

PLM User Guide



A Guide to
Using the
“Carrier Requests”
Appointment Type
in PLM

May 2012 | Version 6.0



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Overview

Many carrier customers need to be able to record that a carrier appointing company has authorized a licensed producer to represent a particular line of business in a state, even if the state insurance department does not require a state-acknowledged appointment for that line. It is especially important for customers with systems integrated with PLM that depend on PLM appointment data to trigger certain activities, such as issuing sales commissions.

For this reason, for certain state licenses that do not require a regulated producer appointment you can add a special, internal use-only appointment to a producer’s record in PLM.

Once recorded, the “Carrier Requests” appointment type can be reported against and will display in the results of Producer Manager appointment inquiries. You can run a report to tell which producers are authorized to represent a particular product type in a state.

Also, it will be included in a producer’s appointment data in the Outbound Data Feed and other PLM integration points, ready to update your company’s internal systems that are downstream from PLM.

DISCLAIMER: It’s important to understand that the “Carrier Requests” appointment type is “placeholder” data in PLM and not a producer appointment by any other definition used in PLM. It was developed to give carrier customers a method to signify that a producer is authorized to represent a line of business under a specific state license, where otherwise such a method would not exist or be available in PLM. So, unless your company’s licensing staff fully understands the meaning and purpose of the “Carrier Requests” appointment and the way it is used in PLM, it can possibly lead to recordkeeping errors and possible compliance issues.

This document is intended as a best practice guide for adding and maintaining the internal-use, “Carrier Requests” appointment type in PLM.

Setting Up PLM to Use the “Carrier Requests” Appointment Type

To get started using and working with the “Carrier Requests” appointment type, simply contact your Vertafore support representative. Let your representative know that you would like the “Carrier Requests” or “Internal Use Only” appointment type configured in your company’s instance of PLM.

However, beforehand, we recommend that you first analyze your company’s current business practices and requirements. If you can answer “yes” to the following questions, then your company may be able to use the “Carrier Requests” appointment type most effectively:

- Your company has a commissions, new business, or ERP system downstream from PLM that relies on producer appointment or authorization data from PLM to trigger actions in these systems
- Your company compiles reports of producers who are authorized to represent certain lines of business in certain states, even if the producers do not hold state-verified appointments
- Your company’s licensing staff has a basic understanding of state license, license line (LOA), and appointment regulations for individual and firm insurance producers
- Your company’s licensing staff is experienced and competent using PLM components and has a working understanding of the difference in the system among a state-verified, record-only, or internal use-only appointment, as they relate to producer compliance

After you have decided to use the “Carrier Requests” appointment type and contacted your Vertafore representative, Vertafore staff will perform the following updates of your company’s configuration of PLM:

- Vertafore regulatory and compliance services staff will enable the Carrier Requests code (appointment type code: 999) in your company’s instance of PLM. The code will be available for selection with the state and appointing company combinations configured in Producer Manager’s company data. (See next bullet point.)

Once the code has been configured, you will be able to see it using the **Code Use Indicators** page in Producer Manager (*Administration menu>Configure System>View Code Use Indicators*), as shown at right.

Code Use Indicators
View a list of current or historical Code Use Indicators. Narrow your search with the given filter options below.

State: [Dropdown]
 Type: System Appointment Type [Dropdown]
 Description: [Text Field]
 Code Use Indicator Status: On or Off [Dropdown]
 Code: 999 [Text Field]

Begin Date: Date code became available from the state.
 All dates
 Within the Last Month
 Between [Date] and [Date]

Include Historical Codes:
 Show Historical Only
 All dates
 Made Historical Within the Last Month
 Made Historical Between [Date] and [Date]

Status	Begin Date	End Date	State	Type	Code	Description	Code Use Indicator Status
	08-01-2011		AK	System Appointment Type Code	999	Carrier Requests	On
	08-01-2011		AL	System Appointment Type Code	999	Carrier Requests	On
	08-01-2011		AR	System Appointment Type Code	999	Carrier Requests	On
	08-01-2011		AS	System Appointment Type Code	999	Carrier Requests	On
	08-01-2011		AZ	System Appointment Type Code	999	Carrier Requests	On
	08-01-2011		CA	System Appointment Type Code	999	Carrier Requests	On
	08-01-2011		CO	System Appointment Type Code	999	Carrier Requests	On
	08-01-2011		CT	System Appointment Type Code	999	Carrier Requests	On
	08-01-2011		DC	System Appointment Type Code	999	Carrier Requests	On
	08-01-2011		DE	System Appointment Type Code	999	Carrier Requests	On
	08-01-2011		FL	System Appointment Type Code	999	Carrier Requests	On
	08-01-2011		GA	System Appointment Type Code	999	Carrier Requests	On
	08-01-2011		GU	System Appointment Type Code	999	Carrier Requests	On
	08-01-2011		HI	System Appointment Type Code	999	Carrier Requests	On
	08-01-2011		IA	System Appointment Type Code	999	Carrier Requests	On
	08-01-2011		ID	System Appointment Type Code	999	Carrier Requests	On
	08-01-2011		IL	System Appointment Type Code	999	Carrier Requests	On
	08-01-2011		IN	System Appointment Type Code	999	Carrier Requests	On
	08-01-2011		KS	System Appointment Type Code	999	Carrier Requests	On
	08-01-2011		KY	System Appointment Type Code	999	Carrier Requests	On
	08-01-2011		LA	System Appointment Type Code	999	Carrier Requests	On
	08-01-2011		MA	System Appointment Type Code	999	Carrier Requests	On
	08-01-2011		MD	System Appointment Type Code	999	Carrier Requests	On
	08-01-2011		ME	System Appointment Type Code	999	Carrier Requests	On
	08-01-2011		MI	System Appointment Type Code	999	Carrier Requests	On

55 code use indicators found, displaying 1 to 25. [First/Prev] 1, 2, 3 [Next/Last]

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- In Producer Manager, you must update the **State Appointment Details** sections in the records of all appointing companies that will be using the "Carrier Requests" appointment type. Simply add the "Carrier Requests" appointment type to the list of available appointment types in each desired state. (For more information, consult the Producer Manager online help.)

Once the updates are made, on the **Review/Update Company** page you will be able to review which of your carrier group's appointing companies are configured to use the "Carrier Requests" appointment and in which states (*Company menu > Review/Update Company > select appointing company > view State Appointment Details*), as shown at right.

