

Sircon Producer Manager User Guide



A Guide to
Tracking and Managing
Producer Securities
Information

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Overview

Carriers need to ensure their producers have the appropriate credentials before allowing them to sell their products. In addition to making certain that a producer (or broker or rep) has the appropriate licenses and lines of authority, the carrier also may need to verify that the producer has the appropriate securities registrations required to sell certain insurance products (e.g., variable life, variable annuities, etc.) as well as securities-only products (e.g., stocks, mutual funds, etc.).

Carriers and agencies can collect and track registration and examination information for their producers in Sircon Producer Manager. This can be accomplished either manually or by means of an automated import of securities information from the Financial Industry Regulatory Authority (FINRA).

Once collected and maintained, securities information can be exported to a carrier's systems downstream from Producer Manager. Also, it can be used at a certain event of a sales cycle (such as quoting or binding) to spot-check a producer's authority to represent a specific product in a specific state.

This document is a step-by-step "how-to" guide for first-time users of the securities information tracking and management capabilities in Producer Manager.

Getting Started

With a little background on the nature and purpose of securities information tracking, let's get started working with it.

In this chapter, we'll cover the basics of getting ready to manage securities information in Producer Manager.

Determine a Source of Securities Information

To track and maintain securities information for your company's producers, current and accurate information first must somehow be added to the producers' records stored in Sircon Producer Manager. This section discusses two methods of adding securities information to producer records.

Automated Import

Sircon offers automated import of securities information from the Financial Industry Regulatory Authority (FINRA). If your company has a FINRA WebCRD account and subscribes to Sircon's automated import service, then SRO and state registration information for your company's broker/dealer partners and securities exam data can populate and update producer records in Producer Manager automatically. The service also can automatically associate an individual producer's registrations with the producer's affiliated broker/dealer.

Below are summaries of how the automated import service works...

Adding First-Time Securities Information to New Records

Whenever a producer record is added to Producer Manager or the external system identifiers information on an existing record is updated with a FINRA CRD number, the automated import service will add to the record the most up-to-date FINRA securities information for the producer.

The service identifies a producer's record for updates by looking first for the producer's CRD number. If it cannot find the CRD number, it will match the producer with FINRA information by the producer's Social Security Number.

The service also checks to make sure that the broker/dealer on the producer's FINRA registrations has a firm record in Producer Manager.

Once matches are found and all requirements met, state and SRO registration and examination information from the automated import service flows into the **Securities Information** data section of the affected producer record. The service will add the following information to the record:

- Registrations:

- Affiliated broker/dealer firm (“related producer”)
- Regulatory authority (state/SRO)
- Registration category
- FINRA status
- FINRA status date (if registration status is terminated or inactive)
- Examinations (Passed or Waived examinations only):
 - Exam type
 - Status date

Note: The automated import service will not automatically checkmark the **Externally Verified** checkbox associated with specific broker/dealer registrations when it adds registration information to a producer record. If the indicator is set manually, the automated import service will ignore it when updating existing securities information.

Updating Securities Information on Existing Records

The automated import service also can keep securities information on producer records refreshed over time. When an existing producer obtains additional securities registrations, has registrations become inactive, or has new information about passed or waived examinations, the updated information will be merged automatically to the producer’s record each day.

If your company subscribes to the automated import service, we recommend just letting the service maintain your producers’ securities data as time goes by. Under most circumstances, there is no reason to manually update the information.

If, however, for any reason you choose to manually add or update securities information on a producer record, the following rules apply:

- The automated import service will leave untouched a manually-added registration or exam for which it does not have a “matching” registration or exam. “Matching,” in this case, would mean identical **Category**, **Registration Type** (SRO or state), and **Firm** for a registration and **Type** and **Status** for an examination. Therefore, it is possible for a producer record to reflect a manually-entered security registration or exam that has not been verified against FINRA data.
- The automated import service will overwrite a manually-added registration or exam for which it finds identical values for **Category**, **Registration Type** (SRO or state), and **Firm** for a registration and **Type** and **Status** for an examination. The service will update the associated audit fields to reflect that the manually-entered registration or examination was updated against FINRA data.

Manual Recordkeeping

The most basic method for adding securities information to producer records is manually, through the Producer Manager user interface. Manual recordkeeping can involve a great deal of cross-checking information against other sources of information before saving it to Producer

Manager, a process that can be error-prone. Depending on the number of producers whose securities credentials you need to track, it also can require a lot of time.

However, if a producer has registrations with a broker/dealer that your company cannot access through integration with WebCRD via the automated import service, it will be necessary to manually add those registrations. Also, if you want to use Producer Manager's producer sales authorization capability before the automated import service has had an opportunity to populate a producer's record with securities information, you may wish to manually enter the registrations. (For more information about producer sales authorization, please refer to the Producer Manager online help.)

Whatever your purpose for manual data entry, Producer Manager offers straightforward, easy-to-use recordkeeping capabilities. For more information, see "Reviewing Securities Information" on page 10 and "Maintaining Securities Information" on page 17.

Configure Securities Information for Users

To be able to work with securities information in Producer Manager, the specific security permissions to do so first must be configured for users. A user with system administration privileges in Producer Manager is responsible for this activity.

First, it must be determined which users in your company will be responsible for tracking and managing producers' securities information. Then, the system administrator will either assign the necessary permissions to those users' existing security role(s) or create a new security role specifically for the purpose of working with securities information.

The steps below assume that the user security role to which securities information permissions are to be added has already been identified, and that the user accounts for any user who will work with securities information have already been assigned to that role. (For more information about user security and security roles, see the Producer Manager online help.)

The screenshot displays the Vertafore Producer Manager interface. At the top, the logo and 'Producer Manager™' are visible. A navigation bar includes 'Licensing', 'Companies', 'Inquiries', 'Express Services', and 'Administration'. The 'Administration' menu is expanded, showing options: 'Online Help', 'User Security', 'Configure My Profile', 'Configure System', 'Education Credentialing', 'Data Reconciliation', 'Notifications', 'Sales Authorization', 'Contact Us', and 'Logout'. The 'User Security' sub-menu is open, highlighting 'Maintain Security Role'. Other sub-menu items include 'Add New User', 'Review/Update All Users', 'Add Security Role', 'Maintain All Staff Member Cost Center', and 'Maintain All Staff Member Business Unit'. The background shows a search bar and a table of users with dates.

| Find existing producers with Review/Update Producer or Advanced Producer Search | | |
|---|--|--|
| Add a Producer | | |
| Add a new Individual Licensee or a new Firm | | |
| Quick Add Producer from PDB data | | |
| Quick Load Producers from a batch file using PDB | | |
| Review new work requests using Producer Express | | |
| Update Producer Information | | |
| Add/Activate Licenses/Qualifications | | |
| Correct License Data | | |
| Maintain Contact Information | | |
| Manage Appointments | | |
| Add Appointments | | |
| Terminate Appointments | | |
| Approve/Deny Appointments | | |
| Review Rejected Appointments | | |

Logged in as Valued User [Logout](#)

Producer Quick Search

Test for 10795

Home | Help | Contact Us

In Producer Manager, from the **Administration** menu select **User Security**, and then select **Maintain Security Role**.

The **Select Security Role** page will open.

In the **Role Name** column, identify the user security role to which you want to assign securities information permissions. Click the **Edit Security Role** button (✎) in the **Actions** column to select it for updating.

The screenshot displays the 'Select Security Role' page in the Vertafore Producer Manager. The page header includes the Vertafore logo, the product name 'Producer Manager™', and the user 'Test for 10795' logged in as 'Valued User'. A navigation menu contains 'Licensing', 'Companies', 'Inquiries', 'Express Services', and 'Administration'. A search bar is labeled 'Producer Quick Search'. The main content area is titled 'Select Security Role' and states 'Below is a list of configured security roles.' There is an 'Add Security Role' link in the top right. A table lists the roles:

| Role Name | Role Description | Actions |
|-----------|------------------|---------|
| SMFC Role | Test Role | |
| TEST | Test Role | |

A key indicates that the pencil icon represents 'Edit Security Role'. A 'Return' button is located at the bottom right of the table. The footer contains links for 'Home | Help | Contact Us'.

