization Configuration

Note: Vertafore is continuously building out **Sales Authorization** to include additional product types, along with the mappings between the product types and regulatory details.

Check the *Administer Products* page from time to time to ensure that all product types with which your company does business are enabled in the system.

3. To the left of the **Product** name, you may see one or more of the following icons:

-  – **The Producer Sales Authorization feature does not yet support this product in at least one state.**
 - The data mappings between product types and state regulatory requirements (licenses, LOA, and/or appointment types) are Vertafore-configured in the system's back end, based on analysis of state regulations.
 - Hover over the **Mappings Alert** icon () related to a selected product type to display a tool tip with status information about the data mappings.
 - If Vertafore has not completed analysis and data mapping for the product type in any state, the following message will display: *"The Producer Sales Authorization feature does not currently support [Product Type] in any jurisdiction."*
 - If Vertafore has completed analysis and data mapping for the product type, except in one or multiple states, the following message will display: *"The Producer Sales Authorization feature does not currently support [Product Type] in [States]."*

Administer Products

Configure the products that are available for Producer Sales Authorization requests.

 The Producer Sales Authorization feature does not yet support this product in at least one state.

 Your Code Use Indicator configuration is insufficient for this product in at least one state.

 This product is a securities-only product, and the Securities rule is not enabled.

Active Products	Availability	Actions
 <input checked="" type="checkbox"/> 529 Plan [529P]	Always	
 <input checked="" type="checkbox"/> Accident - Group [ACCGR]	Always	
 <input checked="" type="checkbox"/> Accident - Individual [ACCIN]	Always	
 <input checked="" type="checkbox"/> Accounts Receivable [ACCTR]	Always	
 <input checked="" type="checkbox"/> Annuity - Group [ANNIGR]	Always	
 The Producer Sales Authorization feature does not currently support Annuity - Group in 54 states.		
 <input checked="" type="checkbox"/> Annuity - Individual [ANNIND]	Custom	
 <input checked="" type="checkbox"/> Aviation [AVIA]	Custom	
 <input checked="" type="checkbox"/> Benefits, Life and Health [BENLH]	Always	

Section: Sales Authorization Configuration

-  – **Your Code Use Indicator configuration is insufficient for this product in at least one state.**
 - Code use indicators are Vertafore-configured to reflect the licenses, LOA (qualifications), and appointments that are important to your company's business. If a code use indicator is not enabled for a state license, LOA, or appointment that is data mapped to a selected product type, the system will be unable to process a producer sales authorization request for the product type. A product type for which this is the case is identified by the **Code Use Indicator Alert icon** ().
 - Hover over the **Alert icon** () to display a tool tip with the following message: "[Product type] will not be supported in [state name or number of states] due to the current configuration of code use indicators."

Administer Products

Configure the products that are available for Producer Sales Authorization requests.

 The Producer Sales Authorization feature does not yet support this product in at least one state.

 Your Code Use Indicator configuration is insufficient for this product in at least one state.

 This product is a securities-only product, and the Securities rule is not enabled.

Active Products

Products	Availability	Actions
  <input checked="" type="checkbox"/> 529 Plan [529P]	Always	
 <input checked="" type="checkbox"/> Accident - Group [ACCGR]	Always	
 <input checked="" type="checkbox"/> Accident - Individual [ACCIN]	Always	
 <input checked="" type="checkbox"/> Accounts Receivable [ACCTR]	Always	
 <input checked="" type="checkbox"/> Annuity - Group [ANNGR]	Always	
 <input checked="" type="checkbox"/> Annuity - Group will not be supported in Vermont due to the current configuration of Code Use Indicators.		
 <input checked="" type="checkbox"/> Aviation [AVIA]	Custom	
 <input checked="" type="checkbox"/> Benefits, Life and Health [BENLH]	Always	

- You can view more information about your company's code use indicator settings as they relate to product type data mappings on the *View Regulatory Mappings* page.
- If you feel your company's code use indicators are incorrect, contact your Vertafore support representative for assistance.

Note: Occasionally, the **Code Use Indicator Alert icon** () will display related to a state in which Vertafore has inadvertently misconfigured the mappings for a product type. You can check this condition on the *View Regulatory Mappings* page.

If the **Use Indicator Status** field displays "Active" for all regulatory elements for the product in question in the selected state, then there is likely a mapping misconfiguration. Please contact your Vertafore representative.

Section: Sales Authorization Configuration

-  – **This product is a securities-only product, and the Securities rule is not enabled.**
 - Allowing sales authorization checks for some securities product types require Vertafore configuration. Until your company's instance of Producer Central is configured to allow them, product types that are not available are identifiable by the **Securities Configuration Alert** ().
 - Hover over the **Securities Configuration Alert** () icon to see if the product is configured by Vertafore. If you see a message that says "[Product type] is a securities-only product, and the Securities rule is not enabled" then the Sales Authorization will not go through successfully.
 - For assistance or for more information, please contact your Vertafore representative.

Administer Products

Configure the products that are available for Producer Sales Authorization requests.

 The Producer Sales Authorization feature does not yet support this product in at least one state.

 Your Code Use Indicator configuration is insufficient for this product in at least one state.

 This product is a securities-only product, and the Securities rule is not enabled.

Products	Availability	Actions
<input checked="" type="checkbox"/> 529 Plan [529P]	Always	
 529 Plan is a securities-only product, and the Securities rule is not enabled.	Always	
<input checked="" type="checkbox"/> Accident - Individual [ACCIN]	Always	
<input checked="" type="checkbox"/> Accounts Receivable [ACCTR]	Always	
<input checked="" type="checkbox"/> Annuity - Group [ANNGR]	Always	
<input checked="" type="checkbox"/> Annuity - Individual [ANNIN]	Custom	
<input checked="" type="checkbox"/> Aviation [AVIA]	Custom	

4. From the *Administer Products* page, you can either inactivate products your company doesn't use or edit the writing companies that are available in each state for each product.

Section: Sales Authorization Configuration

INACTIVATE PRODUCTS

Follow these steps to deactivate a product and remove it from the Sales Authorization functionality.

1. To turn off an entire product type, in the **Active Products** section, click to uncheck boxes associated with product types not sold by your company.
2. Click the **Save** button to save the changes.

	<input checked="" type="checkbox"/> Universal Life [3]	Always	
	<input checked="" type="checkbox"/> Valuable Papers [VALP]	Always	
	<input checked="" type="checkbox"/> Variable Annuity [VA]	Always	
	<input checked="" type="checkbox"/> Variable Life [VL]	Always	
	<input checked="" type="checkbox"/> Variable Universal Life [4]	Always	
	<input checked="" type="checkbox"/> Variable Whole Life [8]	Always	
	<input type="checkbox"/> Watercraft (Small Boat) [BOAT]	Always	
	<input checked="" type="checkbox"/> Whole Life [1]	Always	
	<input checked="" type="checkbox"/> Worker's Compensation [WORK]	Always	

Key: = Edit State/Writing Company Combinations

Save **Cancel**

Inactive Products

Products

Nothing found to display.

Save **Cancel**

3. Selected product types will transfer to the **Inactive Products** section at the bottom of the page.

	<input checked="" type="checkbox"/> Variable Universal Life [4]	Always	
	<input checked="" type="checkbox"/> Variable Whole Life [8]	Always	
	<input checked="" type="checkbox"/> Whole Life [1]	Always	
	<input checked="" type="checkbox"/> Worker's Compensation [WORK]	Always	

Key: = Edit State/Writing Company Combinations

Save **Cancel**

Inactive Products

Products

<input type="checkbox"/> Watercraft (Small Boat) [BOAT]

Save **Cancel**

Related Links: [Administer Products](#) | [Appointment and Affiliation Settings](#) | [Education Settings](#) | [License and LOA Settings](#)
[Sales Authorization Profiles](#) | [Sales Events](#) | [View Regulatory Mappings](#)

Section: Sales Authorization Configuration

REACTIVATE PRODUCTS

If you need to activate a product that has been inactivated, click the checkmark next to the product name and click **Save**.

Note: If you inactivate a product type and then re-activate it, all custom configurations will be lost and the **Availability** field will revert to the default value of Always.

	<input checked="" type="checkbox"/> Variable Universal Life [4]	Always	
	<input checked="" type="checkbox"/> Variable Whole Life [8]	Always	
	<input checked="" type="checkbox"/> Whole Life [1]	Always	
	<input checked="" type="checkbox"/> Worker's Compensation [WORK]	Always	
Key: = Edit State/Writing Company Combinations			
<input type="button" value="Save"/> <input type="button" value="Cancel"/>			
Inactive Products			
Products			
<input checked="" type="checkbox"/>	Watercraft (Small Boat) [BOAT]		
<input type="button" value="Save"/> <input type="button" value="Cancel"/>			

EDIT PRODUCT SETTINGS

Follow these steps to finetune the availability of a specific product type per underwriting company and/or state.

1. Click the **Edit State/Writing Company Combinations** control () associated with a product type.

Administer Products

Configure the products that are available for Producer Sales Authorization requests.

The Producer Sales Authorization feature does not yet support this product in at least one state.

Your Code Use Indicator configuration is insufficient for this product in at least one state.

This product is a securities-only product, and the Securities rule is not enabled.