The screenshot displays the 'Review/Update Company' interface for 'INSURANCE COMPANY'. It shows company details, state appointment details, and available appointment types for three states: Mississippi, New York, and West Virginia. In each state's 'Available Appointment Types' table, the 'Carrier Requests' row is highlighted with a red box, indicating it has been added to the list of available appointment types.

State	Appointment Type	Status	Suspend New Appts	Start Date	End Date	Company/License Number	Assigned Appointing Authority
Mississippi	Bail Enforcement	Active	<input type="checkbox"/>	01-01-1900			Montana, Deborah
	Bail Soliciting	Active	<input type="checkbox"/>	01-01-1900			Montana, Deborah
	Burial	Active	<input type="checkbox"/>	01-01-1900			Montana, Deborah
	Carrier Requests	Active	<input type="checkbox"/>	07-07-2011			Montana, Deborah
	Credit Life, Accident & Health	Active	<input type="checkbox"/>	01-01-1900			Montana, Deborah
	Credit Property	Active	<input type="checkbox"/>	01-01-1900			Montana, Deborah
	General Agent - A&H (Life)	Active	<input type="checkbox"/>	01-01-1900			Montana, Deborah
	General Agent - A&H (P&C)	Active	<input type="checkbox"/>	01-01-1900			Montana, Deborah
	General Agent - Burial	Active	<input type="checkbox"/>	01-01-1900			Montana, Deborah
	General Agt - Credit LAH	Active	<input type="checkbox"/>	01-01-1900			Montana, Deborah
New York	Carrier Requests	Active	<input type="checkbox"/>	07-07-2011			Montana, Deborah
	Doesn't Appoint By LOA	Active	<input type="checkbox"/>	01-01-1900			Montana, Deborah
	Limited Accident & Health	Active	<input type="checkbox"/>	01-01-1900			Montana, Deborah
	Limited Cargo	Active	<input type="checkbox"/>	01-01-1900			Montana, Deborah
	Limited Excess Liability	Active	<input type="checkbox"/>	01-01-1900			Montana, Deborah
	Limited Personal Effects	Active	<input type="checkbox"/>	01-01-1900			Montana, Deborah
	Limited Rental	Active	<input type="checkbox"/>	01-01-1900			Montana, Deborah
West Virginia	Accident and Sickness (A&S)	Active	<input type="checkbox"/>	01-01-1900			Montana, Deborah
	Carrier Requests	Active	<input type="checkbox"/>	07-07-2011			Montana, Deborah
	Credit	Active	<input type="checkbox"/>	01-01-1900			Montana, Deborah
	Credit Accident and Health	Active	<input type="checkbox"/>	01-01-1900			Montana, Deborah
	Crop	Active	<input type="checkbox"/>	01-01-1900			Montana, Deborah
	Doesn't Appoint By LOA	Active	<input type="checkbox"/>	01-01-1900			Montana, Deborah
	Life and A&S (Res only)	Active	<input type="checkbox"/>	01-01-1900			Montana, Deborah
	Life and PC (Res only)	Active	<input type="checkbox"/>	01-01-1900			Montana, Deborah

Note: As a Managed Services engagement, Vertafore support staff can execute a script that will automatically update the appointment type data for the appointing companies in your carrier group that will be using the "Carrier Requests" appointment type. For more information, contact your Vertafore representative.

- If your company is using the PLM Producer Express component to onboard new producers, perform maintenance transactions, or process bulk appointment or termination requests, Vertafore support staff can update the Enhanced Appointment Profiles (EAP) in use in your company’s PLM configuration to include the “Carrier Requests” appointment type, as shown above.

State	Type Code	Profile ID	Company ID	Company Name	Code	Appointment	Submit Method
VI	AGY	101	557276	Insurance Company	123	Life	ELECTRONIC
VI	AGY	101	557276	Insurance Company	140	Life, Accident and Health	ELECTRONIC
VI	AGY	101	557276	Insurance Company	316	Variable Contracts	ELECTRONIC
VI	AGY	101	557276	Insurance Company	336	County Mutual	ELECTRONIC
VT	AGY	101	557276	Insurance Company	074	Doesn't Appoint By LOA	ELECTRONIC
VT	AGY	101	557276	Insurance Company	091	Funeral Expense	ELECTRONIC
VT	AGY	101	557276	Insurance Company	123	Life	ELECTRONIC
VT	AGY	101	557276	Insurance Company	175	Managing General Agent	ELECTRONIC
VT	AGY	101	557276	Insurance Company	319	Variable Life and Annuity	ELECTRONIC
WA	AGY	101	557276	Insurance Company	074	Doesn't Appoint By LOA	ELECTRONIC
WI	AGY	101	557276	Insurance Company	074	Doesn't Appoint By LOA	ELECTRONIC
WI	AGY	101	557276	Insurance Company	123	Life	ELECTRONIC
WV	AGY	101	557276	Insurance Company	074	Doesn't Appoint By LOA	ELECTRONIC
WV	AGY	101	557276	Insurance Company	999	Carrier Requests	RECORD ONLY
WV	AGY	101	557276	Insurance Company	123	Life	ELECTRONIC
WV	AGY	101	557276	Insurance Company	126	Life and Accident and Sickness (Resident only)	ELECTRONIC
WV	AGY	101	557276	Insurance Company	142	Life-Accident and Sickness-Property and Casualty (Resident only)	ELECTRONIC
WV	AGY	101	557276	Insurance Company	143	Life-Accident and Sickness-Variable Annuities (Resident only)	ELECTRONIC

An EAP consists of combinations of states, the appointing companies in your carrier group that are admitted in those states, the appointment types available to each company in each state, and the submission method (electronic, paper, or record-only) used by each state. The EAP enforces valid combinations of states, appointing companies, and appointment types during processing of an automated appointment request submitted through Producer Express. By allowing appointment processing to be driven by a template of pre-configured rules instead of by manual data entry, the EAP makes it automated and fast.

Once the EAP is updated, the “Carrier Requests” appointment type will be available in Producer Express.

Note: Vertafore may set up your company’s EAP to use the “Carrier Requests” appointment type during initial implementation of PLM, if the business requirement is communicated to Vertafore project staff and documented. Modifying an EAP after production implementation of PLM is a Managed Services engagement and may incur fees.