The **Maintain Security Role** page will open, displaying a lengthy list of permissions available for the selected role. Some will indicate that they are selected for the role, while others will indicate that they are not currently selected.

To isolate securities information permissions in the list, press CTRL+F to open the **Find** utility in the browser window. In the search box, type “securities,” and then run the search. The browser will highlight the first permission to be selected. To advance to the next highlighted permission, click the **Next** button in the **Find** utility.

Find: securities Previous Next Options 2 matches

Vertafore **Producer Manager™** Test for 10795
 Logged in as Valued User Logout

Licensing Companies Inquiries Express Services Administration Producer Quick Search

Maintain Security Role

Role Name: TEST Role Description: Test Role

Select the accessible features for this role within the Producer Licensing module.

Producer Licensing

| | | | |
|--|---|---------------------------------|------------------------------|
| Firm Termination Date | <input checked="" type="radio"/> Modifiable | <input type="radio"/> View Only | <input type="radio"/> Hidden |
| Firm Type | <input checked="" type="radio"/> Modifiable | <input type="radio"/> View Only | <input type="radio"/> Hidden |
| First Name | <input checked="" type="radio"/> Modifiable | <input type="radio"/> View Only | <input type="radio"/> Hidden |
| Gender | <input checked="" type="radio"/> Modifiable | <input type="radio"/> View Only | <input type="radio"/> Hidden |
| Hair Color | <input checked="" type="radio"/> Modifiable | <input type="radio"/> View Only | <input type="radio"/> Hidden |
| Height | <input checked="" type="radio"/> Modifiable | <input type="radio"/> View Only | <input type="radio"/> Hidden |
| Indirect Appointment Preferred Indicator | <input checked="" type="radio"/> Modifiable | <input type="radio"/> View Only | <input type="radio"/> Hidden |
| Individual ID | <input checked="" type="radio"/> Modifiable | <input type="radio"/> View Only | <input type="radio"/> Hidden |
| Individual Licensee Indicator | <input checked="" type="radio"/> Modifiable | <input type="radio"/> View Only | <input type="radio"/> Hidden |
| Last Name | <input checked="" type="radio"/> Modifiable | <input type="radio"/> View Only | <input type="radio"/> Hidden |
| Last Sync Date | <input checked="" type="radio"/> Modifiable | <input type="radio"/> View Only | <input type="radio"/> Hidden |
| Loss of Contact Date | <input checked="" type="radio"/> Modifiable | <input type="radio"/> View Only | <input type="radio"/> Hidden |
| Middle Name | <input checked="" type="radio"/> Modifiable | <input type="radio"/> View Only | <input type="radio"/> Hidden |
| Name Suffix | <input checked="" type="radio"/> Modifiable | <input type="radio"/> View Only | <input type="radio"/> Hidden |
| National Producer Number | <input checked="" type="radio"/> Modifiable | <input type="radio"/> View Only | <input type="radio"/> Hidden |
| Producer Rating | <input checked="" type="radio"/> Modifiable | <input type="radio"/> View Only | <input type="radio"/> Hidden |
| Social Security Number (SSN) | <input checked="" type="radio"/> Modifiable | <input type="radio"/> View Only | <input type="radio"/> Hidden |
| Status | <input checked="" type="radio"/> Modifiable | <input type="radio"/> View Only | <input type="radio"/> Hidden |
| Termination Date | <input checked="" type="radio"/> Modifiable | <input type="radio"/> View Only | <input type="radio"/> Hidden |
| Weight | <input checked="" type="radio"/> Modifiable | <input type="radio"/> View Only | <input type="radio"/> Hidden |
| <input checked="" type="checkbox"/> Maintain Product Certification | | | |
| <input type="checkbox"/> Maintain Professional Liability | | | |
| <input checked="" type="checkbox"/> Maintain Required Items | | | |
| <input checked="" type="checkbox"/> Maintain Resident States | | | |
| <input type="checkbox"/> Maintain Securities Information | | | |

The following permissions may be enabled for the user security role, depending on your company's specific business needs:

- **View Securities Information:** Allows a “view only” display of securities information in producer records but does not allow the ability to add, edit, or delete securities information.
- **Maintain Securities Information:** Allows the ability to view, add, edit, or delete securities information.

To enable a permission, click to checkmark its associated checkbox.

Click the **Finish** button at the bottom of the **Maintain Security Role** page to save the changes to security permissions for the selected security role.

Users assigned to the selected security role now will be able to view and maintain securities information on producer records.

Note: If your company is using Sircon’s automated import service for FINRA data, it is also important for a system administrator to make sure that certain Producer Manager code domains are configured to include all of the codes necessary for the import to work successfully. Generally, the Vertafore Sircon project team handles this activity on your company’s behalf during implementation of Producer Manager. However if you have questions or concerns, please consult your Sircon representative. For more information, see “Maintain Codes” in the Producer Manager online help.

Reviewing Securities Information

In this chapter, we'll take a closer look at a producer's securities data as recorded on the producer's record in Producer Manager.

Review CRD Number

Every producer (broker or registered representative) licensed to sell securities has what is called a "CRD number." CRD stands for Central Registration Depository, which is a database maintained by FINRA that holds information about brokers and broker/dealer firms.

Producer Manager records hold a specific section of data reserved especially for codes and IDs that identify producers in third-party systems, such as a producer's CRD number. It is the **External System IDs** data section.

Note: If your company is subscribing to Sircon's automated import of securities information from FINRA, the automated import service will look first for a CRD number on the producer's record, in order to match the FINRA data with the producer. However, if the service cannot find a CRD number, it will match the FINRA data with the producer's Social Security Number.

To review a CRD number, click the **External Sys IDs** link in the **Quick Links** box of a producer record that is open in the **Review/Update Individual** page.

Vertafore Producer Manager™ Test for 10795

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Licensing Companies Inquiries Express Services Administration

Review/Update Individual

Thayer, Ben Unrated [Search Producer](#)

| External System ID | License State/# | Active BU | NPN | Resident States |
|--------------------|-----------------|-----------|------|-----------------|
| 0000000434 | AR 01012009 | TEST BU | 2586 | California |

This producer has 4 active work requests in Producer Express: 92900, 46241, 25248, 25241

Expand All

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

Individual Details Top

| | | | | | | | | |
|---------|--------|--------|--------|----------|------------|-----------|--|--|
| Indv ID | 208690 | Status | Active | Eff Date | 11-26-2003 | Term Date | | <input checked="" type="checkbox"/> Licensee |
|---------|--------|--------|--------|----------|------------|-----------|--|--|

Figure 1. Navigate to the External System IDs data section on a producer record by clicking the External Sys IDs link in the Quick Links box.

You will navigate directly to the **External System IDs** data section.

External System IDs

The **External System IDs** data section contains Information about a producer's data linkage with other systems or with other producer records in Producer Manager.

