Advisor/Agency Tracking
User Guide

SmartOffice®

918 E. Green Street

Pasadena, CA 91106

Web: http://www.ezdata.com

Telephone: (626) 585-3505

Fax: (626) 440-9097
U.S. toll-free fax: (800) 779-3123

Table of Contents

Introduction

The Advisor module is used to store and track detailed information on Advisors, Advisors' State Licenses, Continuing Education, Errors and Omissions information, Contracting/Appointments, and Production. It also maintains additional agency-defined Advisor requirements. The Agency module is used to store and track Licensing, Contracting, and Appointment information of Agencies as well as linked Advisors that are working under the Agency. The Advisor/Agency modules consist of the following sections:

- Summary
- Personal/Production Dashboard
- Additional
- Key Relations
- License/E&O
- Cont./Appt. (Contract and Appointment)
- Production
- Ind. Policy
- Group Policy
- Letters/Documents
- Fulfillment
- Request/Requirement
- Proposal Tracking
- Custom

User Management and Roles

Access to the Advisor/Agency module requires that the **Base SmartOffice** option is selected from the User Management – User Roles/Licenses tab. Users can be set up with the Full role in order to add, modify, and delete data, or a Read-only role that enables the user to view Advisor/Agency information. The Advanced Advisor Management Features section provides more control over the features a specific user can access.

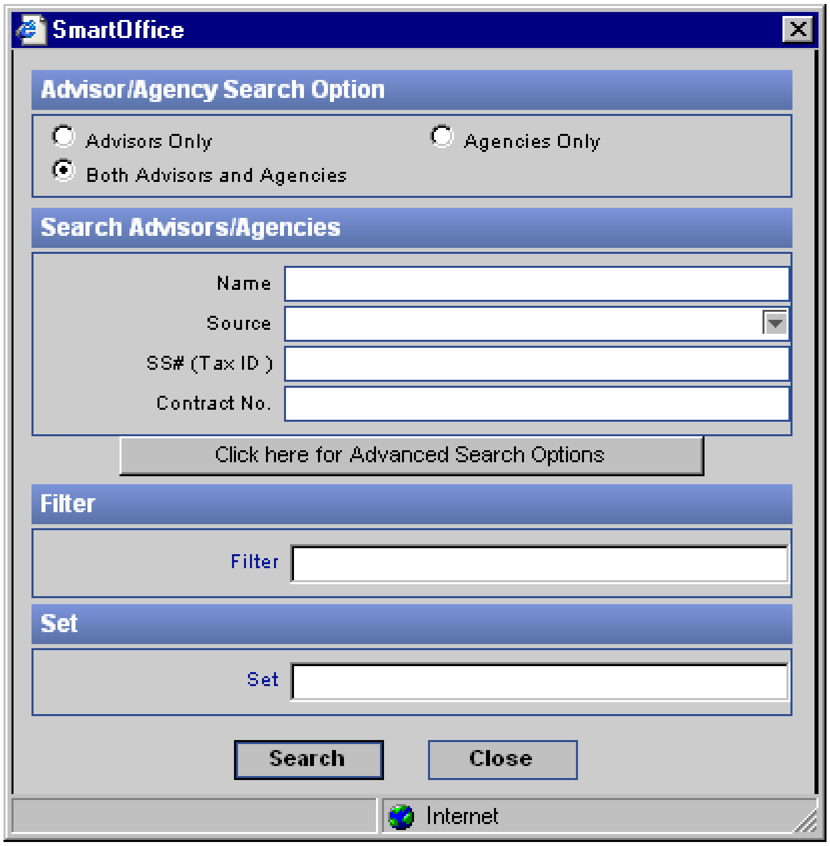
For more information on user management roles and licenses, refer to the *SmartSecurity User Guide*.

Accessing the Advisor/Agency Module

- In the Quick Add/Search section, select **Advisor/Agency**, **Advisor**, or **Agency** from the drop-down list and then click the **GO** button.
- Select **Advisor/Agency** from the side menu and then select **Advisor/Agency Search** from the expanded list.
- From the Policy module, click the **Primary Advisor** hyperlink.
- From the Pending Case Management module, click the **Primary Advisor** hyperlink.
- From the Individual Contact module, click the **Primary Advisor** hyperlink.
- From the Business Contact module, click the **Primary Advisor** hyperlink.