The table below lists common state license types for which producers holding the licenses are not required to be state-appointed and for which the “Carrier Requests” appointment type (appointment type code: 999) may be useful in your company’s deployment of PLM:

State	Producer Type	Resident/Non-Resident	License Class Description
Mississippi	Agency	Both	Insurance Producer Entity
New York	Agency	Non-Resident	Non-Resident Broker Firm
New York	Agency	Non-Resident	Non-Resident Broker Life
New York	Agency	Resident	Resident Broker Firm
New York	Agency	Resident	Resident Broker Life
New York	Individual	Non-Resident	Non-Resident Broker
New York	Individual	Non-Resident	Non-Resident Broker Life

New York	Individual	Resident	Resident Broker
New York	Individual	Resident	Resident Broker Life
West Virginia	Agency	Both	Business Entity Producer

Setting Up Your Company’s Internal Systems to Use the “Carrier Requests” Appointment Type

If your company intends other internal systems integrated with PLM to consume the “Carrier Requests” appointment, after Vertafore completes its set-up activities your company’s IT staff must map the “Carrier Requests” appointment type code (999) to the appropriate code type in the other systems. The process should be no different than that used to map any other PLM appointment type code to the codes used in the internal systems.

Below is an excerpt of an example response file from the Outbound Data Feed, showing a producer with a “Carrier Requests” appointment:

```

        <Counties/>
        <TrackingIdentifiers/>
    </Appointment>
    <Appointment InternalID="4926251" Action="Insert">
        <InsertUserID>CHEGGELUND</InsertUserID>
        <InsertDateTime>03-20-2012 16:27:54</InsertDateTime>
        <UpdateUserID>SYSTEM_USER</UpdateUserID>
        <UpdateDateTime>03-20-2012 16:27:54</UpdateDateTime>
        <State>NY</State>
        <CompanyNAIC_ID>54321</CompanyNAIC_ID>
        <CompanyName>Acme Underwriters Insurance Company</CompanyName>
        <PayCode/>
        <Type Code="999">Carrier Requests</Type>
        <Status Code="AC">Active</Status>
        <ActiveDate>03-01-2012</ActiveDate>
        <PreviousFeedActiveDate/>
        <RenewalDate/>
        <TerminationDate/>
        <PreviousFeedTerminationDate/>
        <TerminationNotificationDate/>
        <TerminationReason/>
        <TerminationVestingType/>
        <StateVerifiedIndicator>N</StateVerifiedIndicator>
        <RecordOnlyIndicator>Y</RecordOnlyIndicator>
        <ResidentCounty/>
        <Requests/>
    </Appointment>
</Appointments>
<Agreements/>
<Applications/>
<LetterRequests/>
<BusinessUnits/>
<ProductCertifications/>
<Comments>
    <Comment InternalID="269084" Action="None">

```

If you have questions, please contact your Vertafore representative.

Adding a “Carrier Requests” Appointment

Manually Adding in Producer Manager

Use the **Add Appointments** page in PLM Producer Manager to manually add a “Carrier Requests” appointment to a producer record.

To open the **Add Appointments** page, choose one of the following methods:

- Click the **Add New Appointments** link in the **Appointments** data section of a producer record that is open on the **Review/Update Producer** page
- From the **Licensing** menu, select **Appointments**, and then select **Add Appointments**. Then, perform a **Producer Search** to open the record of the producer whom you wish to appoint
- Click the **Add Appointments** link in the **Task Links** section of the **Producer Manager Home** page
- Click the **Appoint Producer** button (👤) on the **Process Approved License Applications** page
- Click the **Add Appointments** link on any workflow transition page on which it appears.

On the **Add Appointments** page, in the **Effective Date** field enter the date on which the producer’s “Carrier Requests” appointment became effective. Use the *mmdyyyyy* date format, or click the **Calendar** button (📅) to open a popup calendar from which you can click to select a date.

Note: You may enter a past date, as long as it does not pre-date the **Effective Date** of the license or qualification that supports the “Carrier Requests” appointment.

In the **Submission Method** box, click to select the **Record Only** radio button. The system will not submit the appointment request to a state, and regulators in the “Carrier Requests” appointment state will not have a record of the appointment.

The screenshot shows the 'Add Appointments' page in Sircon Producer Manager. At the top, there are navigation tabs: Licensing, Companies, Inquiries, Express Services, and Administration. The user is logged in as 'Valued User' (UAT for 13427). The main section is titled 'Add Appointments' and features the following elements:

- Appointee:** TANKE, CHRISTOPHER P. (Unrated). Fields include SSN (***-**-0612), License State# (AZ 170612), Active BU (GWCC), NPI (349631), and Resident States (Wisconsin).
- Effective Date:** 03-01-2012.
- Submission Method:** Three radio buttons are present: 'Electronic Processing' (selected), 'Paper', and 'Record Only' (highlighted with a red box).
- Appointment Profile:** A section with a message: 'No profiles are available for the appointee's active license states.'
- States and Appointing Companies:**
 - States:** Checkboxes for Arizona, Illinois, Michigan, Mississippi, Nebraska, New York (checked), Texas, and Wisconsin. Buttons for 'Select All States' and 'Unselect All States' are provided.
 - Appointing Companies:** A table with columns 'ID', 'NAIC ID', and 'Company'. One entry is checked: '554867 24147 INSURANCE COMPANY'. Buttons for 'Select All Companies' and 'Unselect All Companies' are provided.
- Navigation:** 'Next' and 'Return' buttons at the bottom right.

Note: If you leave the default **Electronic Processing** radio button selected, Producer Manager may display error messages, and you may have to begin the process over again.

Click to select the **States and Appointing Companies** radio button.

In the **States** section, click to checkmark the checkbox that corresponds to the state in which you want to record the “Carrier Requests” appointment.

In the **Appointing Companies** section, click to checkmark the checkbox that corresponds to the carrier appointing company with which you want to record the “Carrier Requests” appointment.

Click the **Next** button to continue. Producer Manager will calculate the appointment types that are available to select, given the combination of the selected state, the selected producer’s license and LOA, and the selected appointing company’s configured available appointment types.

When it is finished, the **Add Appointments** page will update with additional data fields and controls.