The key data fields in the **External System IDs** data section are **External System Type**, which denotes a type of linked system, and **External System Identifier**, which contains the code value that identifies the producer in the linked system.

| External System Type | External System Identifier | Business Unit | Primary | Inactive |
|-----------------------|----------------------------|---------------|--------------------------|-------------------------------------|
| CRD NUMBER | 1833740 | | <input type="checkbox"/> | <input type="checkbox"/> |
| Record ID | 00000944 | | <input type="checkbox"/> | <input type="checkbox"/> |
| Supervised Fixed Flag | N | | <input type="checkbox"/> | <input type="checkbox"/> |
| Supervised Index Flag | N | | <input type="checkbox"/> | <input type="checkbox"/> |
| Variable Flag | N | | <input type="checkbox"/> | <input type="checkbox"/> |
| Agent Code | 0661431 | | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| Agent Code | 2661431 | | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| Agent Code | B002837 | | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| Agent Code | N021001 | | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| Agent Code | N024001 | | <input type="checkbox"/> | <input checked="" type="checkbox"/> |

[Add/Update/Delete External System Identifiers](#)

Figure 2. A producer's CRD number is visible in the External System IDs data section on a producer record in Producer Manager.

For securities information, the **External System Type** of “CRD Number” indicates that the related **External System Identifier** is the producer’s unique code in FINRA’s CRD database.

CRD numbers likely were added to producer records in your company’s instance of Producer Manager through an initial load of data when the system was first set up by Sircon. However, it is also possible to add a CRD number or another external system identifier manually, by clicking the **Add/Update/Delete External System Identifiers** link at the bottom of the **External System IDs** data section.

For more information about external system identifiers, see the Producer Manager online help.

Review Securities Information

A producer’s CRD number, visible in the **External System IDs** data section, is a key piece of information related to the producer’s securities information. But the bulk of a producer’s securities information may be reviewed in the **Securities Information** data section.

To review a producer's registrations and exam information, click the **Securities Information** link in the **Quick Links** box of a producer record that is open in the **Review/Update Individual** page.

The screenshot shows the 'Review/Update Individual' page for a producer named JOHN, MONIQUE A. The page includes a navigation menu with options like Licensing, Inquiries, Express Services, and Administration. A search bar is present with the text 'Producer Quick Search'. The producer's details are displayed, including External System ID, License State#, Active BU, NPN (16910147), and Resident States (Florida). A 'Quick Links' box is visible, containing various links such as 'Individual Details', 'Agreements', 'Comments', 'Transaction History', and 'Securities Information'. The 'Securities Information' link is highlighted with a mouse cursor. A 'Quick Sync Producer' button is also present.

Figure 3. Navigate to the Securities Information data section on a producer record by clicking the Securities Information link in the Quick Links box.

As shown in Figure 4 on page 12, the **Securities Information** data section of an individual producer record displays the following sub-sections of information:

- Active securities registrations related to a producer's affiliated firm (broker/dealer)
- The producer's securities examinations.

The screenshot shows the 'Securities Information' data section for a producer record. It includes a sub-section for 'Registrations' for the firm 'PIETROWSKI & ASSOC LLC'. The registrations are categorized into SRO REGISTRATIONS and STATE REGISTRATIONS. The SRO REGISTRATIONS table shows one record for 'Financial Industry Regulatory Authority' with a status of 'Approved' and approval date of '01/01/2016'. The STATE REGISTRATIONS table shows one record for 'Georgia' with a status of 'Approved' and approval date of '01/01/2016'. There is also an 'Exams' section which currently shows 'No Records'.

| SRO | Category | FINRA Status | Approval Date | Status Date | Added By | Updated By |
|---|----------------------|--------------|---------------|-------------|---------------------------|------------|
| Financial Industry Regulatory Authority | TR-Securities Trader | Approved | 01/01/2016 | 01/01/2016 | Valued User 01/27/2016 | N/A |

| State | Category | FINRA Status | Approval Date | Status Date | Added By | Updated By |
|---------|--------------------------|--------------|---------------|-------------|---------------------------|---------------------------|
| Georgia | AG - Broker-Dealer Agent | Approved | 01/01/2016 | 01/01/2016 | Valued User 01/21/2016 | Valued User 01/27/2016 |

Figure 4. The Securities Information data section on a producer record.

There are two features of note in the **Securities Information** data section:

1. **[FirmName]**: When the producer record contains active registration information, the name of the firm (broker/dealer) to which the registered producer is affiliated displays prominently.

The total number of **SRO** and **State** registrations displays following the firm name. Or, if the producer's securities registration information was verified through an external source, the following message displays: "Verified Externally."

2. **Add/Update/Delete Securities Information:** Click the link available in the upper right of the **Securities Information** data section to open the **Maintain Securities Information** page, where you can review and maintain all of the selected producer's securities registrations and examination information.

We'll examine the **Maintain Securities Information** page in greater detail in the next chapter, "Maintaining Securities Information" beginning on page 17.

Registrations

The **Registrations** sub-section of the **Securities Information** data section displays a producer's active self-regulatory organization (SRO) and state registrations. All registrations are grouped by the firm (broker/dealer) with which the producer is affiliated. (See Figure 4 on page 12.)

There are two very important things to remember when viewing a producer's registrations in the **Securities Information** data section, as follows:

1. Only information pertaining to active registrations is displayed.

As shown in Figure 5 on page 13, the **Registrations** sub-section will display the message, "No Active Records," under the following conditions:

- If the producer record contains no registration information at all
- If the producer record contains only inactive or pending registrations.



Figure 5. If the Registration sub-section displays no registration information, then it means the producer record contains no registration information at all or only inactive or pending registrations.

To verify which condition applies, you must click the **Add/Update/Delete Securities Information** link to open the **Maintain Securities Information** page, and then click to checkmark the **Include Pending & Inactive Registrations** checkbox.

- If the producer record contains inactive or pending registration information, it will display in the **Registrations** section of the **Maintain Securities Information** page.
- If the producer record contains no registration information at all, then the **Registrations** section of the **Maintain Securities Information** page will continue to display the message, "No Active Records."

(For more information, see "Maintaining Securities Information" on page 17.)

- If a registration has been marked as verified by an external source, its details also will not display. Instead the name of the producer's affiliated broker/dealer will display along with the following messages: "Externally Verified" and "Securities Registration information for this firm is verified by a source outside of Producer Manager."

The screenshot shows a web interface for 'Securities Information'. At the top right, there is a 'Top' link and an 'Add/Update/Delete Securities Information' link. Under the 'Registrations' section, there is a single entry for 'PIETROWSKI & ASSOC LLC' with the status 'Externally Verified'. Below this entry, a message reads: 'Securities Registration information for this firm is verified by a source outside of ProducerManager.' Below the 'Registrations' section, there is an 'Exams' section which displays 'No Records'.

Figure 6. Registrations that have been verified through a source external to Sircon Producer Manager do not display registration details.

To view details of the externally verified registration, you must click the **Add/Update/Delete Securities Information** link to open the **Maintain Securities Information** page.

SRO Registrations

When the producer record contains active registration information, the **Registration** sub-section first displays a producer's broker/dealer-related **SRO** (self-regulatory organization) registration information.

The screenshot shows the 'Registrations' section for 'NEXT FINANCIAL GROUP, INC.' with 1 SRO and 1 State registration. It is divided into two tables: 'SRO REGISTRATIONS' and 'STATE REGISTRATIONS'.

| SRO | Category | FINRA Status | Approval Date | Status Date | Added By | Updated By |
|---|------------------|--------------|---------------|-------------|---------------------------|------------|
| Financial Industry Regulatory Authority | ET-Equity Trader | Approved | 01/01/2016 | 01/01/2016 | Valued User 01/27/2016 | N/A |

| State | Category | FINRA Status | Approval Date | Status Date | Added By | Updated By |
|-------|-----------------------------|--------------|---------------|-------------|---------------------------|------------|
| Texas | RA - Investment Advisor Rep | Approved | 01/01/2016 | 01/01/2016 | Valued User 01/27/2016 | N/A |

Figure 7. Details of a producer's active registrations are contained in the SRO Registrations and State Registrations sections.