Advisor/Agency Search Window

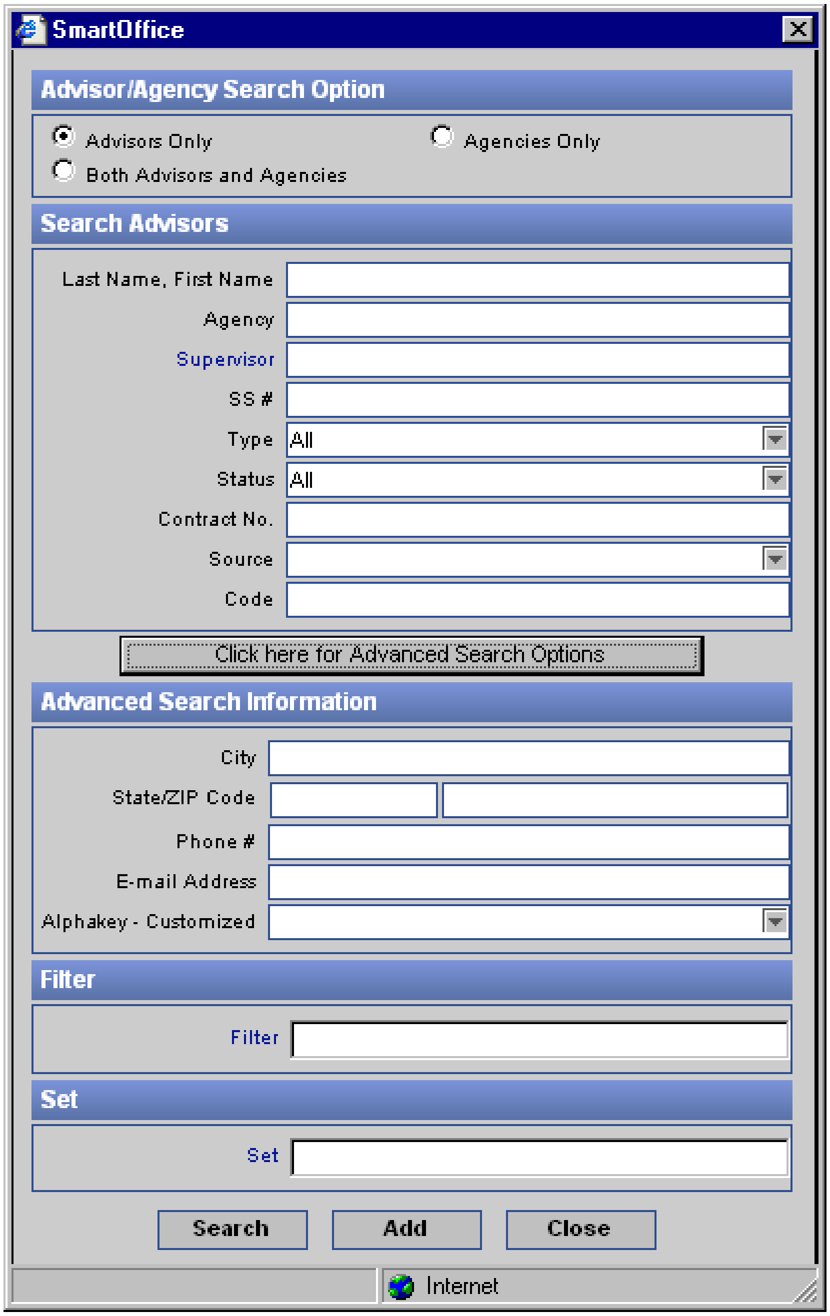
Select **Advisor/Agency Search** from the expanded **Advisor/Agency** menu to open the Advisor/Agency Search Option dialog box.



- Click the **Advanced Search Options** button to search by address or phone number.
- Click the **Search** button without entering any search criteria to display the Advisor/Agency Summary.
- Enter a specific Name, Source, SS# (TaxID), Contract No., etc. to display the Advisor/Agency Summary for the specified criteria.

Advisor Search Window

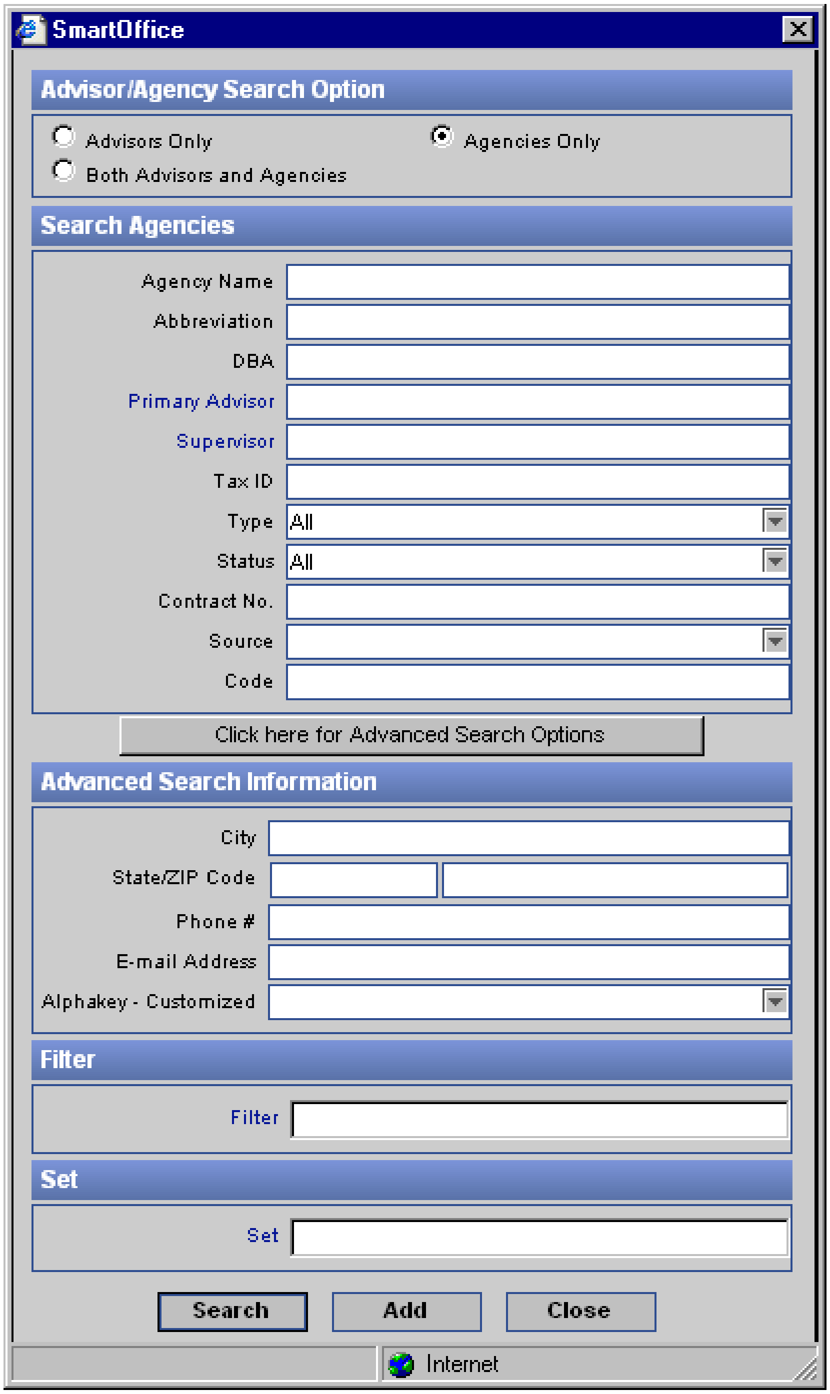
Select the **Advisors Only** option in the Advisor/Agency Search Option dialog box and then click the **Advanced Search Options** button to search for Advisors by address or phone number.