In the **Select Appointments** section, click to checkmark the checkbox the "Carrier Requests" appointment type, available for the selected appointing company in the selected state.

Click the **Save and Continue** button.

Add Appointments for State: New York

Appointee: TANKE, CHRISTOPHER P. (Unrated)

SSN	License State/#	Active BU	NPI#	Resident States
***-**-0612	AZ 170612	GWCC	349631	Wisconsin

Current Appointments: No current appointments in this state for this producer.

Select Appointments:

NAIC ID	Company	Appointment Type	Tied to an Application	Status
<input checked="" type="checkbox"/>	24147	INSURANCE COMPANY		
		Carrier Requests		

Cost Center: State Cost Center: [Dropdown]

Companies:

NAIC ID	Company	Cost Center
24147	INSURANCE COMPANY	[Dropdown]

Comments: [Text Area]

Buttons: Save and Continue, Return

The **Add Appointments** page will update one more time, this time to confirm the "record-only" action.

Click the **Return** button to finish.

Appointment Results for State: New York

Appointee: TANKE, CHRISTOPHER P. (Unrated)

SSN	License State/#	Active BU	NPI#	Resident States
***-**-0612	AZ 170612	GWCC	349631	Wisconsin

Appointment Results:

NAIC ID	Company	Cost Center	Appointment Type	Request Type	Effective Date:	Request Status
24147	INSURANCE COMPANY		Carrier Requests	Record Only	03-01-2012	N/A

Buttons: Return

You may review the record the internal-only "Carrier Requests" appointment in the **Appointments** data section of the selected producer's record.

Licenses/Qualifications Top

[Add New License/Qualification](#)

License State	License Type	License Number	Original Issue Date	Status	Effective Date	Expiration Date	Inactivation Reason	License Suspend Begin Date	License Suspend End Date	Copy Rec'd	
Arizona	Insurance Professional	170612	02-10-2004	Active	02-10-2004	03-31-2013				<input type="checkbox"/>	Inactivate
Illinois	Producer	349631	11-25-1997	Active	11-25-1997	03-31-2013				<input type="checkbox"/>	Inactivate
Michigan	Non-Resident Producer		08-28-2000	Active	08-28-2000	03-31-2013				<input type="checkbox"/>	Inactivate
Mississippi	Insurance Producer	405216	10-27-2009	Active	10-27-2009	03-31-2014				<input type="checkbox"/>	Inactivate
Nebraska	Non-Resident Producer	AG308515	12-19-2003	Active	12-19-2003	03-31-2013				<input type="checkbox"/>	Inactivate
New York	Non-Resident Broker	897600789	02-02-2012	Active	02-02-2012					<input type="checkbox"/>	Inactivate
New York	Non-Resident Broker Life	06808690	02-02-2012	Active	02-02-2012					<input type="checkbox"/>	Inactivate
Texas	General Lines Agent	1270027	04-05-2004	Active	04-05-2004	04-05-2014				<input type="checkbox"/>	Inactivate
Wisconsin	Resident Intermediary Indv	2294411	06-18-1991	Active	06-18-1991	03-31-2013				<input type="checkbox"/>	Inactivate

Qualifications

[Submit a License Application](#)
[Activate Licenses/Qualifications](#)
[Correct License Data](#)
[Correct Qualification Dates](#)

Appointments Top

Grouping Options ▾ | Display Options ▾

New York (1 appointment, 1 active) ⚠

Writing Company	NAL...	Appt Type	Status	Status Date	Active Date	Term ...	Term Rea...	Share...	State Verified	Record Appt	Actions
INSURANCE COMPANY	24147	Carrier Requests	Active	03/01/2012	03/01/2012				<input type="checkbox"/>	<input checked="" type="checkbox"/>	⚠

Appointment Requests
No appointment requests.

Page 1 of 1 | Displaying appointments 1 - 1 of 1

Texas (1 appointment, 1 active) ⚠

Wisconsin (4 appointments, 4 active) ⚠

Actions: ⚠ Terminate ⚠ Quick Terminate ⚠ Quick Terminate (State is not record only)

[Add New Appointments](#) [Correct Appointment Dates](#) [Manage Company Relationships](#)

Configuring and Using a “Carrier Requests” Appointment Profile in Producer Manager

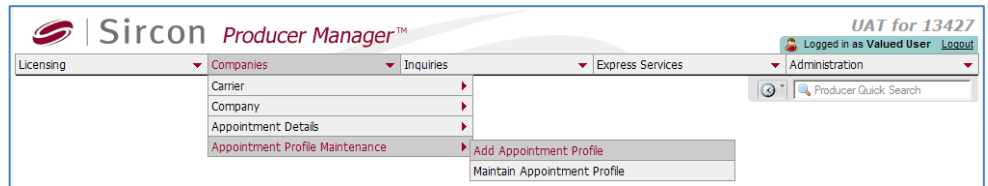
If your company’s licensing staff frequently adds “Carrier Requests” appointments to producer records in Producer Manager, you can save time and avoid errors by configuring an appointment profile. An appointment profile is a set of pre-defined state, appointing company, and appointment type criteria that you can apply to frequently-requested appointments or terminations, saving manual data entry.

Note: The Appointment Profile discussed in this chapter is different from the Enhanced Appointment Profile (EAP) discussed elsewhere in this guide.

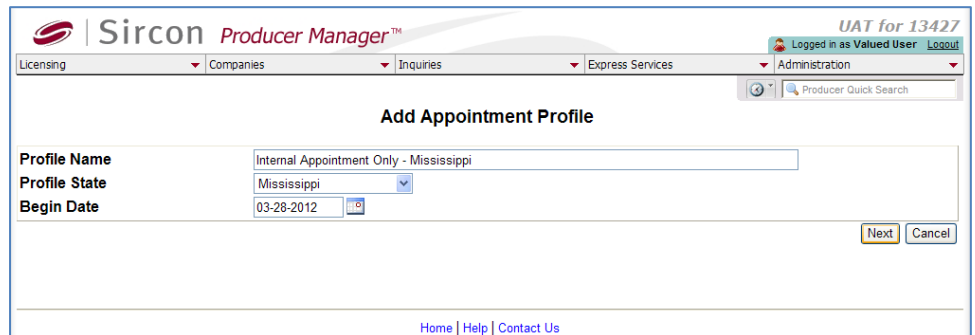
Then, when manually adding a “Carrier Requests” appointment you can select the appointment profile, rather than manually selecting disparate appointment options.