Details of the producer's SRO registrations are contained in the following fields:

- **SRO:** For each SRO registration listed, displays the name of the SRO.
- **Category:** For each SRO registration listed, displays the registration category.
- **FINRA Status:** For each SRO registration listed, displays the status of the registration with the Financial Industry Regulatory Authority (FINRA).
- **Approval Date:** For each SRO registration listed, displays the registration approval date.
- **Status Date:** For each SRO registration listed, displays the date on which the registration's FINRA Status last was updated.

- **Added By:** For each SRO registration listed, displays the user name of the human or system user that added the registration to the producer record and the date on which it occurred.
- **Updated By:** For each SRO registration listed, displays the user name of the human or system user that last modified the registration on the producer record and the date on which it occurred.

State Registrations

When the producer record contains active registration information, the **Registration** sub-section next displays a producer's broker/dealer-related **State** registration information, including the following fields:

- **State:** For each state registration listed, displays the name of the state.
- **Category:** For each state registration listed, displays the registration category.
- **FINRA Status:** For each state registration listed, displays the status of the registration with the Financial Industry Regulatory Authority (FINRA).
- **Approval Date:** For each state registration listed, displays the registration approval date.
- **Status Date:** For each state registration listed, displays the date on which the registration's FINRA Status last was updated.
- **Added By:** For each state registration listed, displays the user name of the human or system user that added the registration to the producer record and the date on which it occurred.
- **Updated By:** For each state registration listed, displays the user name of the human or system user that last modified the registration on the producer record and the date on which it occurred.

Exams

The **Exams** sub-section of the **Securities Information** data section contains information about a producer's securities examinations, as shown in Figure 8.

| Exams | | | | |
|----------|--------|-------------|---------------------------|------------|
| Type | Status | Status Date | Added By | Updated By |
| Series 6 | Passed | 12/01/2015 | Valued User 01/27/2016 | N/A |
| Series 7 | Passed | 12/01/2015 | Valued User 01/27/2016 | N/A |

Figure 8. Information about a producer's securities examinations is contained in the Exams sub-section.

Fields include the following:

- **Type:** For each examination listed, displays the type of securities examination.
- **Status:** For each examination listed, displays the status of the securities examination.

- **Status Date:** For each examination listed, displays the date on which the **Status** last was updated.
- **Added By:** For each examination listed, displays the user name of the human or system user that added the examination information to the producer record and the date on which it occurred.
- **Updated By:** For each examination listed, displays the user name of the human or system user that last modified the examination information on the producer record and the date on which it occurred.

If the producer record does not contain any examination information, the following message will display: "No Records."

Maintaining Securities Information

In “Reviewing Securities Information,” we had a look at securities information as it displays on a producer’s record in Producer Manager, beginning on page 10.

We also explored the different ways by which securities information is applied to a producer’s record. As we learned in the “Determine a Source of Securities Information” section on page 4, securities data may be added to producer records by way of automated integration with FINRA WebCRD.

But we also learned that Producer Manager allows you to manually add, update, or delete a producer’s securities registration or examination information. To that end, the subject of this chapter is maintaining securities information through manual recordkeeping using **Maintain Securities Information** page.

To maintain securities information, click the **Add/Update/Delete Securities Information** link in the **Securities Information** data section of a producer record that is open in the **Review/Update Individual** page. (To review how to navigate to the **Securities Information** data section, see “Reviewing Securities Information” on page 10.)



Figure 9. To maintain securities information, click the Add/Update/Delete Securities Information link.

The **Maintain Securities Information** page will open.

Vertafore Producer Manager™ UAT for 26391
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Maintain Securities Information

MAGDON, DONALD JOSEPH Unrated [Search Producer](#)

| | | | | |
|--------------------|------------------------------|-----------|----------------|----------------------------|
| External System ID | License State/# AZ 642606 | Active BU | NPN 1501135 | Resident States Arizona |
|--------------------|------------------------------|-----------|----------------|----------------------------|

Registrations Include Pending & Inactive Registrations [Add Registration](#)

BUCKMAN BUCKMAN & REID INC 1 SRO 1 State [✕](#)

SRO REGISTRATIONS

| SRO | Category | FINRA Status | Approval Date | Status Date | Added By | Updated By | Actions |
|---|------------------|--------------|---------------|-------------|--|------------|---------|
| Financial Industry Regulatory Authority | ET-Equity Trader | Approved | 01/07/2016 | 01/07/2016 | Valued User <small>01/28/2016</small> | N/A | |

STATE REGISTRATIONS

| State | Category | FINRA Status | Approval Date | Status Date | Added By | Updated By | Actions |
|---------|-----------------------------|--------------|---------------|-------------|--|------------|---------|
| Arizona | RA - Investment Advisor Rep | Approved | 01/08/2016 | 01/08/2016 | Valued User <small>01/29/2016</small> | N/A | |

Externally Verified

Exams [Add Exam](#)

| Type | Status | Status Date | Added By | Updated By | Actions |
|-----------|--------|-------------|--|------------|---------|
| Series 55 | Passed | 12/01/2014 | Valued User <small>01/28/2016</small> | N/A | |
| Series 6 | Passed | 12/01/2014 | Valued User <small>01/29/2016</small> | N/A | |

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Figure 10. The Maintain Securities Information page allows you to view and maintain information about a producer's securities registrations and examinations.

Very similar to the **Securities Information** data section we examined in the “Reviewing Securities Information” chapter on page 10, the **Maintain Securities Information** page is divided into two sections: **Registrations** and **Exams**.

Each section contains a link, either **Add Registration** or **Add Exam**, that you can click to add securities information to the producer's record.

Maintain Registrations

The **Registrations** section of the **Maintain Securities Information** page displays a producer's self-regulatory organization (SRO) and state registrations, grouped by the firm (broker/dealer) with which the producer is affiliated, as shown in Figure 10 on page 18.

To review the types of data included in the **Registrations** section, see “Registrations” on page 13.

There are three important things to remember when viewing a producer’s registrations in the **Registrations** section of the **Maintain Securities Information** page, as follows:

1. By default, only information about the producer’s active registrations is displayed. This is true whether the registration has been verified in Producer Manager or through an external source.
2. Only registration information that has been verified in Producer Manager is editable, by default. A registration that is marked as verified through an external source of information is not editable (is “grayed out”).

Registrations Include Pending & Inactive Registrations [Add Registration](#)

NEXT FINANCIAL GROUP, INC. *Externally Verified* ✕

SRO REGISTRATIONS

| SRO | Category | FINRA Status | Approval Date | Status Date | Added By | Updated By | Actions |
|---|------------------|--------------|---------------|-------------|--|------------|---------|
| Financial Industry Regulatory Authority | ET-Equity Trader | Approved | 01/01/2016 | 01/01/2016 | Valued User <small>01/27/2016</small> | N/A | |

STATE REGISTRATIONS

| State | Category | FINRA Status | Approval Date | Status Date | Added By | Updated By | Actions |
|-------|-----------------------------|--------------|---------------|-------------|--|------------|---------|
| Texas | RA - Investment Advisor Rep | Approved | 01/01/2016 | 01/01/2016 | Valued User <small>01/27/2016</small> | N/A | |

Externally Verified

Figure 11. Registration information that has been verified through an outside source is non-editable by default.

If for any reason it is necessary to edit information for an externally verified registration, click to uncheckmark the **Externally Verified** checkbox in the lower left of the **Registrations** section.

3. By default, the message, “No Active Records,” will display under the following conditions:
 - If the producer record contains no registration information at all, as shown in Figure 12.

Registrations Include Pending & Inactive Registrations [Add Registration](#)

No Active Records

Figure 12. A producer record that contains no registration information will display the message, “No Active Records,” after the Include Pending & Inactive Registrations checkbox is checkmarked.

To verify that this is the case, click to checkmark the **Include Pending & Inactive Registrations** checkbox in the upper right of the **Registrations** section. The “No Active Records” message will continue to display, if so.

- If the producer record contains only inactive or pending registrations, as shown in Figure 13.