- Click the **Search** button without entering any search criteria to display the Summary for all Advisors.
- Enter a specific Name, Employer, Supervisor, SS#, Type, Status, Contract No., Source, Code, etc., to display the Summary for the specified criteria.

Agency Search Window

Select the **Agencies Only** option in the Search Advisors/Agencies dialog box and then click the **Advanced Search Options** button to search for Agencies by address or phone number.

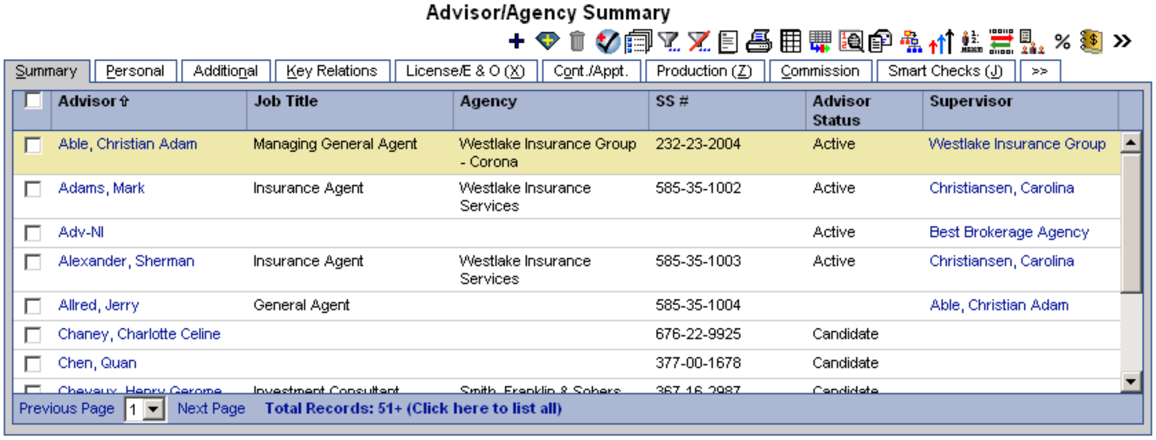


- Click the **Search** button without entering any search criteria to display the Agency Summary.
- Enter a specific Agency Name, Abbreviation, DBA, Supervisor, Tax ID, Type, Status, Contract No., Source, Code, etc., to display the Summary for the specified criteria.

Advisor/Agency Summary

The Advisor/Agency Summary lists all the Advisors and Agencies available in the Office. At the bottom of the window, the system calculates the number of records displayed and the total number of records. The information displayed on the Summary can be customized through sorting and filters, as well as column customization to display additional information. For additional menu options, click the **More Features** button. The Advisor/Agency records having an Inactive status are displayed with a red background.