Active Products		Availability	Actions
Products			
	<input checked="" type="checkbox"/> 529 Plan [529P]	Always	
	<input checked="" type="checkbox"/> Accident - Group [ACCGR]	Always	
	<input checked="" type="checkbox"/> Accident - Individual [ACCIN]	Always	
	<input checked="" type="checkbox"/> Accounts Receivable [ACCTR]	Always	
	<input checked="" type="checkbox"/> Annuity - Group [ANNGR]	Always	
	<input checked="" type="checkbox"/> Annuity - Individual [ANNIN]	Always	
	<input checked="" type="checkbox"/> Aviation [AVIA]	Always	
	<input checked="" type="checkbox"/> Benefits, Life and Health [BENLH]	Always	

Section: Sales Authorization Configuration

2. The *Product Availability* page will open.
3. From here, you can see the availability of the selected product type in all states.
4. You will see the following fields:
 - **State:** Lists the state or territory where the product is available.
 - **Writing Companies:** Indicates whether there are writing companies assigned to a state or territory. By default, **All Companies** are assigned, however you can customize which companies are available for each state.
5. Click the **Edit** button (✎) to update the availability of the selected product type for one or multiple of your carrier's appointing companies in a selected state.

Product Availability: Aviation

Where is the **Aviation** product available, and which companies underwrite it?

i The Producer Sales Authorization feature does not yet support this product in at least one state.

! Your Code Use Indicator configuration is insufficient for this product in at least one state.

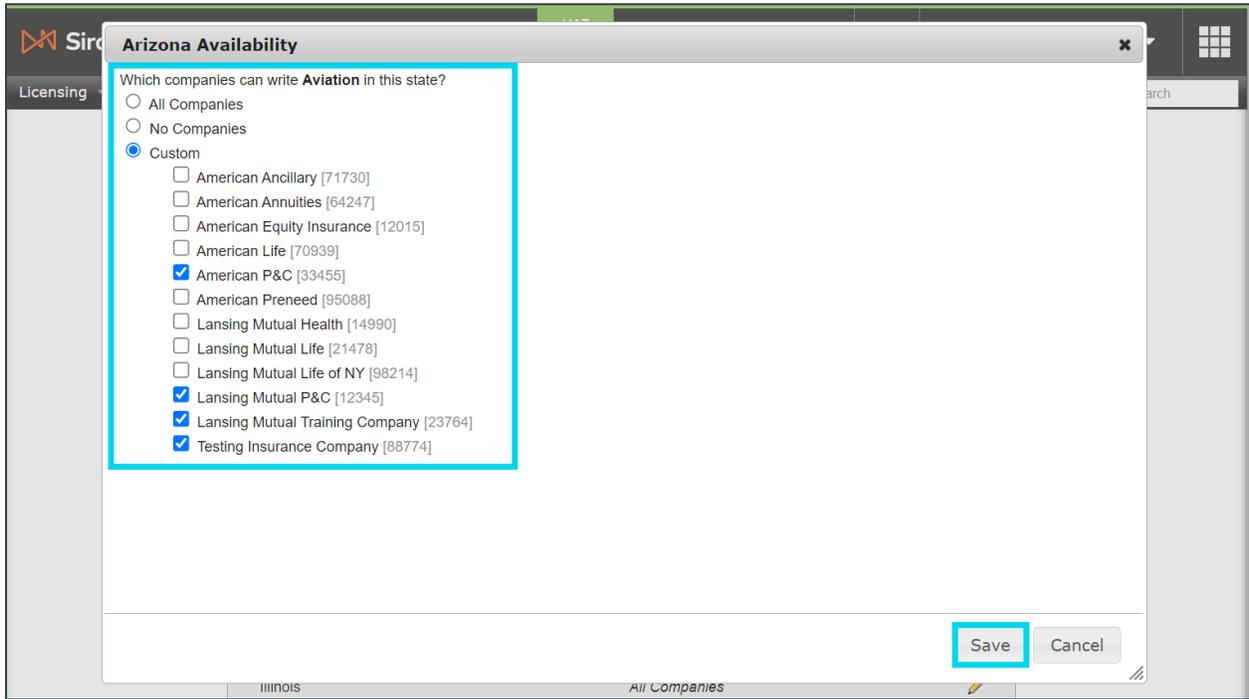
State	Writing Companies	Actions
Alabama	All Companies	
Alaska	All Companies	
i American Samoa	All Companies	
Arizona	All Companies	
Arkansas	All Companies	
California	All Companies	
Colorado	All Companies	
Connecticut	All Companies	
Delaware	All Companies	
District of Columbia	All Companies	
Florida	All Companies	
Georgia	All Companies	
i Guam	All Companies	
Hawaii	All Companies	
Idaho	All Companies	
Illinois	All Companies	
Vermont	All Companies	
Virginia	All Companies	
Washington	All Companies	
West Virginia	All Companies	
Wisconsin	All Companies	
Wyoming	All Companies	

Key:  = Edit

[Return](#)

6. A popup will appear which allows you to select which companies are active in the state for each product. There are three different options:
 - Click **All Companies** to extend all the writing companies in your organization to the Sales Authorization for that product and state.
 - Click **No Companies** to remove all the writing companies from the state and product.
 - Click **Custom** then click the checkmarks next to each company that is active in the state for a given product.
7. Click **Save**.

Section: Sales Authorization Configuration



Note: If the writing company does not support the product, you will see this icon (🚫). Click the **Edit** button to remove the writing company from the list.

Product Availability: Aviation

Where is the **Aviation** product available, and which companies underwrite it?

- 🚫 The product type is not supported by company appointments.
- 🚫 The Producer Sales Authorization feature does not yet support this product in at least one state.
- ⚠️ Your Code Use Indicator configuration is insufficient for this product in at least one state.

State	Writing Companies	Actions
Alabama	All Companies	
Alaska	All Companies	
🚫 American Samoa	All Companies	
Arizona	American P&C [33455]	
	Lansing Mutual P&C [12345]	
	🚫 Lansing Mutual Training Company [23764]	
	Testing Insurance Company [88774]	
Arkansas	All Companies	
California	All Companies	

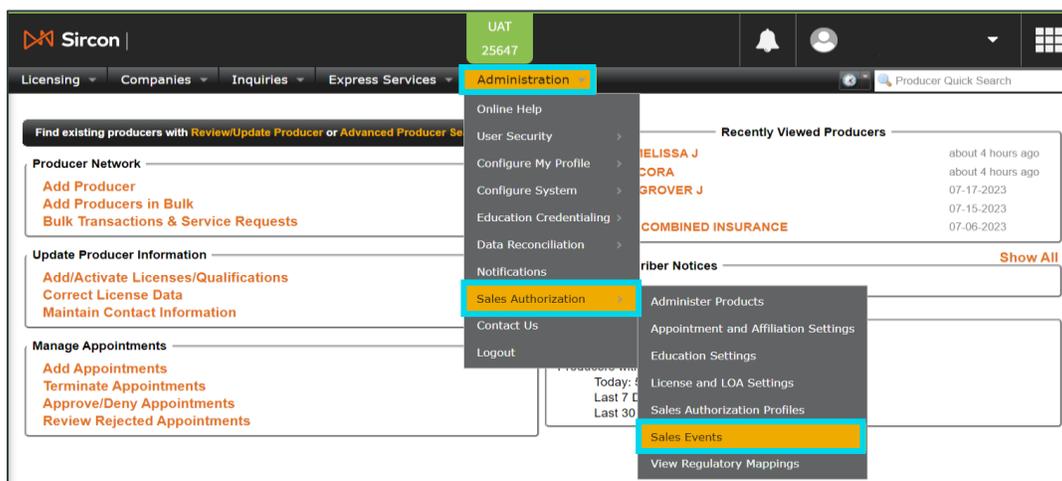
Create Sales Events

By default, Vertafore preconfigures Producer Central with the following Sales Events to appear in the Sales Authorizations:

- Request Quote
- Submit Policy Application
- Issue Policy
- Pay Compensation

You can also add custom Sales Events depending on the needs of your business. For example, if you have sales representatives that work in a call center, you can set up a sales event to track their compliance needs.