Registrations
 Include Pending & Inactive Registrations
[Add Registration](#)

RIA FEDERAL CREDIT UNION
1 SRO 0 State
✕

SRO REGISTRATIONS

| SRO | Category | FINRA Status | Approval Date | Status Date | Added By | Updated By | Actions |
|---|------------------|-----------------------------|---------------|-------------|--|------------|---------|
| Financial Industry Regulatory Authority | ET-Equity Trader | Terminated Failure to Renew | 01/01/2015 | 01/06/2016 | Valued User <small>01/28/2016</small> | N/A | |

STATE REGISTRATIONS

No Records

Externally Verified

Figure 13. A producer record that contains only pending or inactive registration information will display the non-active information after the **Include Pending & Inactive Registrations** checkbox is checkmarked.

To verify that this is the case, click to checkmark the **Include Pending & Inactive Registrations** checkbox in the upper right of the **Registrations** section. The producer's non-active registration information will display, if so.

To add a registration:

1. Click the **Add Registration** link at the upper right of the **Registrations** section of the **Maintain Securities Information** page.

Registrations
 Include Pending & Inactive Registrations
[Add Registration](#)

BUCKMAN BUCKMAN & REID INC
1 SRO 1 State
✕

SRO REGISTRATIONS

| SRO | Category | FINRA Status | Approval Date | Status Date | Added By | Updated By | Actions |
|---|------------------|--------------|---------------|-------------|--|------------|---------|
| Financial Industry Regulatory Authority | ET-Equity Trader | Approved | 01/07/2016 | 01/07/2016 | Valued User <small>01/28/2016</small> | N/A | |

STATE REGISTRATIONS

| State | Category | FINRA Status | Approval Date | Status Date | Added By | Updated By | Actions |
|---------|-----------------------------|--------------|---------------|-------------|--|------------|---------|
| Arizona | RA - Investment Advisor Rep | Approved | 01/08/2016 | 01/08/2016 | Valued User <small>01/29/2016</small> | N/A | |

Externally Verified

If the producer record does not currently and never has contained registration information, the **Search Firm** page will open. Search for and select the firm (broker/dealer) with which the producer is affiliated

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Maintain Securities Information

Search Firm

Please enter at least one of the search criteria below:

Firm Name

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

License Number **License State**

External System ID **Primary External ID Only**

Records Per Page:

Displaying 1 - 10 (of 299 matching records) Page 1 of 30

| Name | EIN | License State/# | NPN | Active BU | City | State |
|---|------------|-----------------|----------|-----------|--------------|-------|
| FIRE POLICE CITY COUNTY F.C.U. | 35-6001477 | IN 625631 | 12249489 | FIG | FT WAYNE | IN |
| FIREFIGHTERS CREDIT UNION | 35-1007782 | IN 33419 | 7546696 | FIG | INDIANAPOLIS | IN |
| FIRST AG CREDIT, FCS | 75-0819495 | | 5110467 | GROUP | STAMFORD | TX |
| FIRST AGENCY INC | 45-0405101 | | | | FESSENDEN | ND |
| FIRST ALLIED SECURITIES, INC. | 11-3152836 | AK 19076 | 766511 | ANN | SAN DIEGO | CA |
| FIRST AMERICAN CU | 39-6049946 | | | | BELOIT | WI |
| FIRST AMERICAN FEDERAL SAVINGS BANK | 54-0150368 | | | | ROANOKE | VA |
| FIRST AMERICAN INSURANCE UNDERWRITERS, INC. | 04-3542375 | AL 462581 | 4557267 | ANN | NEEDHAM | MA |
| FIRST BANK | 75-0164917 | TX 11863 | 5111147 | FIG | BURKBURNETT | TX |
| FIRST BANK & TRUST EAST TEXAS | 75-0864412 | TX 9202 | 3478804 | FIG | DIBOLL | TX |

Displaying 1 - 10 (of 299 matching records) Page 1 of 30

Go To Page:

OR

If the producer record currently contains registration information, or if it formerly contained registration information that has since been deleted, the **Add Registration** popup window will open. From the **Select a Firm** dropdown menu, select the firm (broker/dealer) with which the producer is affiliated. Or, select **Add a New Firm ...** to open the **Search Firm** page, where you can search for a new firm.

Registrations Include Pending & Inactive Registrations [Add Registration](#)

AMERIPRISE FINANCIAL SERVICES

SRO REGISTRATIONS
No Active Records

STATE REGISTRATIONS
No Active Records

Externally Verified

Exams
No Records

Add Registration

Select a Firm...
AMERIPRISE FINANCIAL SERVICES, INC.
Add a New Firm...



SRO* **FINRA Status***

Category*

Approval Date **Status Date***

(For more information, see "Searching for Records" in the Producer Manager online help.)

- From the **Registration Type** dropdown menu, select the type of registration, either **SRO** or **State**.

3. If you are adding an SRO registration, from the **SRO** dropdown menu, select the name of the SRO.
OR
If you are adding a state registration, from the **State** dropdown menu, select of the name of the state.
4. From the **Category** dropdown menu, select the registration category.
5. From the **FINRA Status** dropdown menu, select the status of the registration with the Financial Industry Regulatory Authority (FINRA).
6. In the **Approval Date** field, enter the registration approval date. Use the *mmddyyyy* date format. Or, click the **Calendar** button () to open a popup calendar from which you can click to select a date.
7. In the **Status Date** field, enter the date on which the registration's **FINRA Status** was applied. Use the *mmddyyyy* date format. Or, click the **Calendar** button () to open a popup calendar from which you can click to select a date.

FIRM
FIRST BANK
Change



Registration

Externally Verified
Note: By checking this box you agree to verify the producer's registration with this firm from another source.

Registration Type* SRO State

State* FINRA Status*

Category*

Approval Date  Status Date* 

8. Click the **Save** button. The new registration information will be committed to the selected producer's record, and the **Add Registration** popup window will close.
9. If you have verified the producer's broker/dealer-related registrations with an external data source, click to checkmark the **Externally Verified** checkbox. A message box will open, asking you to confirm. Click the **Confirm** button to proceed.

Note: If you select any non-active value from the **FINRA Status** dropdown menu, by default the registration will not display upon saving the registration. To display a pending or terminated registration, click to checkmark the **Include Pending & Inactive Registrations** checkbox.

To edit a registration:

Note: The **Firm**, **Registration Type**, **SRO** or **State**, and **Category** fields are view-only when editing.

1. For any SRO or state registration listed in the **Registrations** section of the **Maintain Securities Information** page, click the **Edit** button (✎) to open the selected registration in the **Edit Registration** popup window.

The screenshot displays the 'Edit Registration' popup window. The main content area shows the following fields:

- FIRM:** FIRST BANK
- Type:** State
- State:** Illinois
- Category:** AG - Broker-Dealer Agent
- Approval Date:** 01-01-2016
- FINRA Status*:** Approved
- Status Date*:** 01-01-2016

At the bottom of the popup are 'Save' and 'Cancel' buttons. The background shows the 'Registrations' section of the 'Maintain Securities Information' page, which includes a table with columns for 'State' and 'Category'. The table lists one registration for 'Illinois' with 'AG - Broke' as the category. There are also 'Add Registration' and 'Add Exam' buttons visible on the right side of the background page.