Here’s how...

To configure an appointment profile, from the **Companies** menu, select **Appointment Profile Maintenance**, and then select **Add Appointment Profile**. The **Add Appointment Profile** page will open.



On the **Add Appointment Profile** page, in the **Profile Name** field enter a name for the appointment profile. The value will appear on the **Appointment Profile** dropdown menu on the **Add Appointments** page. Maximum 255 characters.



From the **Profile State** dropdown menu, select the name of the regulatory jurisdiction for which a “Carrier Requests” appointment will be recorded through the use of the appointment profile.

In the **Begin Date** field, enter the date on which the appointment profile was configured. Use the *mmd/yyyy* date format. Or, click the **Calendar** button (📅) to open a popup calendar from which you can click to select a date. Defaults to the current date. Value must be on or before the current date.

Then, click the **Next** button. The page will refresh to show additional options.

In the **Companies** section, click to checkmark the checkbox corresponding to one or multiple carrier appointing companies to add to the appointment profile. Click to checkmark the checkbox corresponding to a selected appointing company to add it to the appointment profile. Use of the appointment profile on the **Add Appointments** page will automatically include the configured appointing companies.

The screenshot shows the 'Add Appointment Profile' form in the Sircon Producer Manager application. The form is titled 'Add Appointment Profile' and is located within the 'Administration' section. The user is logged in as 'Valued User' (UAT for 13427). The form contains the following fields and sections:

- Profile Name:** Internal Appointment Only - Mississippi
- Profile State:** Mississippi
- Begin Date:** 03-28-2012
- Companies:** Select Companies to Add: INSURANCE COMPANY
- Appointment Types:** Select Appointment Types to Add: Carrier Requests, No LOA Needed

Buttons for 'Save and Continue' and 'Cancel' are located at the bottom right of the form. A footer contains links for 'Home | Help | Contact Us'.

In the **Appointment Types** section, click to checkmark the checkbox corresponding to the “Carrier Requests” appointment type to add it to the appointment profile. Use of the appointment profile on the **Add Appointments** page will automatically include the configured appointment types.

Note: The list of appointment types is derived from Vertafore-configured state appointment details (e.g., company authorized lines), which are viewable on an appointing company’s record on the **Review/Update Company** page.

When you are finished, click the **Save and Continue** button. The appointment profile is now ready to use when you add a “Carrier Request” appointment.

To use the appointment profile, on the **Add Appointments** page enter a desired **Effective Date** and select the **Submission Method of Record Only**.

Then, click the **Appointment Profile** radio button, and then from the **Profile** dropdown menu select the name of the appointment profile configured with the “Carrier Requests” appointment type.

You don’t need to independently select a state or appointing company – that information is already rolled into the appointment profile.

When you are finished, click the **Save and Continue** button.

The screenshot displays the 'Add Appointments' interface in the Sircon Producer Manager system. At the top, the user is logged in as 'Valued User' (UAT for 13427). The main header shows the 'Add Appointments' title and a search bar. Below this, the 'Appointee' information for 'QUAKER AGENCY INC' is shown, including EIN (22-1667344), License State/# (AL 283749), Active BU (CHUG), NPN (1632371), and Resident States (New Jersey). The 'Effective Date' is set to 03-01-2012. The 'Submission Method' is selected as 'Record Only' (radio button). The 'Appointment Profile' is set to 'Mississippi - Internal Appointment Only - Mississippi'. The 'States and Appointing Companies' section is visible, showing a list of states and a table of appointing companies, but no selections are made. The page concludes with 'Next' and 'Return' buttons and a footer with 'Home | Help | Contact Us'.

Then, just continue with the steps described in adding a manual “Carrier Requests” appointment, beginning on page 11.

Adding Using Producer Express

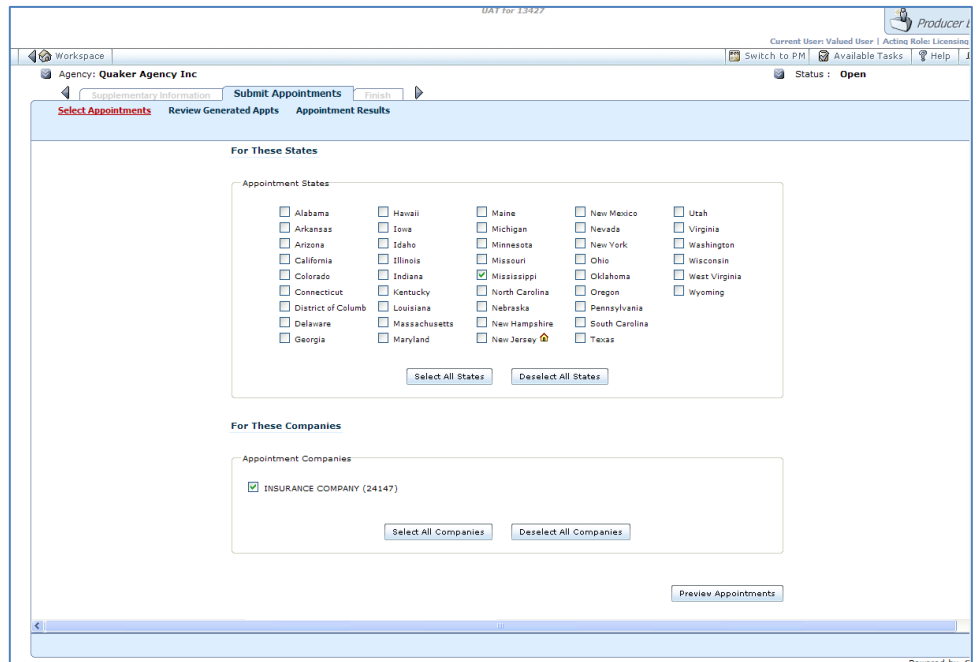
Depending on your company’s configuration of PLM Producer Express, an onboarding or maintenance transaction request to add a “Carrier Requests” appointment can be initiated by a carrier’s distribution partner, such as a field marketing representative or managing general agent, or by home office licensing staff. It can be added manually or as part of an automated workflow – again, depending on platform configuration.