1. From the **Administration** menu, click **Sales Authorization** then click **Sales Events**.



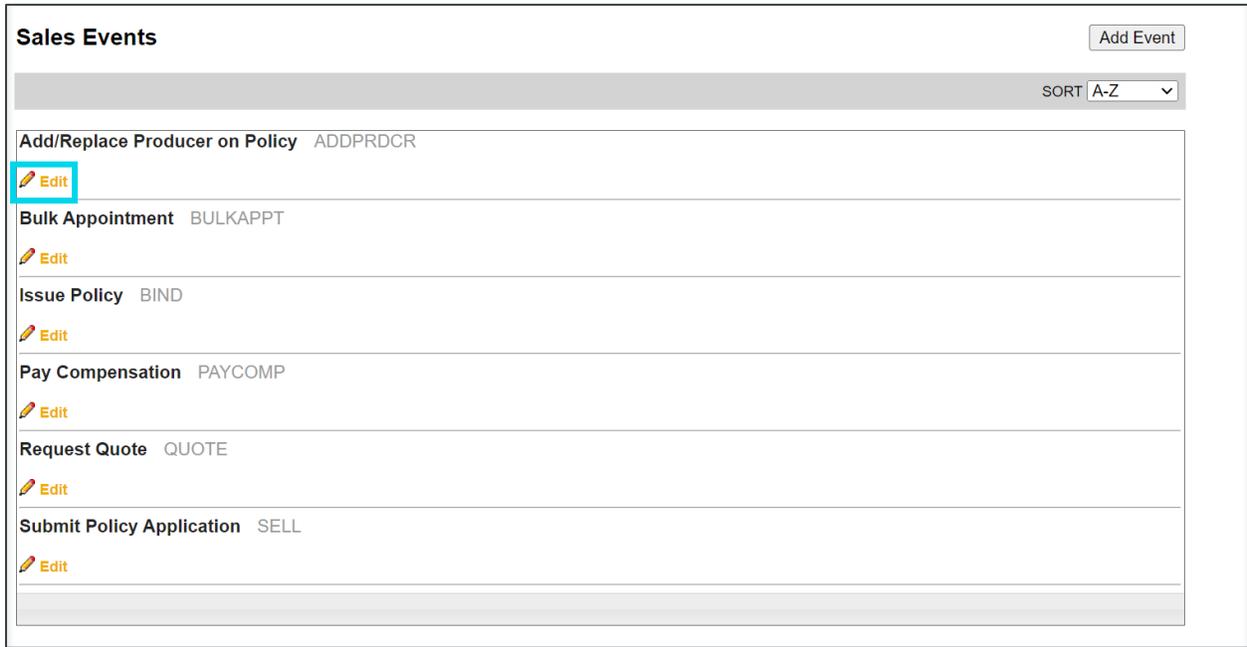
2. You will now see the **Sales Events** page. Here you can see a list of all the sales events that are already available in the system.



Section: Sales Authorization Configuration

EDIT EXISTING EVENT

1. To edit details of an existing event, click the **Edit** button.

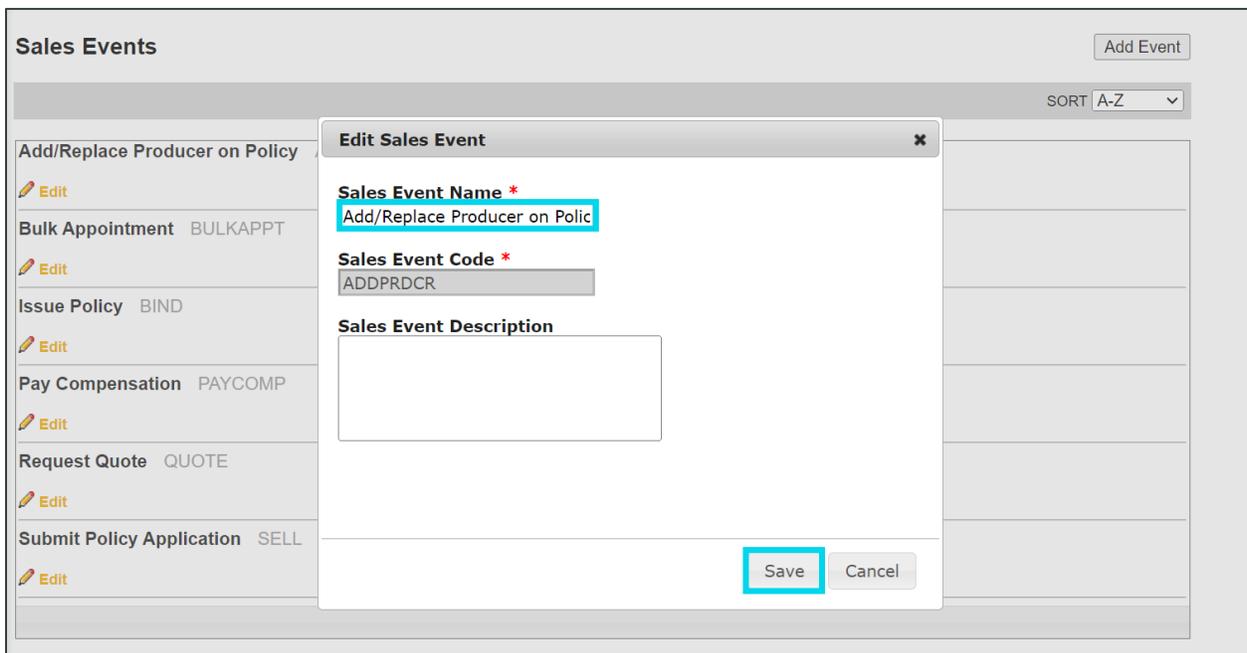


Sales Events Add Event

SORT **A-Z** ▼

Add/Replace Producer on Policy ADDPRDCR
 Edit
Bulk Appointment BULKAPPT
 Edit
Issue Policy BIND
 Edit
Pay Compensation PAYCOMP
 Edit
Request Quote QUOTE
 Edit
Submit Policy Application SELL
 Edit

2. The *Edit Sales Event* popup will appear. From here you can update the **Sales Event Name**.
3. Click **Save**.



Sales Events Add Event

SORT **A-Z** ▼

Add/Replace Producer on Policy
 Edit
Bulk Appointment BULKAPPT
 Edit
Issue Policy BIND
 Edit
Pay Compensation PAYCOMP
 Edit
Request Quote QUOTE
 Edit
Submit Policy Application SELL
 Edit

Edit Sales Event ✕

Sales Event Name *

Sales Event Code *

Sales Event Description

Section: Sales Authorization Configuration

ADD NEW EVENT

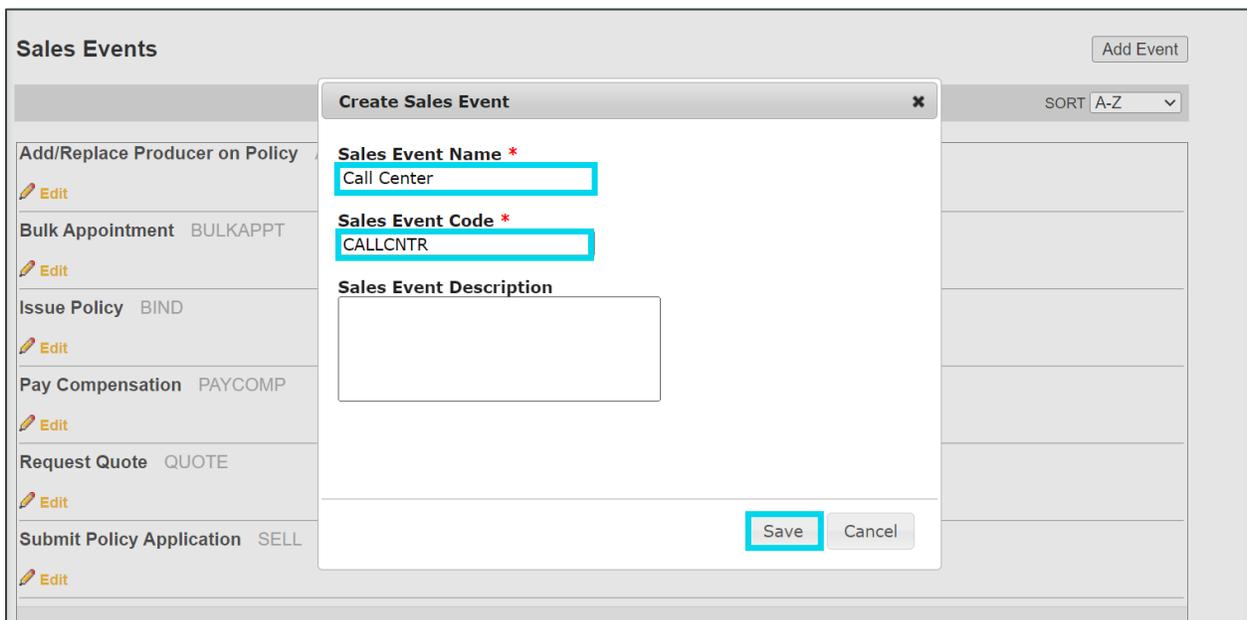
1. To add a new custom event, click the **Add Event** button.



Sales Events		Add Event
		SORT A-Z
Add/Replace Producer on Policy	ADDPRDCR	Edit
Bulk Appointment	BULKAPPT	Edit
Issue Policy	BIND	Edit
Pay Compensation	PAYCOMP	Edit
Request Quote	QUOTE	Edit
Submit Policy Application	SELL	Edit

2. Enter the **Sales Event Name** and the **Sales Event Code**. You can also optionally enter a **Sales Event Description**.
3. Click **Save**.

Note: You cannot edit the **Sales Event Code** after it is created initially.



Sales Events		Add Event
		SORT A-Z
Add/Replace Producer on Policy	ADDPRDCR	Edit
Bulk Appointment	BULKAPPT	Edit
Issue Policy	BIND	Edit
Pay Compensation	PAYCOMP	Edit
Request Quote	QUOTE	Edit
Submit Policy Application	SELL	Edit

Create Sales Event

Sales Event Name *
Call Center

Sales Event Code *
CALLCNTR

Sales Event Description

Save Cancel

Section: Sales Authorization Configuration

4. The Sales Event will now appear in the page.

Sales Events Add Event
SORT A-Z ▾

Add/Replace Producer on Policy ADDPRDCR
 Edit
Bulk Appointment BULKAPPT
 Edit
Call Center CALLCNTR
 Edit
Issue Policy BIND
 Edit
Pay Compensation PAYCOMP
 Edit
Request Quote QUOTE
 Edit
Submit Policy Application SELL
 Edit

5. After the Sales Event is created, you will need to follow the steps in the next section to [Manage the Appointment and Affiliation Settings](#) for the new sales event you created.