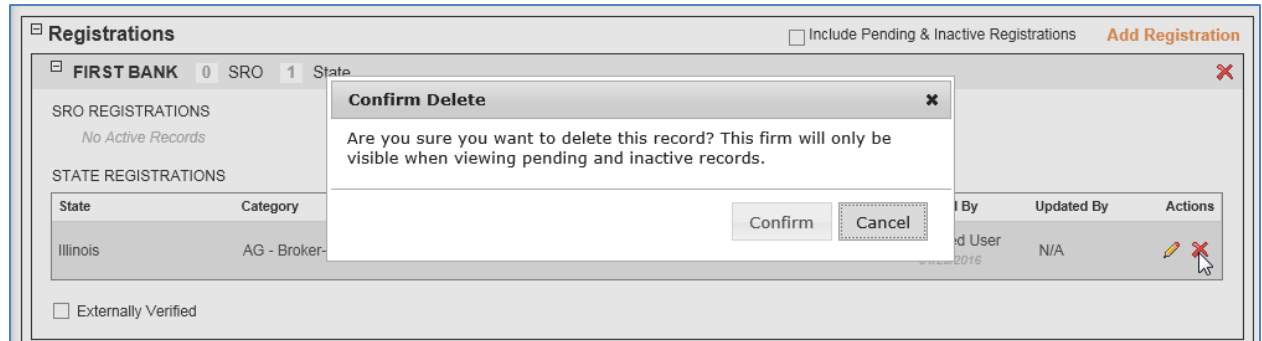
2. From the **FINRA Status** dropdown menu, select an updated status of the registration with the Financial Industry Regulatory Authority (FINRA).
3. In the **Approval Date** field, update the registration approval date. Use the *mmdyyyy* date format. Or, click the **Calendar** button (📅) to open a popup calendar from which you can click to select a date.
4. In the **Status Date** field, update the date on which the registration's **FINRA Status** last was updated. Use the *mmdyyyy* date format. Or, click the **Calendar** button (📅) to open a popup calendar from which you can click to select a date.
5. Click the **Save** button. The values currently entered in the edit fields will be committed to the selected producer's record, and the **Edit Registration** popup window will close.

Note: If you select any non-active value from the **FINRA Status** dropdown menu, by default the registration will not display upon saving the registration. To display a pending or terminated registration, click to checkmark the **Include Pending & Inactive Registrations** checkbox.

6. If you have verified the producer's broker/dealer-related registrations with an external data source, click to checkmark the **Externally Verified** checkbox. A message box will open, asking you to confirm. Click the **Confirm** button to proceed.

To delete a registration:

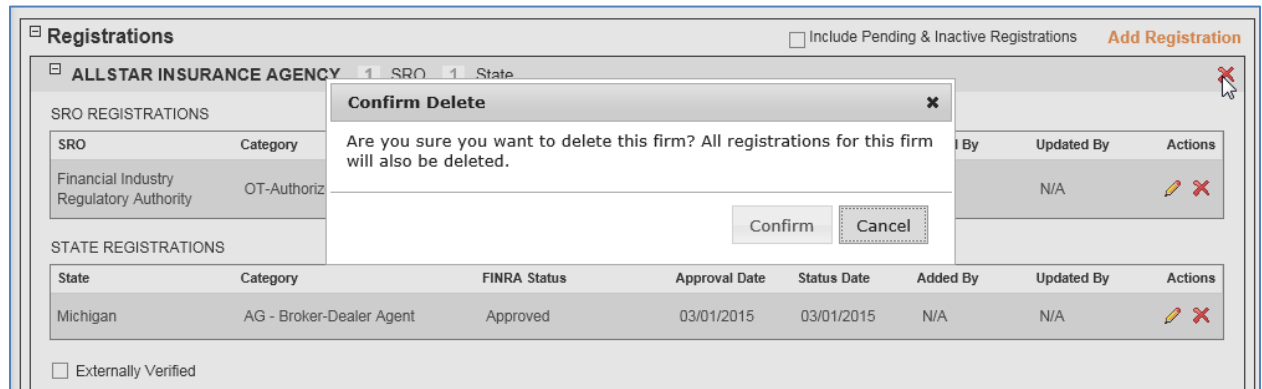
1. Click the **Delete** button (✖) associated with a selected registration listed in the **Registrations** section of the **Maintain Securities Information** page. A popup message will open, asking you to confirm the delete action.



2. Click the **Confirm** button to proceed. The selected registration will be deleted from the producer's record.

To withdraw all registrations associated with a broker/dealer (firm):

1. Click the **Delete** button (✖) associated with a selected firm broker/dealer listed in the **Registrations** section of the **Maintain Securities Information** page. A popup message will open, asking you to confirm the delete action.




2. Click the **Confirm** button to proceed. The firm (broker/dealer) and all of the producer's broker/dealer-related registrations will be deleted from the producer's record.

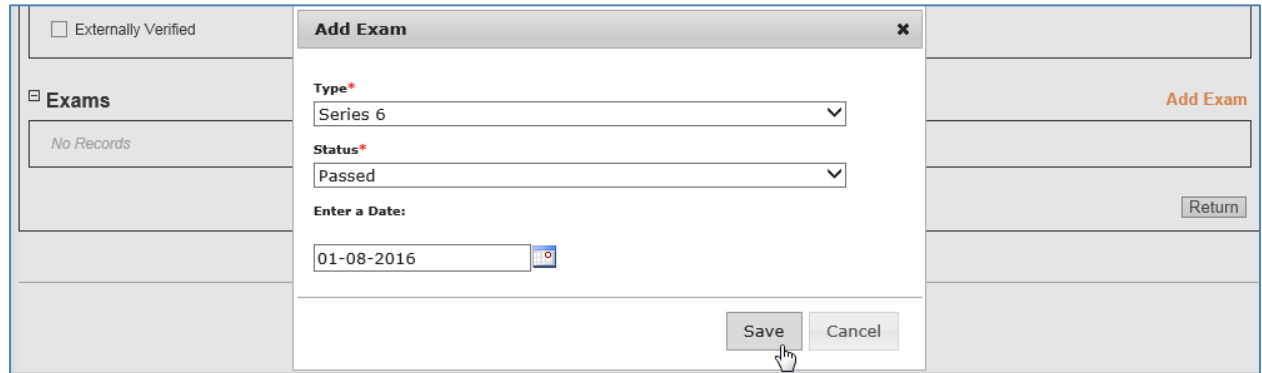
Maintain Exams

The **Exams** section of the **Maintain Securities Information** page displays information about a producer's securities examinations, as shown in Figure 10 on page 18.

To review the types of data included in the **Exams** section, see "Exams" on page 15.

To add an examination:



1. Click the **Add Exam** link at the upper right of the **Exams** section of the **Maintain Securities Information** page. The **Add Exam** popup box will open.
2. From the **Type** dropdown menu, select the type of securities examination.
3. From the **Status** dropdown menu, select the status of the securities examination.
4. In the **Enter a date** field, enter the date on which the **Status** of the securities examination was applied. Use the *mmdyyy* date format. Or, click the **Calendar** button () to open a popup calendar from which you can click to select a date.



5. Click the **Save** button. The new registration information will be committed to the selected producer's record, and the **Add Exam** popup window will close.

To edit an examination:

Note: The **Type** field is view-only when editing.

1. For any examination listed in the **Exams** section of the **Maintain Securities Information** page, click the **Edit** button () to open the selected examination in the **Edit Exam** popup window.
2. From the **Status** dropdown menu, select an updated status of the securities examination.
3. In the **Status Date** field, update the date on which the securities examination's **Status** last was updated. Use the *mmdyyy* date format. Or, click the **Calendar** button () to open a popup calendar from which you can click to select a date.

The screenshot shows a 'Confirm Delete' dialog box overlaid on the 'Exams' section of the 'Maintain Securities Information' page. The dialog contains the following information:

- Type:** Series 6
- Status*:** Unconditional Waiver (selected from a dropdown menu)
- Status Date:** 01-08-2016

At the bottom of the dialog are 'Save' and 'Cancel' buttons. The background interface shows a table with columns 'Added By', 'Updated By', and 'Actions'. The 'Added By' column contains 'Valued User' and '01/29/2016'. The 'Updated By' column contains 'N/A'. The 'Actions' column contains a pencil icon and a red 'X' icon. There is also an 'Add Exam' button in the top right and a 'Return' button in the bottom right of the background interface.