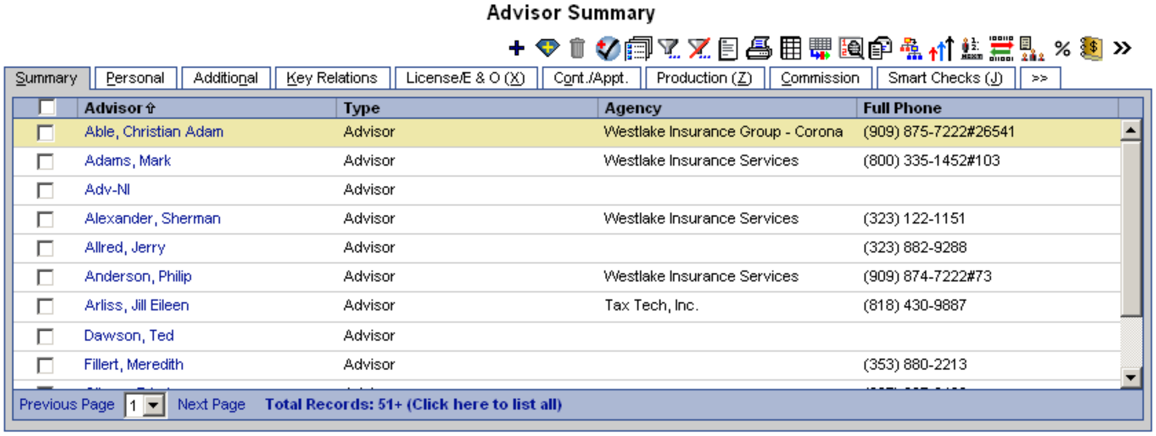
Advisor/Agency Summary



Advisor Summary

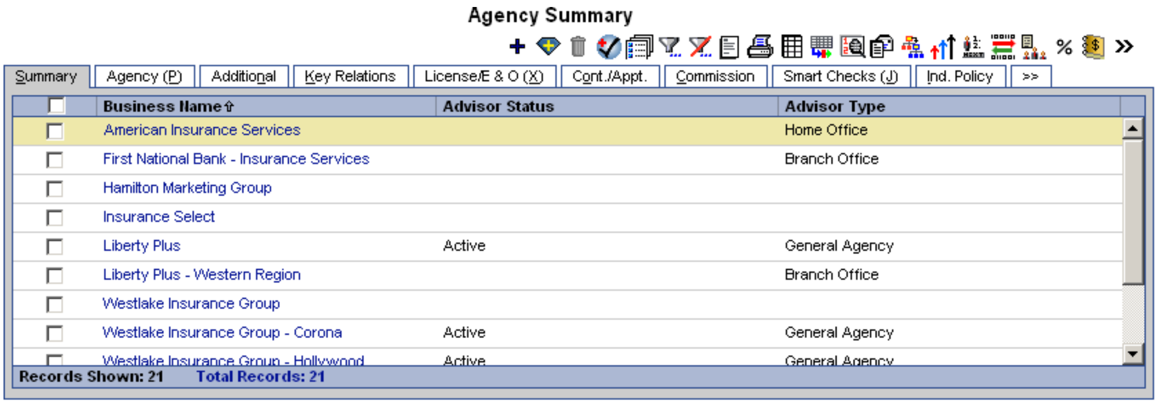
The Advisor Summary lists all of the Advisors available in the Office. Select multiple Advisors by marking the checkboxes next to the Advisor record(s).

Advisor Summary



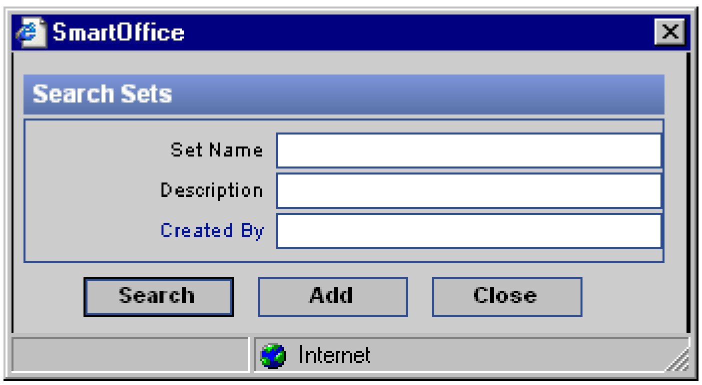
Agency Summary

The Agency Summary lists all of the Agencies available in the Office. Select multiple Agencies by marking the checkboxes next to the Agency record(s).

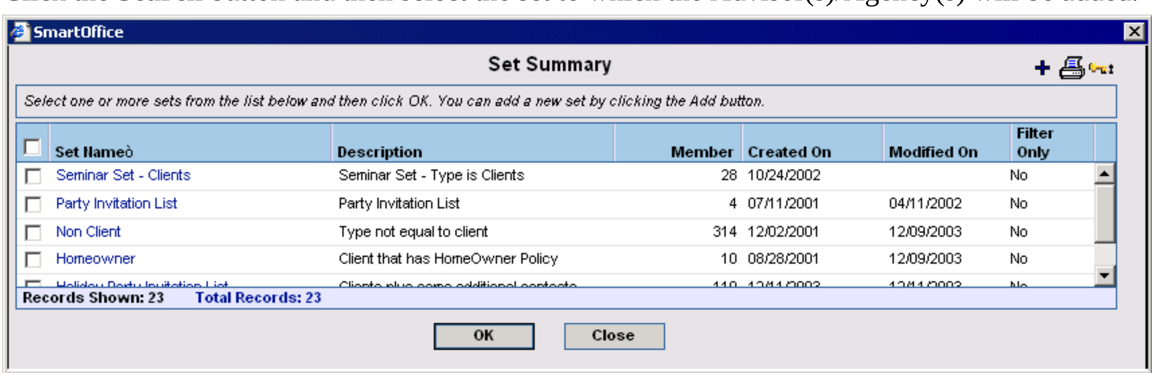


Add to Set Button

A set is a user-specified grouping. Click the **Add to Set** button to add the selected Advisors/Agencies to a set. One or more Advisors/Agencies must be selected before using this feature.

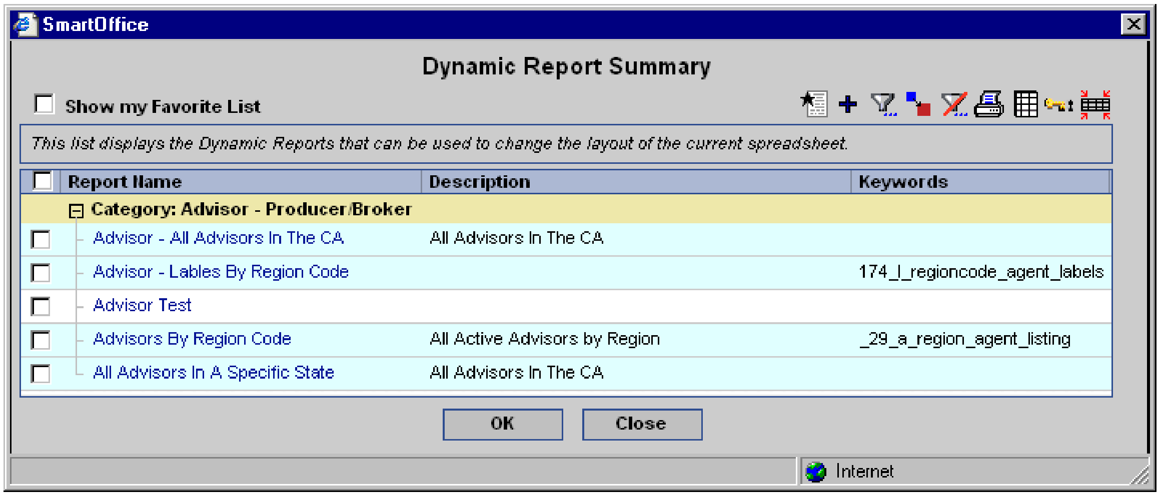


Click the **Search** button and then select the set to which the Advisor(s)/Agency(s) will be added.