Manage Appointment and Affiliation Settings

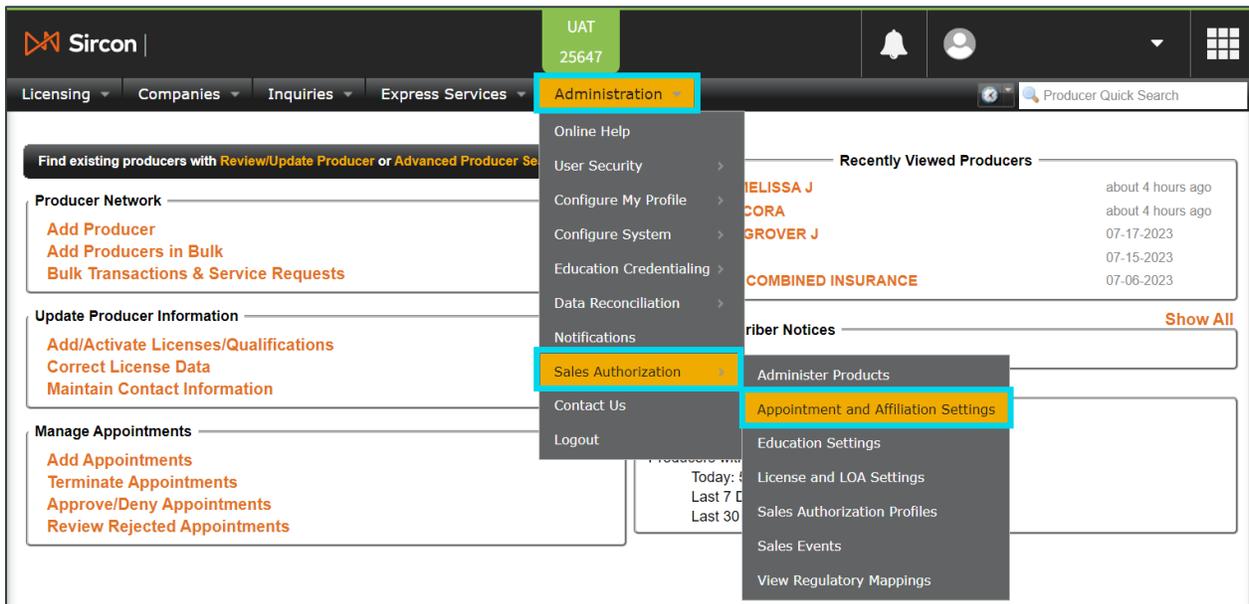
If you have system administrator permissions, use the *Appointment and Affiliation Settings* page to configure requirements for "just in time" (JIT) state appointments, based on your company's interpretation of state regulations.

For each **Sales Event** (such as Issue Policy or Request Quote), you can decide if sales authorizations for firm or individual producers require an appointment or affiliation.

For example, you can set rules for a JIT state where a sales authorization check for quoting a policy may not require the producer to hold an appointment but require that submitting a policy application does.

You also can configure whether sales authorizations will allow a state-registered individual-to-firm affiliation (or association) in lieu of an appointment.

1. From the **Administration** menu, click **Sales Authorization** then click **Appointment and Affiliation Settings**.



The screenshot shows the Sircon user interface. At the top, there is a navigation bar with the Sircon logo, a user profile dropdown (UAT 25647), a notification bell, and a search bar. Below the navigation bar, there are several menu items: Licensing, Companies, Inquiries, Express Services, and Administration. The Administration menu is expanded, showing options like Online Help, User Security, Configure My Profile, Configure System, Education Credentialing, Data Reconciliation, Notifications, Sales Authorization (highlighted), Contact Us, and Logout. The Sales Authorization sub-menu is also expanded, showing options like Administer Products, Appointment and Affiliation Settings (highlighted), Education Settings, License and LOA Settings, Sales Authorization Profiles, Sales Events, and View Regulatory Mappings. The main content area shows a 'Producer Network' section with links for adding producers, updating information, and managing appointments. There is also a 'Recently Viewed Producers' section with a list of producers and their last viewed dates.

2. You will now see the *Appointment and Affiliation Settings* page. Here are the fields available on this page:
 - **State:** Displays the name of the state or region.
 - **Sales Event:** Displays the name of the sales event.
 - **Firms:** Offers the following configuration settings for use with sales authorization of firm producers in each listed state:
 - **Require Appointment:** Click a checkmark to require firm producers to hold an appointment in the listed state for the sales authorization to go through.

Section: Sales Authorization Configuration

If the checkbox is unchecked, the sales authorization check of a firm producer for the selected sales event will result in a Not Authorized response.

- **Individuals:** Here are the options for individual producers in each state:
 - **Require Affiliation:** Click the checkbox to require individual producers to hold a firm association (affiliation) in the listed state when checked for sales authorization.
 - **Require Appointment:** Click the checkbox to require individual producers to hold an appointment in the listed state when checked for sales authorization.
 - **Appoint-via-Affiliation:** This section offers additional configuration settings for qualifying the definition of an individual appointment in the listed state.
 - Select the **Appointments or State – Registered Affiliation** button to allow individual producers to hold either an appointment or a state-registered association to satisfy an appointment requirement when checked for sales authorization.
 - Select the **Appointments only** button to require individual producers to hold an appointment to satisfy an appointment requirement when checked for sales authorization; a state-registered affiliation will be ignored.
2. If you updated the *Appointment and Affiliation Settings*, click **Save** to submit your changes.

Appointment and Affiliation Settings

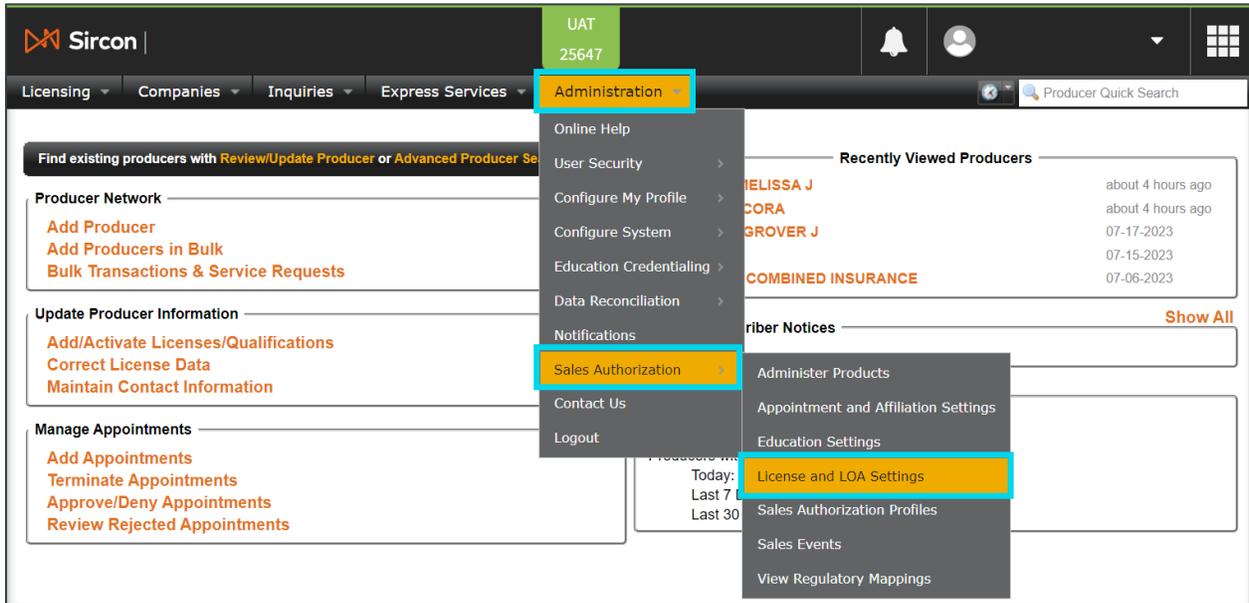
The following settings represent when your business policies require appointments and/or state-registered affiliations to be present in order to do business.

	Sales Event	Firms			Individuals
		Require Appointments	Require Affiliation	Require Appointments ¹	Appoint-via-Affiliation
Alabama	Add/Replace Producer on Policy	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	¹ Appointment requirement is satisfied by: <input type="radio"/> Appointments or a State-Registered Affiliation <input checked="" type="radio"/> Appointments only
	Bulk Appointment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
	Call Center	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
	Issue Policy	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
	Pay Compensation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
	Request Quote	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Submit Policy Application	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
Alaska	Add/Replace Producer on Policy	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	¹ Appointment requirement is satisfied by: <input type="radio"/> Appointments or a State-Registered Affiliation <input checked="" type="radio"/> Appointments only
	Bulk Appointment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
	Call Center	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
	Issue Policy	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
	Pay Compensation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
	Request Quote	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Submit Policy Application	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Vermont	Add/Replace Producer on Policy	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	¹ Appointment requirement is satisfied by: <input type="radio"/> Appointments or a State-Registered Affiliation <input checked="" type="radio"/> Appointments only
	Bulk Appointment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
	Call Center	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
	Issue Policy	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
	Pay Compensation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
	Request Quote	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	Submit Policy Application	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	

View License and LOA Settings

For each sales event, you can determine if sales events require licenses and lines of authority.