4. Click the **Save** button. The values currently entered in the edit fields will be committed to the selected producer's record, and the **Edit Exam** popup window will close.

To delete an examination:

1. Click the **Delete** button (✖) associated with a selected examination listed in the **Exams** section of the **Maintain Securities Information** page. A popup message will open, asking you to confirm the delete action.

The screenshot shows the 'Confirm Delete' dialog box with the question: 'Are you sure you want to delete this record?'. At the bottom of the dialog are 'Confirm' and 'Cancel' buttons. The background interface is the same as the previous screenshot, showing the 'Exams' section with the 'Confirm Delete' dialog overlaid.

2. Click the **Confirm** button to proceed. The selected examination will be deleted from the producer's record.

Checking Producer Sales Authorization for Securities Products

In “Reviewing Securities Information,” we had a look at securities information as it displays on a producer’s record in Producer Manager, beginning on page 10. Then, in “Maintaining Securities Information,” beginning page 17, we saw how you can manually keep securities information updated.

But Producer Manager can do more with that information. For products with a securities component, such as variable annuities, mutual funds, or 529 plans,

But Producer Manager can do more with that information. When you perform a Sales Authorization check to find out if a producer or rep is eligible to represent a certain product type in a certain state at a given stage of the sales cycle, Producer Manager can triangulate a producer’s or rep’s active securities registrations into a Sales Authorization check result.

Verify Sales Authorization

RIZED, ANNIE Unrated

| External System ID | License State/# | Active BU |
|--------------------|-----------------|-----------|
| 0000002177 | AK 01012000 | 123TEST |

State/Jurisdiction *Required*
Michigan

Product *Required*
Variable Annuity

Sales Event *Required*
Issue Policy

Writing Company *Required*
Trumbull Insurance Company

Related Firm *Remove*
POE and BROWN AUTHORIZERS INC

Check Authorization Return

Figure 14. Set sales authorization check criteria, and then click the Check Authorization button.

Assuming all other compliance information, such as license, LOA, etc., is active and valid, a Sales Authorization check of an individual producer or rep will return in an “Authorized” result, if

she has the following recorded in the **Securities Information** data section of her record in Producer Manager:

- The necessary, active state or SRO registrations with a broker/dealer firm
- Securities registration information with a broker/dealer firm that has been marked as verified by an external source

RIZED, ANNIE Unrated
Search Producer

| External System ID | License State/# | Active BU | NPN | Resident States |
|--------------------|-----------------|-----------|-------|-----------------|
| 0000002177 | AK 01012000 | 123TEST | 98098 | Michigan |

State/Jurisdiction *Required*
Michigan

Product *Required*
Variable Annuity

Sales Event *Required*
Issue Policy

Writing Company *Required*
Trumbull Insurance Company

Related Firm *Remove*
POE and BROWN AUTHORIZERS INC

This producer is authorized.

- ✔ Education
The following education credentials satisfied this requirement:

ONE RULE ONE STANDARD PRODUCT IN GROUP:
 Michigan Credential
- ✔ License / LOA
The following license and line of authority combinations satisfied this requirement:

| License: | Lines of Authority: |
|-------------------|----------------------------|
| Resident Producer | Life Variable Annuities |
- ✔ Securities
The following registrations satisfied this requirement:

| SRO Registrations: | State Registrations: |
|-----------------------|--------------------------|
| IR-Investment Co Rep. | AG - Broker-Dealer Agent |

| SRO Registrations: | State Registrations: |
|--------------------------|--------------------------|
| OP-Reg Options Principal | AG - Broker-Dealer Agent |

| SRO Registrations: | State Registrations: |
|----------------------|--------------------------|
| OT-Authorized Trader | AG - Broker-Dealer Agent |

Figure 15. The results of a sales authorization request.

On the other hand, a sales authorization check of an individual producer's or rep's **Securities Information** will return a "Not Authorized" result, under the following conditions:

- She does not hold valid registrations in the state included in the sales authorization request, and an indicator that her registrations have been "Externally Verified" does not exist
- The valid registrations she holds are in Termed or Terminated status
- The valid and active registrations she holds are with a different broker/dealer firm than the one included as **Related Firm** in the sales authorization request

For more information, please see "Setting Up and Checking Producer Sales Authorization," available for download from the Producer Manager online help.

Feeding Securities Information to Other Systems

Through its integration services, Sircon Producer Manager can pass producers' securities information to your company's other computer systems, a producer web portal, or a reporting warehouse. In this chapter, we'll take a brief look at securities information as made available in the Outbound Data Feed and the Producer Data Web Service.

Outbound Data Feed

The Outbound Data Feed (OBDF) tracks changes in producer data as stored in Producer Manager. It can be configured to regularly push an encrypted XML file with changed data to a secure FTP site, where a client application, developed and maintained by your company's IT staff, can retrieve, parse, and feed the data to systems waiting downstream from Producer Manager.

Below is an example of securities information contained in an OBDF export file. In this example, the file is communicating that a specific producer's record has been updated with new securities registrations and examinations information, as included in the <SecuritiesInformation> node. The producer's CRD number has been configured to be "force included" in the <Interfaces> node with every run of the OBDF, as indicated by a value of "None" in the <Action> attribute. (The ellipses indicate sections of the OBDF export file that are omitted for illustration purposes.)

[...]

```
<Individuals>
  <Individual InternalID="56399" Action="Update">
    <InsertUserID>LOAD</InsertUserID>
    <InsertDateTime>09-01-2002 01:53:17</InsertDateTime>
    <UpdateUserID>SYSTEM_USER</UpdateUserID>
    <UpdateDateTime>08-26-2015 12:05:38</UpdateDateTime>
    <NationalProducerID>3535335</NationalProducerID>
    <Status Code="AC">Active</Status>
    <CaptiveIndicator>Y</CaptiveIndicator>
    <LastName>SMITH</LastName>
    <FirstName>JAMES</FirstName>
    <SuffixName/>
    <MiddleName/>
  </Individual>
</Individuals>
```

```

<EmailAddress/>
<WebAddress/>
<Gender/>
<BirthDate>12-22-1974</BirthDate>
[...]
<Interfaces>
  <Interface InternalID="115367" Action="None">
    <InsertUserID>LOAD</InsertUserID>
    <InsertDateTime>09-01-2002 01:59:46</InsertDateTime>
    <UpdateUserID>LOAD</UpdateUserID>
    <UpdateDateTime>09-01-2002 01:59:46</UpdateDateTime>
    <Type Code="CRD">CRD Number</Type>
    <ExternalID>123456789</ExternalID>
    <PrimaryIndicator>Y</PrimaryIndicator>
    <InactiveIndicator>N</InactiveIndicator>
    <BUShortName/>
  </Interface>
  [...]
<SecuritiesInformation>
  <BrokerDealers>
    <BrokerDealer InternalID="435" Action="Insert">
      <InsertUserID>dgroetsch</InsertUserID>
      <InsertDateTime>08-26-2015 12:18:46</InsertDateTime>
      <UpdateUserID>dgroetsch</UpdateUserID>
      <UpdateDateTime>08-26-2015 12:18:46</UpdateDateTime>
      <Name>POE and BROWN AUTHORIZERS INC</Name>
      <EIN>590864461</EIN>
      <ExternallyVerifiedIndicator>N</ExternallyVerifiedIndicator>
      <StateRegistrations>
        <StateRegistration InternalID="1729" Action="Insert">
          <InsertUserID>dgroetsch</InsertUserID>
          <InsertDateTime>08-26-2015 12:19:15</InsertDateTime>
          <UpdateUserID>dgroetsch</UpdateUserID>
          <UpdateDateTime>08-26-2015 12:19:15</UpdateDateTime>
          <State>AL</State>
          <CategoryCode Code="AG">Broker-Dealer Agent</CategoryCode>
          <ApprovalDate>08-26-2015</ApprovalDate>
          <FinraStatus Code="APPROVED">Approved</FinraStatus>
          <StatusDate>08-26-2015</StatusDate>
          <SourceCode>PM</SourceCode>
        </StateRegistration>
      </StateRegistrations>
    </BrokerDealer>
  </BrokerDealers>
</SecuritiesInformation>