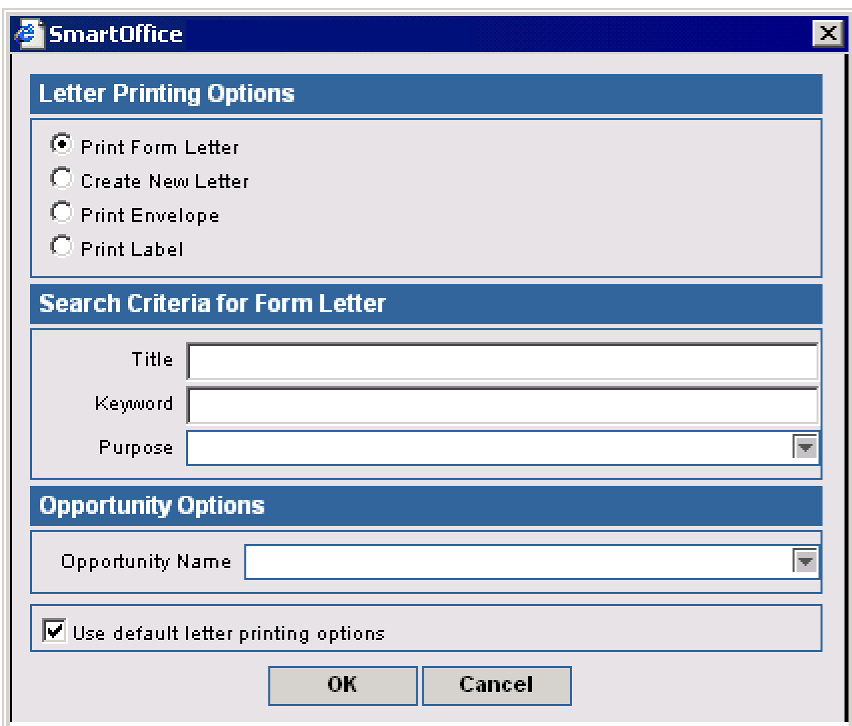
Run Dynamic Report Button

Users can develop and define their own reports using the user-definable Dynamic Reports feature. Customize advisor reports by retrieving the data from the available columns in these tables: Advisor, Agency, Advisor Basic Info, Agency Basic Info, Supervisor Basic Information, Agent Custom Table, etc. Filters can also be set up to further streamline the reports.



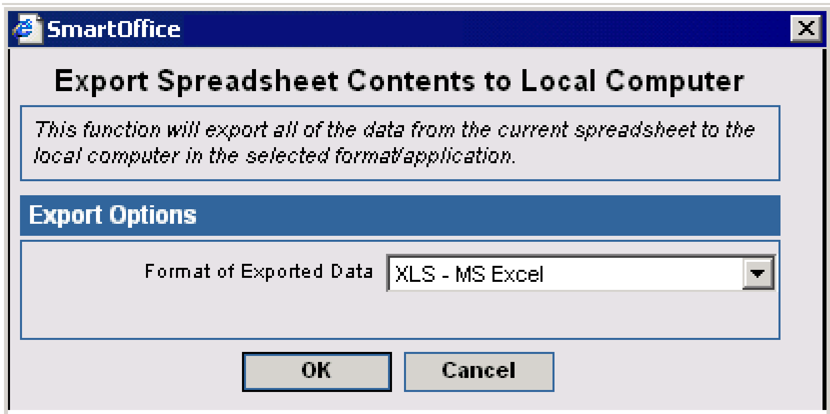
Mass Correspondence Button

To send a letter to all selected Advisors/Agencies, click the **Mass Correspondence** button to open the Letter Printing Options dialog box.



Spreadsheet Export Button

The Spreadsheet Export button is used to export all of the data from the current spreadsheet to the local computer in a specific format. Formats available are Microsoft® Excel®, CSV, XML, and Tab Separated. Select **XLS – MS Excel** from the Format of Exported Data drop-down list to display an Excel spreadsheet displaying current spreadsheet data.