In a manual workflow, with a request record open in Producer Express, on the **Select Appointments** page checkmark the checkbox that corresponds with the state for which you want to add the “Carrier Requests” appointment.

Then click to checkmark the checkbox that corresponds with the appointing company for which you want to record the “Carrier Requests” appointment.

Then, click the **Review Appointments** button.

The **Review Generated Appointments** page will open, and display appointment type available in the selected state.



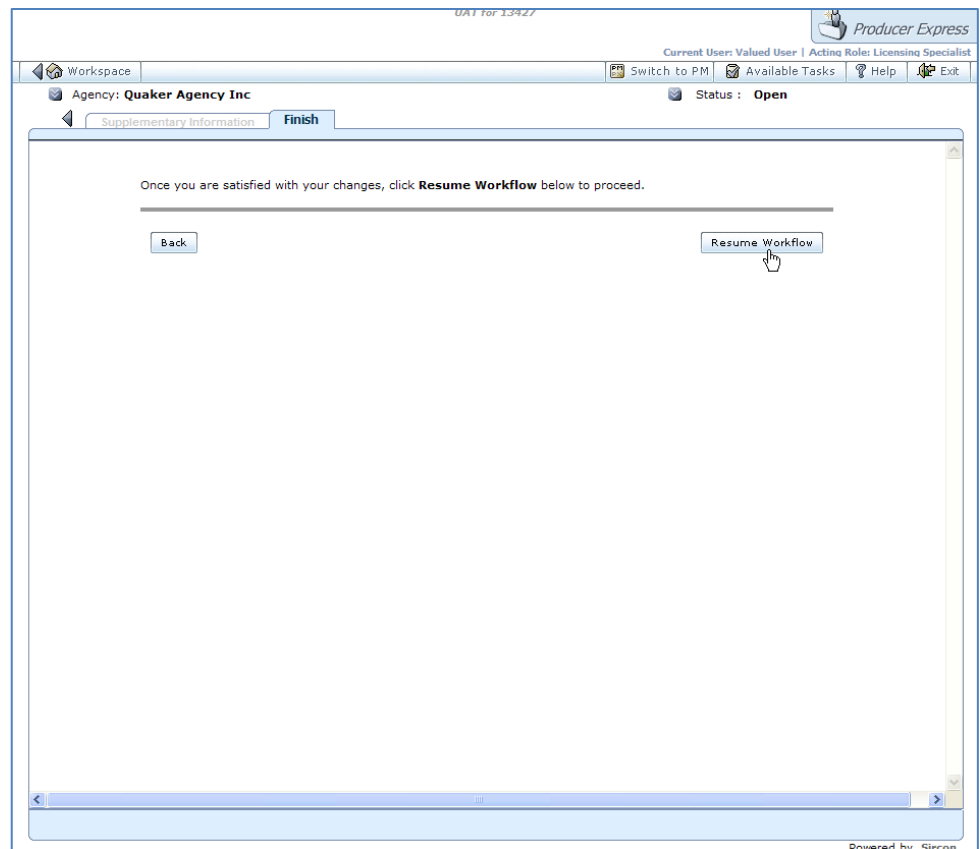
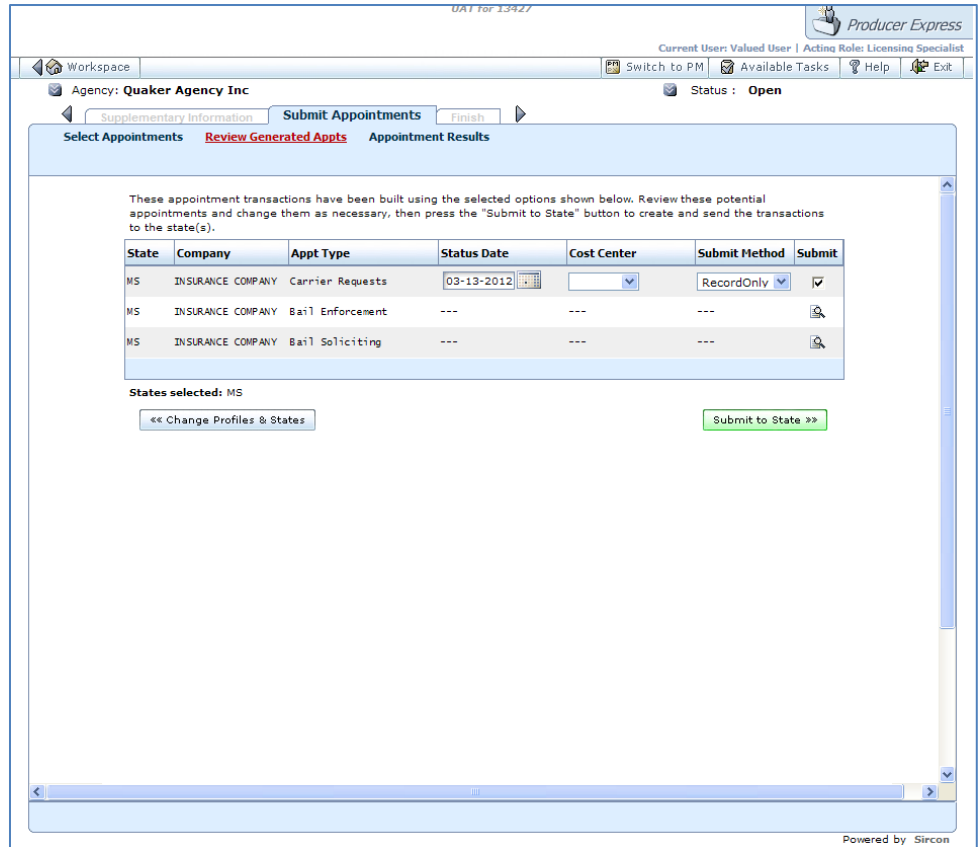
On the **Review Generated Appointments** page, click to checkmark the **Submit** checkbox that corresponds with the “Carrier Requests” appointment. (If the “Carrier Requests” appointment is the only appointment type available, based on the selected producer’s active state license type, it will already be selected.)

The **Status Date** field will display the maximum-allowable appointment backdate by the selected state. Enter a more recent date using the *mmd/yyyy* date format, or click the **Calendar** button (📅) to open a popup calendar from which you can click to select a date.