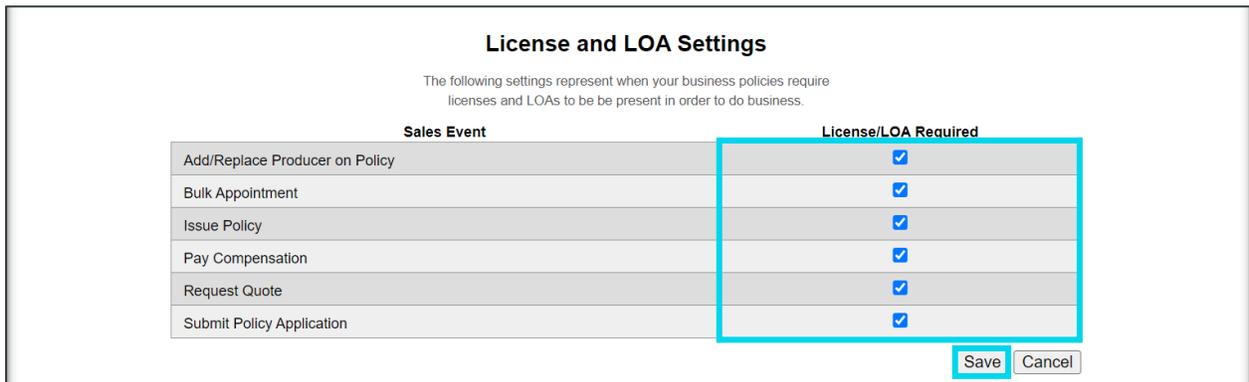
1. From the **Administration** menu, click **Sales Authorization** then click **License and LOA Settings**.



The screenshot shows the Vertafore Administration menu. The 'Administration' menu is open, and 'Sales Authorization' is selected. The 'License and LOA Settings' option is highlighted in the sub-menu.

2. You will now see the *License and LOA Settings* page. This will list all the **Sales Events** you have in the system.
3. If the sales event has a checkmark, your business rules require that a producer has a license and line of authority in order for the authorization to go through successfully.

Note: It is generally advised that all sales events require licenses and lines of authority, however you can remove the requirement by unchecking the box and clicking **Save**.



The screenshot shows the 'License and LOA Settings' page. The following settings represent when your business policies require licenses and LOAs to be present in order to do business.

Sales Event	License/LOA Required
Add/Replace Producer on Policy	<input checked="" type="checkbox"/>
Bulk Appointment	<input checked="" type="checkbox"/>
Issue Policy	<input checked="" type="checkbox"/>
Pay Compensation	<input checked="" type="checkbox"/>
Request Quote	<input checked="" type="checkbox"/>
Submit Policy Application	<input checked="" type="checkbox"/>

Save Cancel

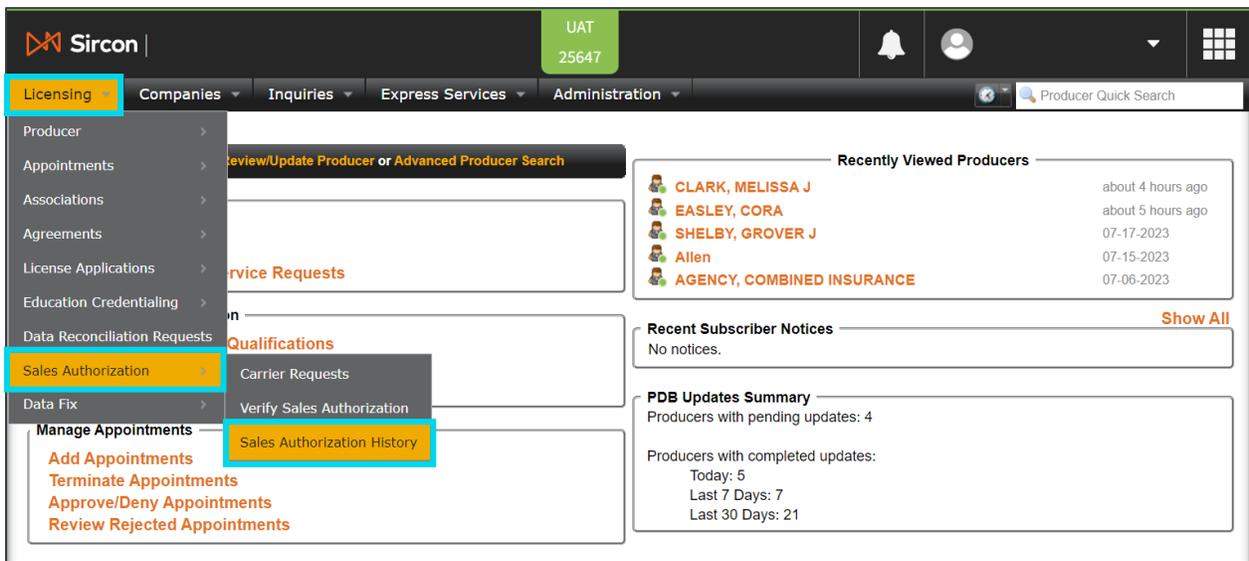
Sales Authorization History

Use the *Sales Authorization History* page to review an audit log of sales authorization requests submitted manually from the *Verify Sales Authorization* page.

You can also submit a follow-up request to a previously requested sales authorization check, directly from the **Details Results** section of the *Sales Authorization History* page.

During a market conduct exam, state examiners may request that you prove that your company verified a producer's authorization to represent a particular product. Producer Central stores every producer sales authorization check that you perform for easy retrieval at this or any other time.

- To open the *Sales Authorization History* page, from the **Licensing** menu select **Sales Authorization**, and then select **Sales Authorization History**.



The screenshot shows the Sircon application interface. The top navigation bar includes the Sircon logo, a user ID of 25647, and a search bar. The main navigation menu is open, highlighting the 'Licensing' section. Under 'Licensing', the 'Sales Authorization' option is selected, and the 'Sales Authorization History' sub-option is highlighted. The main content area displays a list of 'Recently Viewed Producers' with details such as name, last viewed time, and date. Other sections include 'Recent Subscriber Notices' and 'PDB Updates Summary'.

- The *Sales Authorization History* page will open, displaying a list of all of the authorization checks your company has run, sorted newest to oldest.
- This page includes the following fields:
 - **Producer:** Displays the producer's name and basic details such as their **External System ID, Business Unit, or EIN**.
 - **Context:** Displays audit data pertaining to the sales authorization check request itself, including:
 - **Auth:** Displays the internal system identifier of the sales authorization check request.
 - **Source:** Displays the source of the sales authorization check request: **Verify Auth** (submitted manually from the *Verify Sales Authorization* page);

Section: Sales Authorization History

Webservice (submitted automatically by the *Producer Authorization Web Service*), or **Auth History** (submitted manually from the Authorization Result popup box, available from the *Sales Authorization History* page).

- **User:** Displays the screen name of the user who submitted the sales authorization check request.
- **State:** Displays the name of the regulatory jurisdiction that was used in the request.
- **Product:** Displays the type of product that was used in the request.
- **Writing Company:** Displays the name of the carrier appointing company that was used in the request.
- **Sales Event:** Displays the name of the step in the sales process.
- **Date:** Displays the date and timestamp that the request was submitted.
- **Result:** Displays the overall result of the request:
 -  **Authorized:** The sales authorization check result at the time of the request found the producer with all the credentials necessary to perform the requested sales activity for the requested product line on behalf of the requested appointing company in the specified state.
 -  **Not Authorized:** The sales authorization check result at the time of the request found the producer to be lacking at least one credential necessary to perform the requested sales activity for the requested product line on behalf of the requested appointing company in the specified state.
 -  **Error:** The sales authorization check request resulted in a configuration or validation error
 -  **Override:** The sales authorization check result was subject to an authorization override setting in effect for the producer.

Sales Authorization History							
Filter Criteria clear							
Producer: <small>Search</small>	Auth ID:	Source:	Ref ID:				
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>				
State:	Product:	Writing Company:	Sales Event:				
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>				
Result:	Date Range:						
<input type="text"/>	<input type="text"/> to <input type="text"/>						
					<input type="button" value="View Details"/>	<input type="button" value="View Summary"/>	
 EASLEY, CORA (VA) <small>Ext. ID: 1934 BU: DEFAULT</small>	Context Auth ID: 10254338 Source: Verify Auth User: Lauren Hall	Virginia	Accident - Individual	American P&C	Issue Policy	07-21-2023 9:49 AM	 Authorized
 EASLEY, CORA (VA) <small>Ext. ID: 1934 BU: DEFAULT</small>	Context Auth ID: 10254028 Source: Verify Auth User: Lauren Hall	Pennsylvania	Variable Annuity	American Annuities	Issue Policy	07-21-2023 9:29 AM	 Override Pass
 EASLEY, CORA (VA) <small>Ext. ID: 1934 BU: DEFAULT</small>	Context Auth ID: 10253994 Source: Verify Auth User: Lauren Hall	Pennsylvania	Variable Annuity	American Annuities	Issue Policy	07-21-2023 9:25 AM	 Not Authorized
 CLARK, MELISSA J (VA) <small>Ext. ID: 1863 BU: LIFE</small>	Context Auth ID: 10251109 Source: Webservice System: pbrodzik-p53 Ref ID: 0000220154	Kentucky	PersonalAuto		Request Quote	07-21-2023 4:39 AM	 Error

Filter Results

1. Use the filter criteria in the search fields to narrow the list, if desired.
2. For example, you can filter for only checks that returned “Not Authorized” or “Override” results, so that you can follow up on them. Other useful filters include the source and date range of sales authorization checks.
3. Click **View Details** to see the sales authorization checks by producer.