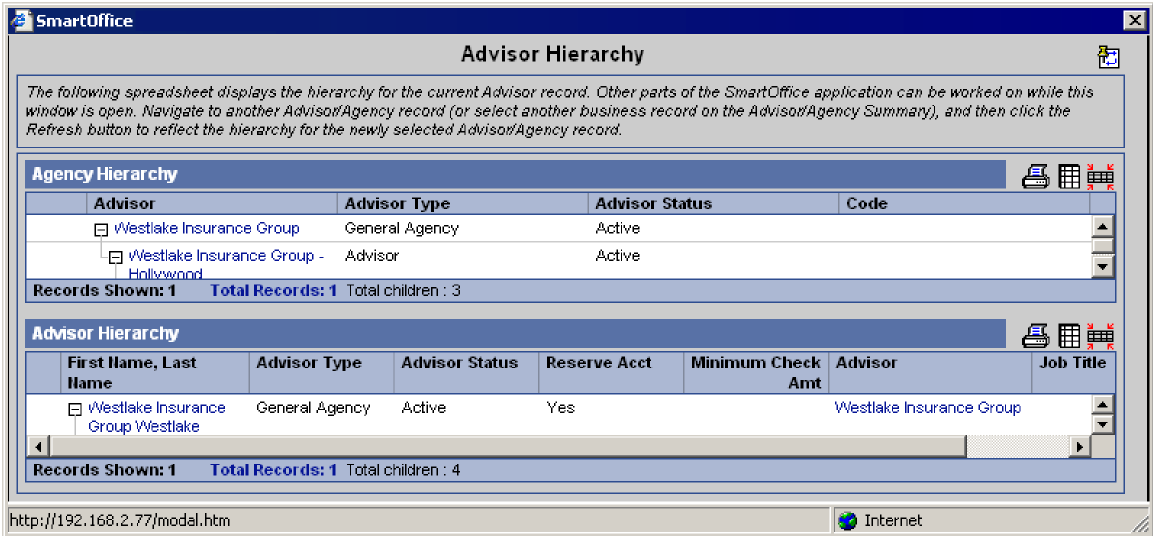


Compose E-mail Button

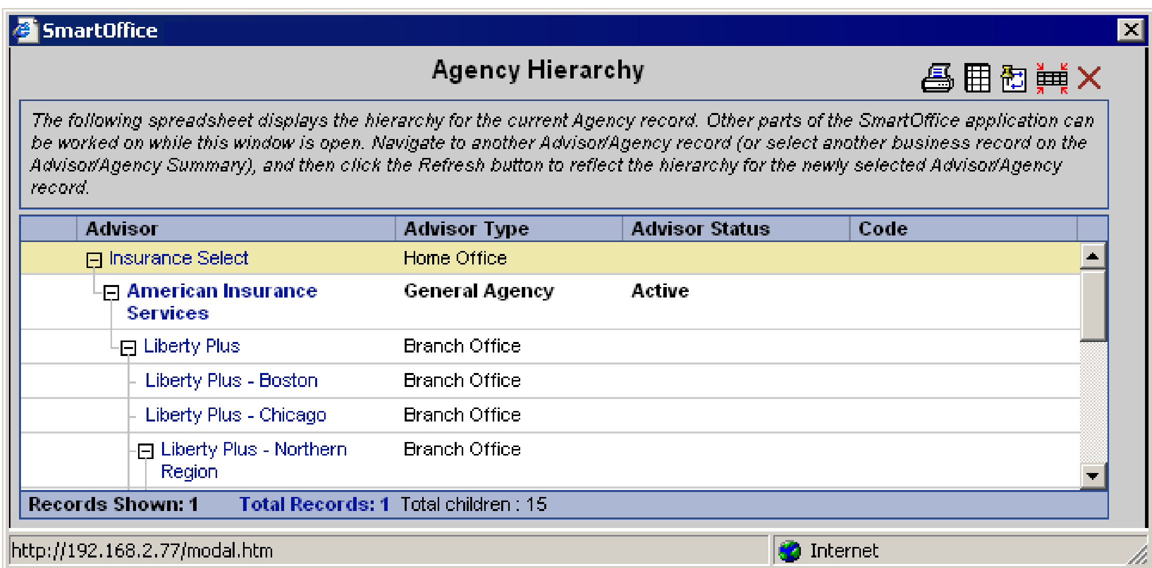
To send e-mail to all selected Advisors/Agencies, click the **Compose E-mail** button to open the Compose Mail Options dialog box.

Hierarchy Button

To display the hierarchy for the selected Advisor, click the **Hierarchy** button.



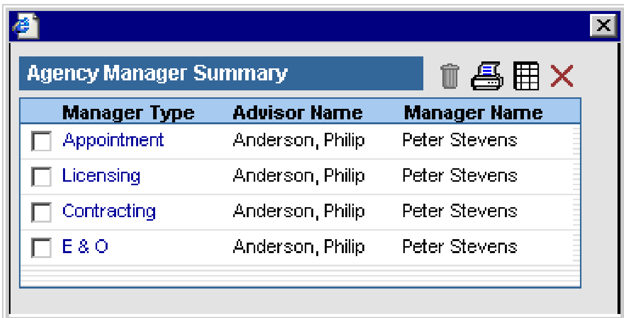
To see the hierarchy for the selected Agency, click the **Hierarchy** button.



Agency Manager Setup Button

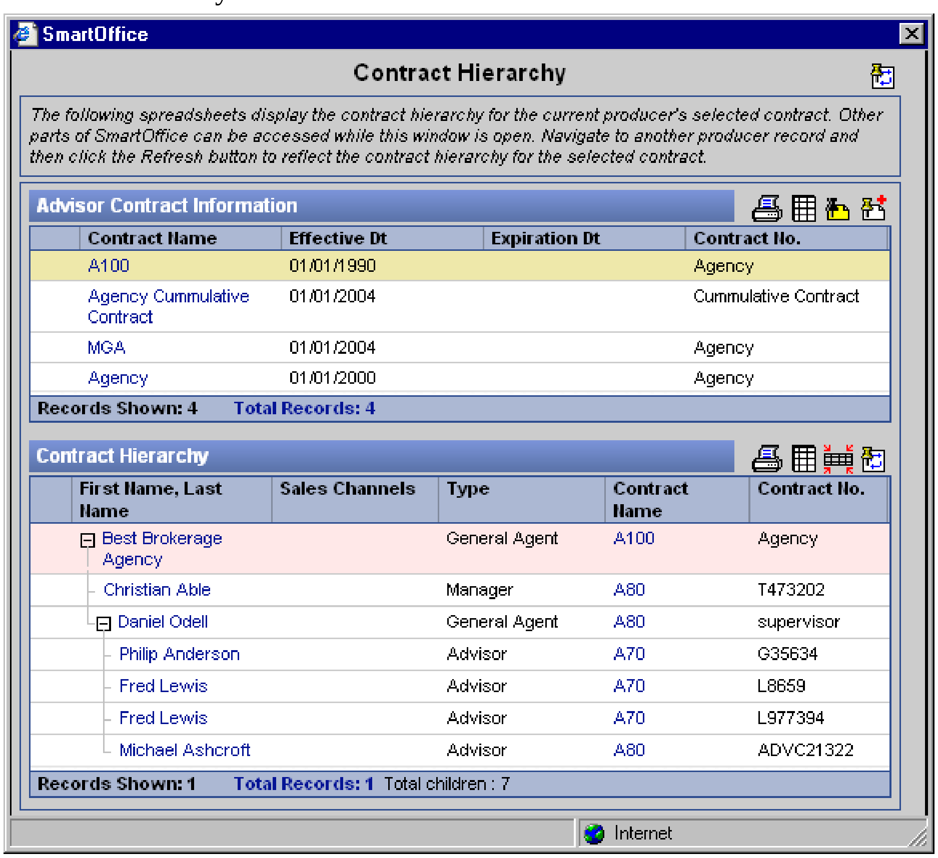
The Agency Manager Setup button tracks the agency managers who are responsible for the different types of requests for the selected Advisor. In the below example, Peter is responsible for Philip Anderson’s appointment and contracting information, while Peter is also responsible for Philip’s Licensing and Error & Omissions insurance.