When you are ready to add the “Carrier Requests” appointment to the producer’s record in Producer Manager, click the **Submit to State** button. (Don’t be confused by the name of the button; the “Carrier Requests” appointment is an internal-use, record-only appointment, and will *not* be submitted to the selected state.)

The **Finish** page will open.

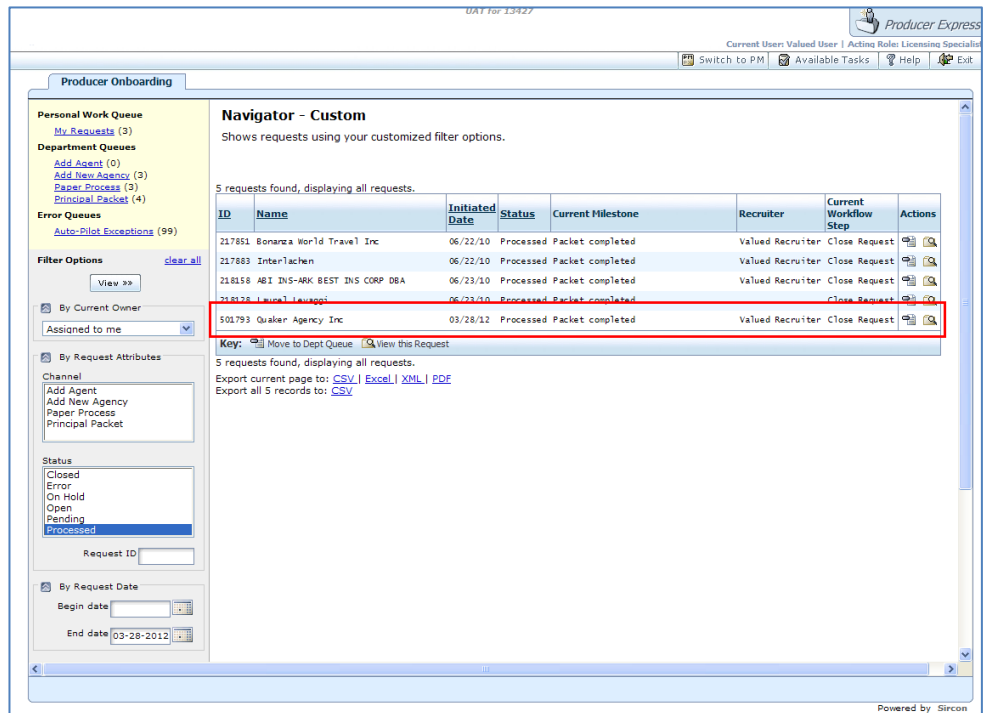
Click the **Resume Workflow** button to continue.



Producer Express will add the “Carrier Requests” appointment to the selected producer’s record in Producer Manager.



In Producer Express, a home office licensing specialist can review the **Workspace** and see that the request record now has a **Status** of Processed.



Maintaining a "Carrier Requests" Appointment

Once added to a producer's record, the "Carrier Requests" appointment will remain active on the record until one of the following occurs:

- The appointment is "record-only" terminated, either manually in Producer Manager or Producer Express or through an automated or batch process through Producer Express.
- The last of the producer's state license(s) that support the "Carrier Requests" appointment becomes inactive

An automated data reconciliation of the producer record, such as a Quick Sync Producer, Scheduled Sync, or Producer Express Sync, will not inactivate the "Carrier Requests" appointment, unless the sync discovers that the last of the state license(s) that supports the "Carrier Requests" appointment has become inactive.

License State	License Type	License Number	Original Issue Date	Status	Effective Date	Expiration Date	Inactivation Reason	License Suspend Begin Date	License Suspend End Date	Copy Rec'd	
Arizona	Insurance Professional	170612	02-10-2004	Active	02-10-2004	03-31-2013				<input type="checkbox"/>	Inactivate
Illinois	Producer	349631	11-25-1997	Active	11-25-1997	03-31-2013				<input type="checkbox"/>	Inactivate
Michigan	Non-Resident Producer		08-28-2000	Active	08-28-2000	03-31-2013				<input type="checkbox"/>	Inactivate
Mississippi	Insurance Producer	405216	10-27-2009	Active	10-27-2009	03-31-2014				<input type="checkbox"/>	Inactivate
Nebraska	Non-Resident Producer	AG308515	12-19-2003	Active	12-19-2003	03-31-2013				<input type="checkbox"/>	Inactivate
New York	Non-Resident Life A&H Agent	9569		Active	03-01-2012					<input type="checkbox"/>	Inactivate
New York	Non-Resident Broker	897600789		Inactive	03-15-2012		Canceled			<input type="checkbox"/>	
New York	Non-Resident Broker Life	06808690		Inactive	03-15-2012		Canceled			<input type="checkbox"/>	
Texas	General Lines Agent	1270027	04-05-2004	Active	04-05-2004	04-05-2014				<input type="checkbox"/>	Inactivate

Writing Company	Appt Type	Status	Status Date	Actions
INSURANCE COMPANY	Carrier Requests	Active	03/01/2012	

"Carrier Requests" appointment remains active, even when licenses that originally supported the appointment become inactive.

Appointment remains active, supported by the last remaining active state license.

Terminating a “Carrier Requests” Appointment

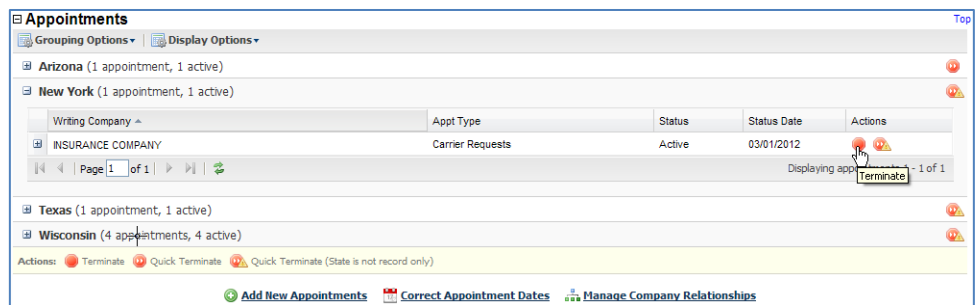
Manually Terminating in Producer Manager

You can terminate a “Carrier Requests” appointment on a producer’s record in Producer Manager using the same steps you would use to terminate any other state-verified or record-only appointment.