Sales Authorization History

[clear](#)

Filter Criteria

Producer: **Auth ID:** **Source:** **Ref ID:**
Search

State: **Product:** **Writing Company:** **Sales Event:**
State: [dropdown] Product: [dropdown] Writing Company: Lansing Mutual Health Sales Event: [dropdown]

Result: **Date Range:** to
Result: [dropdown] Date Range: [calendar] to [calendar]

[View Details](#) [View Summary](#)

Producer	Context	State	Product	Writing Company	Sales Event	Date	Result
EASLEY, CORA (VA) Ext. ID: 1934 BU: DEFAULT	Auth ID: 10249337 Source: Verify Auth User: Lauren Hall	Illinois	Annuity - Individual	Lansing Mutual Health	Request Quote	07-20-2023 1:18 PM	Error
EASLEY, CORA (VA) Ext. ID: 1934 BU: DEFAULT	Auth ID: 10249336 Source: Verify Auth User: Lauren Hall	Illinois	Annuity - Individual	Lansing Mutual Health	Request Quote	07-20-2023 1:18 PM	Error
EASLEY, CORA (VA) Ext. ID: 1934 BU: DEFAULT	Auth ID: 10249330 Source: Verify Auth User: Lauren Hall	Illinois	Annuity - Individual	Lansing Mutual Health	Request Quote	07-20-2023 1:17 PM	Error
EASLEY, CORA (VA) Ext. ID: 1934 BU: DEFAULT	Auth ID: 10249143 Source: Verify Auth User: Lauren Hall	Virginia	Annuity - Group	Lansing Mutual Health	Issue Policy	07-20-2023 11:42 AM	Error
ABEL, ALYSON J (VA) Ext. ID: 2010 BU: DEFAULT	Auth ID: 10243738 Source: Verify Auth User: Dennis Stom	Michigan	Medical - Individual	Lansing Mutual Health	Submit Policy Application	07-18-2023 3:18 PM	Not Authorized
ABEL, ALYSON J (VA) Ext. ID: 2010 BU: DEFAULT	Auth ID: 10243736 Source: Verify Auth User: Dennis Stom	Michigan	Medical - Individual	Lansing Mutual Health	Request Quote	07-18-2023 3:17 PM	Authorized
TANK, SHARK (MI) Ext. ID: 2000 BU: HEALTH	Auth ID: 10223142 Source: Webservice	Michigan	Disability - Individual	Lansing Mutual Health	Add/Replace Producer on Policy	07-12-2023 7:36 AM	Authorized
BLUE STAR AGENCY (MI) EIN: 98-8876555 Ext. ID: 1999 BU: HEALTH	Auth ID: 10223141 Source: Webservice	Michigan	Disability - Individual	Lansing Mutual Health	Add/Replace Producer on Policy	07-12-2023 7:36 AM	Authorized
HARBISHER, ELBERT (MI) Ext. ID: 1987 BU: HEALTH	Auth ID: 10198729 Source: Webservice	Michigan	Disability - Individual	Lansing Mutual Health	Add/Replace Producer on Policy	07-05-2023 11:46 PM	Authorized
DENYSE MACCRIE AGENCY (MI) EIN: 66-8974210 Ext. ID: 1985 BU: HEALTH	Auth ID: 10198728 Source: Webservice	Michigan	Disability - Individual	Lansing Mutual Health	Add/Replace Producer on Policy	07-05-2023 11:46 PM	Authorized

307 authorizations found, displaying 1 to 10. Page Size:

[First/Prev] 1, 2, 3, 4, 5, 6, 7, 8 [Next/Last]

[Return](#)

Note: You can also click **View Summary** to see the results sorted by state and the authorization result (Authorized, Not Authorized, or Error).

Section: Sales Authorization History

Sales Authorization History

[clear](#)

Filter Criteria

Producer:
 Auth ID:
 Source:
 Ref ID:

State:
 Product:
 Writing Company:
 Sales Event:

Result:
 Date Range: to

	Authorized	Not Authorized	Error	Total
Alabama	0	1	0	1
Alaska	0	1	0	1
Arizona	0	1	0	1
Arkansas	0	1	0	1
California	0	1	0	1
Colorado	0	1	0	1
Connecticut	0	1	0	1
Delaware	0	1	0	1
Florida	0	3	0	3
Illinois	0	0	3	3
Michigan	167	51	58	276
Mississippi	0	1	0	1
Ohio	0	1	0	1
Oklahoma	1	0	0	1
Texas	1	3	1	5
Virginia	2	4	3	9
Total	171	71	65	307

- In the **Result** column, click the result to open a popup box with details about the selected sales authorization check.

Producer	Context	State	Product	Writing Company	Sales Event	Date	Result
EASLEY, CORA (VA) Ext. ID: 1934 BU: DEFAULT	Auth ID: 10280789 Source: Verify Auth User: Lauren Hall Related Producer: Yes	Virginia	Variable Life	American Life	Issue Policy	07-28-2023 8:55 AM	Authorized
EASLEY, CORA (VA) Ext. ID: 1934 BU: DEFAULT	Auth ID: 10280784 Source: Verify Auth User: Lauren Hall Related Producer: Yes	Virginia	Variable Life	American Life	Issue Policy	07-28-2023 8:48 AM	Not Authorized
EASLEY, CORA (VA) Ext. ID: 1934 BU: DEFAULT	Auth ID: 10280782 Source: Verify Auth User: Lauren Hall Related Producer: Yes	Virginia	Variable Life		Issue Policy	07-28-2023 8:46 AM	Error
EASLEY, CORA (VA) Ext. ID: 1934 BU: DEFAULT	Auth ID: 10280780 Source: Verify Auth User: Lauren Hall Related Producer: Yes	Virginia	Variable Life	American Life	Issue Policy	07-28-2023 8:43 AM	Not Authorized
COOK, MATTHEW J (VA) Ext. ID: 1341 BU: HEALTH	Auth ID: 10277647 Source: Verify Auth User: Patrick Specialist	Virginia	Variable Annuity	Lansing Mutual Life	Submit Policy Application	07-27-2023 1:49 PM	Not Authorized

- The popup box also offers a link allowing you to re-run a check using the same criteria as the original check.
- To resubmit the sales authorization check request using the same request criteria as the original request, click the **Re-Check Authorization** button.

Authorization Result

Result from 07-28-2023 08:48:27

This producer was NOT authorized.

- Appointments and Affiliations**

The following appointments and/or affiliations are required:

Appointment: Life and Health
- Education**

The following education credentials satisfied this requirement:

Anti-Money Laundering Education: ALL of the following Education Credentials are required: Lansing Mutual AML Training Credential
- License / LOA**

The following license and line of authority combinations satisfied this requirement:

License: Insurance Producer	Lines of Authority: Life and Annuities
	Variable Contracts

🚫 = Missing element causing an item to fail.

[Re-Check Authorization](#) [Cancel](#)

- The updated result will display to the right of the original result in the **Authorization Result** popup box. Click the **Cancel** button to close the popup box and return to the **Sales Authorization History** page.

Authorization Result

Result from 07-28-2023 08:48:27

This producer was NOT authorized.

- Appointments and Affiliations**

The following appointments and/or affiliations are required:

Appointment: Life and Health
- Education**

The following education credentials satisfied this requirement:

Anti-Money Laundering Education: ALL of the following Education Credentials are required: Lansing Mutual AML Training Credential
- License / LOA**

The following license and line of authority combinations satisfied this requirement:

License: Insurance Producer	Lines of Authority: Life and Annuities
	Variable Contracts

🚫 = Missing element causing an item to fail.

Current Result

This producer is authorized.

- Appointments and Affiliations**

The following appointments and/or affiliations satisfied this requirement:

Appointment: Life and Health
- Education**

The following education credentials satisfied this requirement:

Anti-Money Laundering Education: ALL of the following Education Credentials are required: Lansing Mutual AML Training Credential
- License / LOA**

The following license and line of authority combinations satisfied this requirement:

License: Insurance Producer	Lines of Authority: Life and Annuities
	Variable Contracts

Complete Authorization Overrides

Should it become necessary to suspend a producer from selling, you can configure an individual or firm producer record in Producer Manager to override an “Authorized” result of a sales authorization check, based on specific override criteria.

A sales authorization checks on a producer with authorization override configured will return a “Not Authorized” result, regardless of the producer’s sales authorization credentials.