```

```

    </StateRegistrations>
    <SroRegistrations>
      <SroRegistration InternalID="1019" Action="Insert">
        <InsertUserID>dgroetsch</InsertUserID>
        <InsertDateTime>08-26-2015 12:18:47</InsertDateTime>
        <UpdateUserID>dgroetsch</UpdateUserID>
        <UpdateDateTime>08-26-2015 12:18:47</UpdateDateTime>
        <SroCode Code="NSX">National Stock Ex</SroCode>
        <CategoryCode Code="ET">ET-Equity Trader</CategoryCode>
        <ApprovalDate>08-26-2015</ApprovalDate>
        <FinraStatus Code="APPROVED">Approved</FinraStatus>
        <StatusDate>08-26-2015</StatusDate>
        <SourceCode>PM</SourceCode>
      </SroRegistration>
    </SroRegistrations>
  </BrokerDealer>
  <BrokerDealer InternalID="436" Action="Insert">
    <InsertUserID>dgroetsch</InsertUserID>
    <InsertDateTime>08-26-2015 12:19:57</InsertDateTime>
    <UpdateUserID>dgroetsch</UpdateUserID>
    <UpdateDateTime>08-26-2015 12:19:57</UpdateDateTime>
    <Name>GREEN INSURANCE AGENCY</Name>
    <EIN>418206684</EIN>
    <ExternallyVerifiedIndicator>Y</ExternallyVerifiedIndicator>
  </BrokerDealer>
</BrokerDealers>
<SecuritiesExams>
  <SecuritiesExam InternalID="174" Action="Insert">
    <InsertUserID>dgroetsch</InsertUserID>
    <InsertDateTime>08-26-2015 12:19:30</InsertDateTime>
    <UpdateUserID>dgroetsch</UpdateUserID>
    <UpdateDateTime>08-26-2015 12:19:30</UpdateDateTime>
    <ExamCode Code="S41">S41</ExamCode>
    <StatusCode Code="PASSED">Passed</StatusCode>
    <StatusDate>08-01-2015</StatusDate>
  </SecuritiesExam>
</SecuritiesExams>
</SecuritiesInformation>
</Individual>
</Individuals>

```

[...]

For more information about the OBDP, download the “Producer Manager Outbound Data Feed Getting Started Guide” and the “Producer Manager Outbound Data Feed File Layout and Data Definition Guide” guides from the Producer Manager online help.

Producer Data Web Service

The Producer Data Web Service is intended to deliver specific information about one or multiple producers with records in Sircon Producer Manager. One of your company’s internal systems can call the Producer Data Web Service to retrieve real-time producer information as contained in Producer Manager.

Below is an example XML response to a request submitted to the Producer Data Web Service for the securities information of a particular producer.

The <Securities> element in the example response contains one state registration for the requested producer. The response also contains basic information about the broker/dealer with which the requested producer is affiliated.

```
<soapenv:Envelope xmlns:soapenv="http://schemas.xmlsoap.org/soap/envelope/"
xmlns:xsd="http://www.w3.org/2001/XMLSchema" xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance">
  <soapenv:Body>
    <ProducerQueryResponse xmlns="http://px.sircon.com/schemas/2006/06/Transaction.xsd">
      <GenericResponse>
        <Status>Processed</Status>
      </GenericResponse>
      <Producer>
        <Individual id="491112">
          <FirstName>Jones</FirstName>
          <LastName>Jane</LastName>
          <SSN>373112221</SSN>
          <Email>test@sircon.com</Email>
          <BirthDate>1985-09-24</BirthDate>
          <FullName>Jones, Jane</FullName>
          <ProducerRating code="0">Unrated</ProducerRating>
        </Individual>
        <Securities>
          <StateRegistrations>
            <StateRegistration>
              <StateCode>AK</StateCode>
              <CategoryTypeCode Value="AG">
                <Description>AG - Broker-Dealer Agent</Description>
              </CategoryTypeCode>
            </StateRegistration>
          </StateRegistrations>
        </Securities>
      </Producer>
    </ProducerQueryResponse>
  </soapenv:Body>
</soapenv:Envelope>
```



```
</CategoryTypeCode>
<ApprovalDate>2015-04-08</ApprovalDate>
<FinraStatusCode Value="ACTIVE">
  <Description>ACTIVE</Description>
</FinraStatusCode>
<StatusDate>2015-04-08</StatusDate>
<Firm id="665873">
  <Name>AGE AND SEE FINANCIAL SERVICES, LLC</Name>
  <EIN>165489513</EIN>
  <ProducerRating code="0">Unrated</ProducerRating>
</Firm>
```

Frequently Asked Questions (FAQ)

The following includes answers to some frequently asked questions about securities information tracking in Producer Manager:

Q: I can't find a broker's CRD number in her securities information in Producer Manager. Where is it?

A: The producer's CRD number is contained in the **External System IDs** data section of her record in Producer Manager.

Q: One of our broker/dealers has informed us that there is a new broker affiliated with them, but I can't find the broker's record in Producer Manager. We are using the automated FINRA import service.

A: The automated import service will not create records for producers that are not already in Producer Manager. You must create a new record in Producer Manager for the broker and then the automated import service should update the new producer record with securities information. There are a number of ways to manually add a producer record to Producer Manager, but the fastest way is using **Quick Add Producer**. See the Producer Manager online help for more information.

Q: In looking at a producer's securities examinations information in Producer Manager, I don't see any indication that the producer failed an exam.

A: The automated FINRA import service will only import information about securities exams that a producer has passed or had waived. You can add a different status for an exam, such as scheduled or grandfathered, manually on the **Maintain Securities Information** page.

Q: How can I tell if the securities info on a producer record in Producer Manager has been updated?

A: Check the audit information in the **Securities Information** data section of the **Maintain Securities Information** page. Each registration and exam includes an "Added By" or "Updated By" field that also includes a timestamp for each action. If a staff member updated the information, the audit fields will include the staff member's name. If the automated import service added or update the information, it will indicate "FINRA."

Q: Our company uses the automated FINRA import service. Our broker/dealer partner is telling us that one of their brokers has new state registrations, but the new registrations are not showing up on the broker's record in Producer Manager. What's going on?

A: A number of things could be preventing the producer's record from being updated. The first thing is to make sure the the broker/dealer's registration information is available in your company's FINRA WebCRD account. Other things to check: Does the broker/dealer itself have a record in Producer Manager, including its accurate Federal Employer Identification Number (EIN)? Are the code domains that supply required codes for securities information properly

configured in Producer Manager? If everything checks out in Producer Manager, it is possible that the automated import service is temporarily unavailable. Please consult your Vertafore Sircon representative if you continue to experience problems.

Q: I see that the automated import service added new securities registration information to a producer's record, but the **Externally Verified** checkbox does not contain a checkmark. Since the data came from integration with FINRA, wouldn't that mean that it's externally verified?

A: The automated import service will not checkmark or clear a checkmark from the **Externally Verified** checkbox. The checkbox is there only for manual recordkeeping purposes.

Appendix A: Document Change History

| Version Number | Date | Version Information | Notes |
|----------------|------------|--|----------|
| 7.4 | 01/20/2016 | Baseline draft | DOC-1136 |
| 7.4.1 | 02/18/2016 | Updates made based on technical review | |
| 7.4.2 | 03/07/2016 | Additional updates based on additional technical and business review | |
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