In the **Appointments** data section of a selected producer’s record, click the node (⊞) to expand the selected state appointments section.

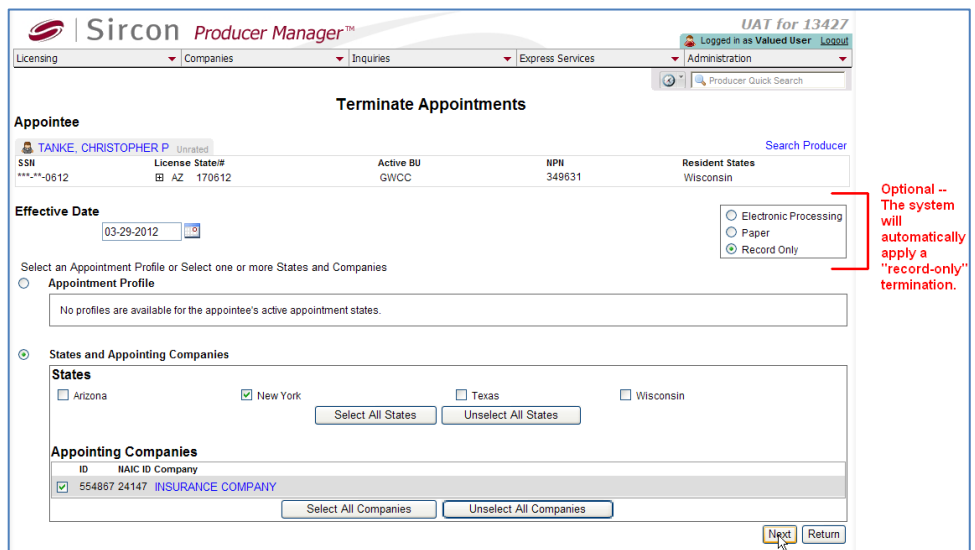


Click the **Terminate** button associated with the “Carrier Requests” appointment. The **Terminate Appointments** page will open.



On the **Terminate Appointments** page, in the **Effective Date** field enter the date on which the producer’s “Carrier Requests” appointment became effective. Use the *mmdyyyy* date format, or click the **Calendar** button (📅) to open a popup calendar from which you can click to select a date.

It is not necessary when terminating the “Carrier Requests” appointment to



select any option from the **Submission Method** box. Even if you accept the default option of Electronic Processing, the system will automatically apply a “record-only” termination to the “Carrier Requests” appointment. Further, rest assured, the system will not submit the termination request to a state.

Click the **Next** button to continue. The **Terminate Appointments** page will update to show additional data fields and controls.

Review the selections on the **Terminate Appointments** page. Note that the system confirms that the request is for termination of a record-only appointment. Do not be concerned that the **Terminate Appointments** page confirms the producer’s license that supports the record-only appointment.

If desired, select an alternate not-for-cause option from the **Termination Reason** dropdown menu.

When you are ready, click the **Save and Continue** button.

Siron Producer Manager™ UAT for 13427
 Logged in as Valued User Logout

Licensing Companies Inquiries Express Services Administration

Produce Quick Search

Terminate Appointments for State: New York

TANKE, CHRISTOPHER P Unrated [Search Producer](#)

SSN	License State/#	Active BU	NPI	Resident States
***-**-0612	AZ 170612	GWCC	349631	Wisconsin

Current Appointments

NAIC ID	Company	Appointment Type	Tied to an Application	Status
24147	INSURANCE COMPANY	Carrier Requests	<input type="checkbox"/>	Active

Select Appointments to Terminate via Record Only

NAIC ID	Company	Appointment Type	
<input checked="" type="checkbox"/>	24147	INSURANCE COMPANY	Carrier Requests

Cost Center

State Cost Center:

NAIC ID	Company	Cost Center
24147	INSURANCE COMPANY	<input type="text"/>

This state requires a license to be identified with the request. Please select one: **Do not be concerned. The request is record-only.**

License	Status	Status Date	License Number
<input checked="" type="radio"/> Non-Resident Broker	Active	03-01-2012	9569

Select the Termination Reason:
Termination Reason

Comments

The **Terminate Appointments** page confirms the processing of the record-only termination request of the “Carrier Requests” appointment.

Appointment Termination Results for State: New York

Appointee
 TANKE, CHRISTOPHER P. Unrated
 SSN: ***-**-0612 License State#: AZ 170612 Active BU: GWCC NPI: 349631 Resident States: Wisconsin

NAIC ID	Company	Cost Center	Appointment Type	Request Type	Request Status
24147	INSURANCE COMPANY		Carrier Requests	Record Only	N/A

Effective Date: 03-29-2012

[Return](#)

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

Note: You may also use the **Quick Terminate** button to process a record-only termination of a “Carrier Requests” appointment. The use of **Quick Terminate** always results in only record-only terminations of appointments, whether the appointments are state-verified, record-only, or internal-use only.

Use caution if a producer holds appointments additional to the “Carrier Requests” appointment in a state-verified appointment state. Use of the **Quick Terminate** button under these conditions may result in the inadvertent, record-only termination of all of the producer’s appointments in that state, including state-verified appointments.

Appointments

Grouping Options | Display Options

Arizona (1 appointment, 1 active)

Writing Company	NAIC...	Appt Type	Status	Status D...	Activ...	Term ...	Term Rea...	Shared Pro...	State Verif...	Record Appt	Actions
INSURANCE COMPANY	24147	Doesn't Appt By LOA	Active	03/22/2...	03/2...				<input type="checkbox"/>	<input checked="" type="checkbox"/>	Quick Terminate

Page 1 of 1 | Displaying appointments 1 - 1 of 1

New York (1 appointment, 1 active)

Writing Company	NAIC...	Appt Type	Status	Status D...	Activ...	Term ...	Term Reas...	Shared Prod...	State Verif...	Record Appt	Quick Terminate (State is not record only)
INSURANCE COMPANY	24147	Carrier Requests	Active	03/01/20...	03/01...				<input type="checkbox"/>	<input checked="" type="checkbox"/>	Quick Terminate (State is not record only)

Page 1 of 1 | Displaying appointments 1 - 1 of 1