Use authorization overrides to suspend a producer from selling. Overrides may be configured by state, product, sales event, and/or writing company. They may be set to be effective for a specified time or indefinitely.

In this example, we need to create an override so that the producer can no longer Issue Policy for Accident insurance in Virginia.

 **EASLEY, CORA** Unrated
Search Producer

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

State/Jurisdiction Required

Virginia ▼

This producer is authorized.

Product Required

Accident - Individual ▼

Sales Event Required

Issue Policy ▼

Writing Company

Lansing Mutual Life ▼

Related Firm

Search

Check Authorization

Return

✔ **Appointments and Affiliations**

The following appointments and/or affiliations satisfied this requirement:

Appointment:

Life and Health

✔ **License / LOA**

The following license and line of authority combinations satisfied this requirement:

License:	Lines of Authority:
Insurance Producer	Health

Section: Complete Authorization Overrides

View Existing Authorization Overrides

- To review a producer's **Authorization Overrides** information, click the **Authorization Overrides** link in the **Quick Links** box of a producer record that is open in the *Review/Update Producer* page.

Review/Update Individual

 **EASLEY, CORA** Unrated ▼
Search Producer

External System ID	Active BU	NPN	Resident State/License	Additional States/Licenses
	<input type="checkbox"/> DEFAULT	1000000028	VA / 736178	<input type="checkbox"/> AZ / 1000000005

Expand All

<ul style="list-style-type: none"> Individual Details Producer Business Rules Resident States External Sys IDs Contact Information Address History Email Messages Licenses/Qualifications Appointments 	<ul style="list-style-type: none"> Agreements Firm Associations Employment History Aliases Data Reconciliation State Producer Numbers Required Items Background Investigations Business Units 	<ul style="list-style-type: none"> Locations and Departments Costs Education Credentials Course Completions Third Party Certifications License Applications Comments Transaction History Professional Liability 	<ul style="list-style-type: none"> Securities Information <li style="border: 2px solid orange; padding: 2px;">Authorization Overrides Compensation Profile 
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New PX Request
Verify Sales Authorization
Review Siron Subscription

- You can now see the current *Authorization Overrides* in the system.

Authorization Overrides Top

Add/Update/Delete Authorization Overrides

Type	Effective Dates	State	Product	Sales Event	Created By
<input type="checkbox"/> Authorized	06-02-2023 - 06-09-2023	Alabama	Annuity - Individual	Request Quote	Lauren Hall <small>06-02-2023</small>
Reason: License qualification pending					

- Here are the fields in the *Authorization Overrides* section.
 - **Type:** Result of the producer's sales authorization check as a consequence of the authorization override (e.g., "Not Authorized").
 - **Effective Dates:** Begin and end dates of the producer's sales authorization override. You will see "No End Date" if the override is set to be in effect indefinitely.
 - **State:** Name of the state in which the producer's sales authorization result is overridden. Displays "All States" if the override is in effect for all states.
 - **Product:** Product type for which the producer's sales authorization result is overridden. Displays "All Products" if the override is in effect for all available product types.
 - **Sales Event:** Sales event for which the producer's sales authorization result is overridden. Displays "All Sales Events" if the override is in effect for all sales events.
 - **Created By:** Name of the staff member responsible for adding the authorization override information to the system.

Section: Complete Authorization Overrides

- In cases where the Sircon system added the authorization override information through integration with Producer Express, displays the Request ID of the Producer Express request that effectuated the added coverage.
- You can click the Request ID to open Producer Express and navigate to the specific request. The date on which the authorization override information was first added to the system displays in italics.
- **Reason:** A free text comment related to the sales authorization override. Displays "No reason found to display" if a reason was not entered.

Maintain Authorization Overrides

Follow these steps to add update or delete the authorization overrides.

1. Click the **Add/Update/Delete Authorization Overrides** button.

Authorization Overrides Top						
Type	Effective Dates	State	Product	Sales Event	Created By	
Authorized	06-02-2023 - 06-09-2023	Alabama	Annuity - Individual	Request Quote	Lauren Hall <i>06-02-2023</i>	Add/Update/Delete Authorization Overrides
Reason: License qualification pending						

ADD AUTHORIZATION OVERRIDE

2. Click the **Add Authorization Override** button.

Maintain Authorization Overrides							
 EASLEY, CORA Unrated					Search Producer		
External System ID	Active BU	NPN	Resident State/License	Additional States/Licenses			
	DEFAULT	1000000028	VA / 736178	AZ / 1000000005			
Type	Effective Dates	Status	State	Product	Sales Event	Created By	Actions
Authorized	06-02-2023 - 06-09-2023	Active	Alabama	Annuity - Group	Request Quote	Lauren Hall <i>06-02-2023</i>	 
Reason: License qualification pending							
							Return

3. The *Add Authorization Override* popup window will appear.
4. Select the **Type of Override**, either **Not Authorized** or **Authorized**.
 - a. If you select **Not Authorized**, the sales authorization will fail if it matches the criteria you enter in this section.
 - b. If you select **Authorized**, the sales authorization will pass if it matches the criteria you enter in this section.
5. Select the **Start Date**. This is the date the authorization override will begin.
6. You can optionally select an **End Date** to restrict the authorization override to a specific date range.

Section: Complete Authorization Overrides

7. You can optionally select details from the **State/Jurisdiction**, **Product**, or **Sales Event** fields to restrict the authorization override to the specified criteria.
8. Use the **Comment** field to add the details about the authorization override. This field is optional.
9. Click **Save**.

Add Authorization Override

Type of Override

Not Authorized (Force authorization to FAIL for the options selected below)

Authorized (Force authorization to PASS for the options selected below)

Start Date* End Date

Options:

State/Jurisdiction Product

Sales Event

Reason: (optional)

Type	Effective Dates	Reason
<input type="checkbox"/> Authorized	07-21-2023 - No End Date	Reason: Anti-Money Laundering Training Waived
<input type="checkbox"/> Authorized	06-02-2023 - 06-09-2023	Reason: License qualification
<input type="checkbox"/> Authorized	06-02-2023 - 06-30-2023	Reason: No reason found to display

10. You will now see the authorization override in the producer record.

Maintain Authorization Overrides

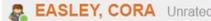
EASLEY, CORA Unrated

External System ID Active BU NPN Resident State/License Additional States/Licenses

Type	Effective Dates	Status	State	Product	Sales Event	Created By	Actions
<input type="checkbox"/> Authorized	07-21-2023 - No End Date	Active	Pennsylvania	Variable Annuity	Issue Policy	Lauren Hall 07-21-2023	<input type="button" value="edit"/> <input type="button" value="delete"/>
Reason: Anti-Money Laundering Training Waived							
<input type="checkbox"/> Not Authorized	07-28-2023 - No End Date	Active	Virginia	Accident - Individual	Issue Policy	Lauren Hall 07-28-2023	<input type="button" value="edit"/> <input type="button" value="delete"/>
Reason: No reason found to display							

Section: Complete Authorization Overrides

11. In the *Verify Sales Authorization* page, you should now see that the producer is not authorized due to an override.


[Search Producer](#)

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

Product *Required*

Sales Event *Required*

Writing Company

Related Firm
[Search](#)

This producer is NOT authorized.

✖ Appointments and Affiliations
The following appointments and/or affiliations are required:

This Sales Authorization failed due to an override for this producer.

Reason:
An Override is preventing this requirement from passing.
[Add/Update/Delete Authorization Overrides](#)

✖ License / LOA
The following license and line of authority combination is required:

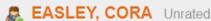
This Sales Authorization failed due to an override for this producer.

Reason:
An Override is preventing this requirement from passing.
[Add/Update/Delete Authorization Overrides](#)

EDIT EXISTING AUTHORIZATION

1. In the *Maintain Authorization Overrides* screen, click the **Edit** button () to modify an authorization override record.

Maintain Authorization Overrides


[Search Producer](#)