For more information on Advisor Request functionality and the Agency Manager Role, refer to the *SmartOffice v5.1.3 – Advisor/Agency Requirements Logic User Guide*.



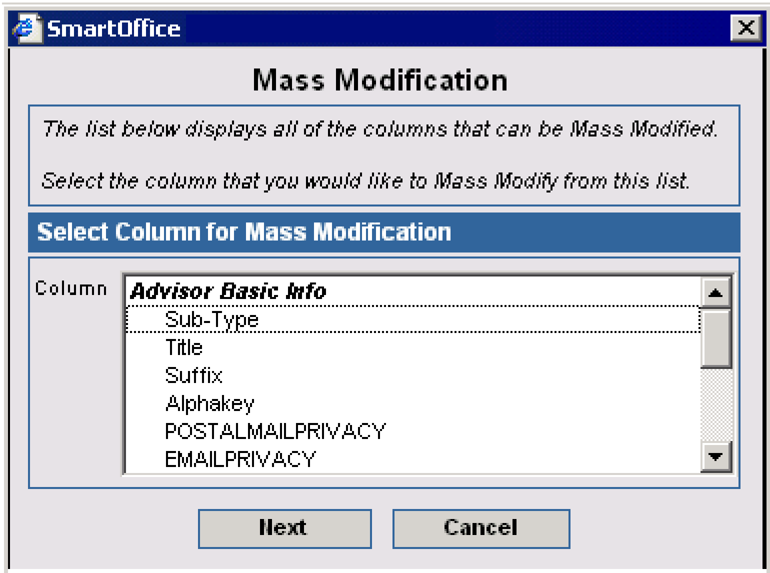
Contract Hierarchy Button

Click the **Contract Hierarchy** button to open a Contract Hierarchy dialog box with two sections; the first section is the Advisor Contract Information section. This displays all of the Advisor Contract records that are present in the Advisor Contract Information section. The corresponding Contract Hierarchy is displayed in the Contract Hierarchy section. After selecting the Advisor Contract, click the **Reload** button to display the Contract Hierarchy for the selected advisor in the Contract Hierarchy section.



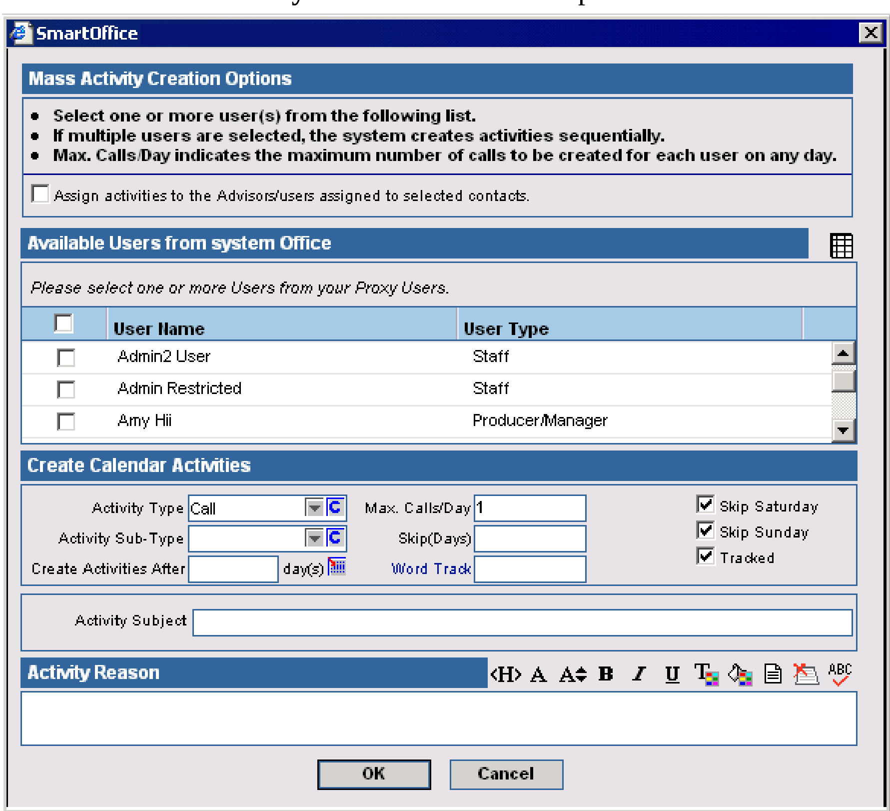
Mass Modify Button

To modify a column for all selected Advisors/Agencies, click the **Mass Modify** button from the **More Features** expanded list. Select a column for Mass Modification and then click the **Next** button. Enter the Value for the selected column to change the value for the specified Advisors.