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

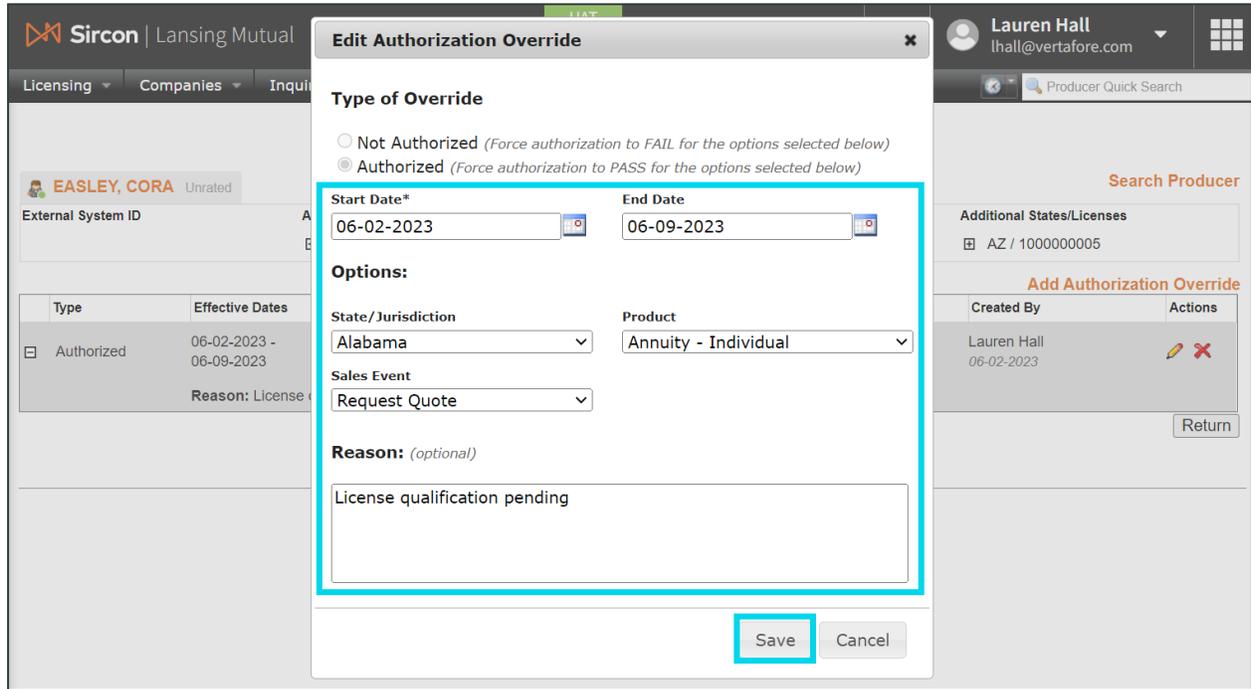
[Add Authorization Override](#)

Type	Effective Dates	Status	State	Product	Sales Event	Created By	Actions
<input type="checkbox"/> Authorized	06-02-2023 - 06-09-2023	Active	Alabama	Annuity - Individual	Request Quote	Lauren Hall 06-02-2023	<input type="button" value="Edit"/> <input type="button" value="Delete"/>

Reason: License qualification pending

2. Modify any of the fields in the **Edit Authorization Override** popup window.
3. Click **Save** to confirm the changes.

Section: Complete Authorization Overrides



Edit Authorization Override

Type of Override

Not Authorized (Force authorization to FAIL for the options selected below)

Authorized (Force authorization to PASS for the options selected below)

Start Date* 06-02-2023 End Date 06-09-2023

Options:

State/Jurisdiction Alabama Product Annuity - Individual

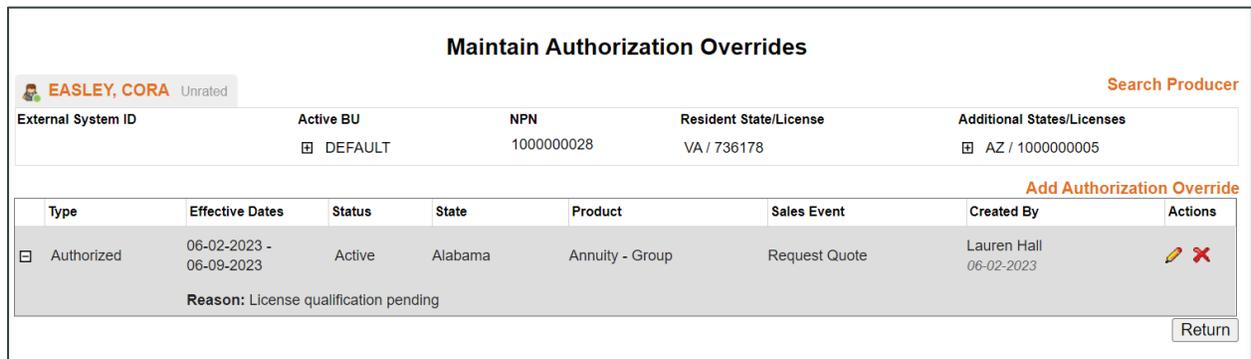
Sales Event Request Quote

Reason: (optional)

License qualification pending

Save Cancel

4. You can now see the changes reflected in the producer record.



Maintain Authorization Overrides

EASLEY, CORA Unrated

External System ID Active BU NPN Resident State/License Additional States/Licenses

DEFAULT 1000000028 VA / 736178 AZ / 1000000005

Add Authorization Override

Type	Effective Dates	Status	State	Product	Sales Event	Created By	Actions
Authorized	06-02-2023 - 06-09-2023	Active	Alabama	Annuity - Group	Request Quote	Lauren Hall 06-02-2023	

Reason: License qualification pending

Return

Section: Complete Authorization Overrides

DELETE AUTHORIZATION OVERRIDE

1. In the **Maintain Authorization Overrides** screen, click the **Delete** button (✖) to remove an authorization override record.

Maintain Authorization Overrides

 **EASLEY, CORA** Unrated Search Producer

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

Type	Effective Dates	Status	State	Product	Sales Event	Created By	Actions
<input type="checkbox"/> Authorized	06-02-2023 - 06-09-2023	Active	Alabama	Annuity - Group	Request Quote	Lauren Hall 06-02-2023	 
Reason: License qualification pending							
<input type="checkbox"/> Authorized	06-02-2023 - 06-30-2023	Active	Georgia	Life - Individual	Request Quote	Lauren Hall 06-02-2023	 
Reason: No reason found to display							

2. You will see a popup message that asks you if you are sure you want to delete this record.
3. Click **Delete**.

 **EASLEY, CORA** Unrated Search Producer

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

Add Authorization Override

Type	Effective Dates	Status	State	Product	Sales Event	Created By	Actions
<input type="checkbox"/> Authorized	06-02-2023 - 06-09-2023	Active	Alabama	Annuity - Group	Request Quote	Lauren Hall 06-02-2023	 
Reason: License qualification pending							
<input type="checkbox"/> Authorized	06-02-2023 - 06-30-2023	Active	Georgia	Life - Individual	Request Quote	Lauren Hall 06-02-2023	 
Reason: No reason found to display							

Delete Authorization Override ✖

Are you sure you want to delete this record?

APPENDIX 1: Sircon for Carriers Help Resources

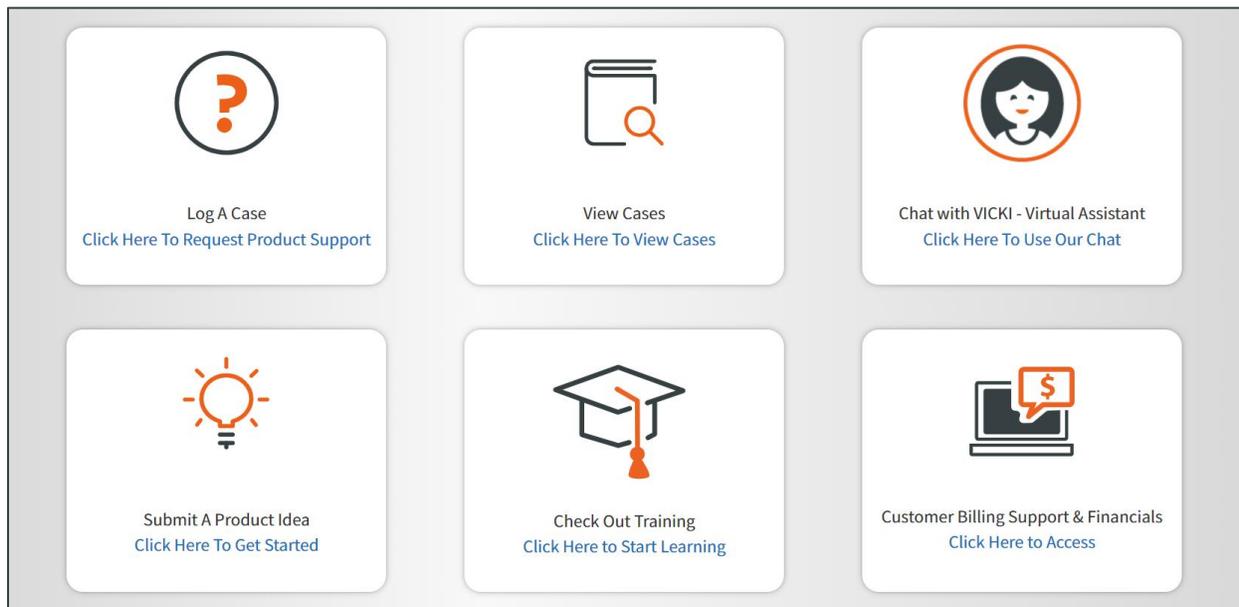
Help is just a click away. Vertafore has two resources available to support you 24/7:

- My Vertafore
- Sircon Support

My Vertafore

My Vertafore is our free online customer support portal and knowledge base. At [My Vertafore](#) you can:

- **Log a Case** – Cases are used to request product support
- **Submit Ideas** – Send Vertafore ideas for new product features or enhancements
- **Search Knowledgebase** – Search for detailed articles on the Sircon Knowledge Base



Note: Sircon does not use the Submit a Product Idea or Chat with VICKI functions.



Section: APPENDIX 2: Document History

Contact Vertafore Customer Support

Can't find what you are looking for at My Vertafore? Our Customer Support team is here to help. [Click here to email Support](#) or call 877-876-4430.

APPENDIX 2: Document History

Version	Revision Date	Revision Record
1.0	7/18/2023	Original Document
1.1	11/17/2023	Minor corrections in the Sales Authorization History section.



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