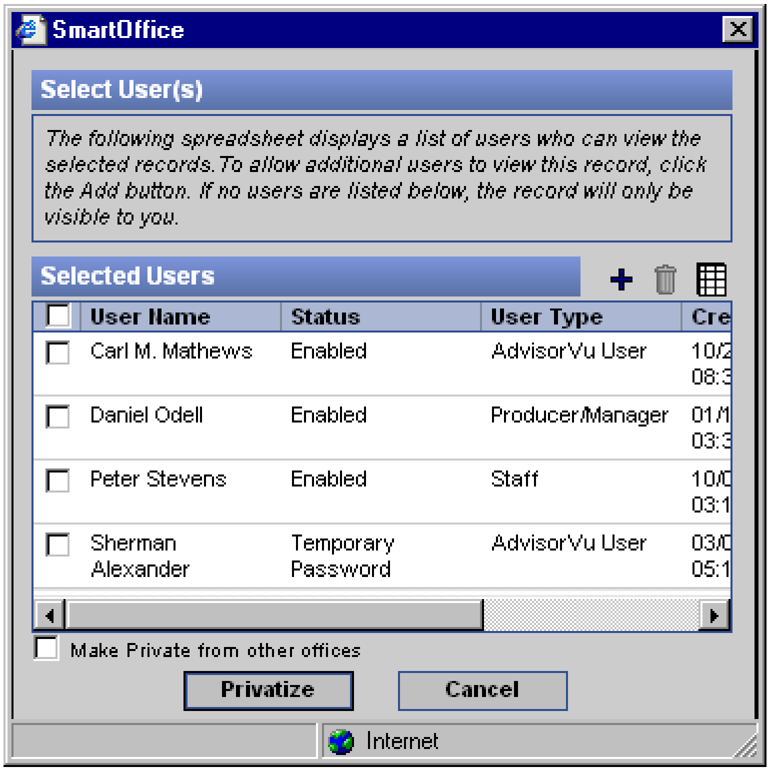
Mass Activity Creation Button

To mass create activities for selected Advisors/Agencies, select the **More Features** button and then select **Mass Activity Creation** from the drop-down list.



Record Privacy Button

The Record Privacy feature is used to make the selected Advisor/Agency record visible to specified users only. Select the **More Features** button and then select **Record Privacy** from the drop-down list to open the Mark Selected Record as Private dialog box.



Assign Contacts to the Current Advisor Button

The Assign Contacts to the Current Advisor feature is used to create user assignments for all the contacts and policy records if the current advisor is the advisor-user and is assigned as a Primary Advisor for the Contact or Policy. With these assignments, all of the selected contacts become visible to the current advisor-user and after completion of the assignment process, the “Contacts are assigned to current Appuser Advisor” prompt displays. If the current Advisor is not an advisor-user then the “The Selected Advisor does not have a SmartOffice login” prompt displays.

Advisor Merge Button

The Advisor Merge functionality is used to remove any possible duplicate Advisor records found in SmartOffice by merging two matching advisor records into one. To merge two advisors, select **More Features** and then click the **Advisor Merge** button from the expanded list. The current advisor is the target advisor. The Select Merge Option dialog box opens; select the **Show search dialog box for random search** option to open the Search Advisors dialog box. The Advisor Summary opens; select an Advisor to open the Contact Merge dialog box. Click the **OK** button to display the conflicting field values. The user can select the Overwrite Target value options to overwrite the existing values. Click the **OK** button to merge. The program prompts before deleting the source record.

E-mail Case Status Button

The E-mail Case Status feature enables a user to send the Pending Case status updates by e-mail to all of the Advisors/Agencies or selected Advisors/Agencies that currently have a case in the Pending Case module. The functionality is a ‘one-click’ way to update selected Advisors/Agencies on pending case information, providing for a streamlined reporting mechanism of weekly statuses with minimal setup.

SmartView for Advisor User Management Button

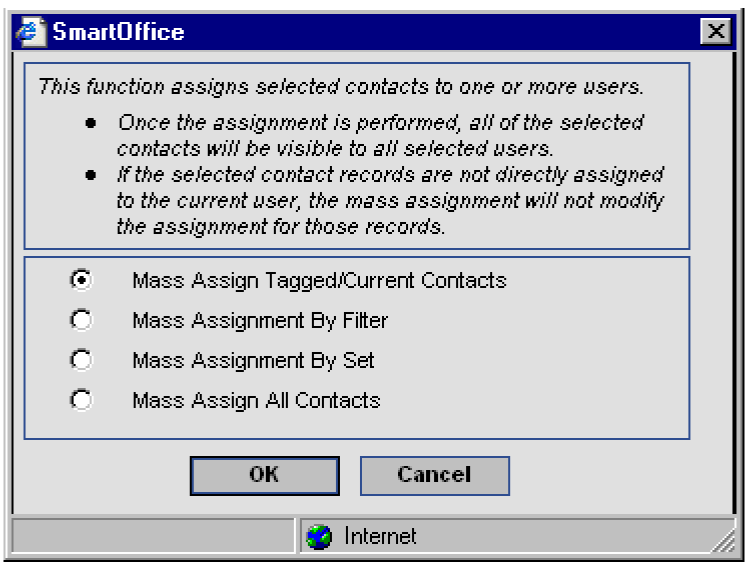
The SmartView for Advisor Management button is used to create SmartView for Advisor users. A SmartView for Advisor user can be shown the status of their Pending Cases and Policies without giving them direct access to modify the data at their level. The SmartView for Advisor User Management button can also be used to delete or generate a password for a SmartView for Advisor user.

Find Contacts with Matching Profile Button

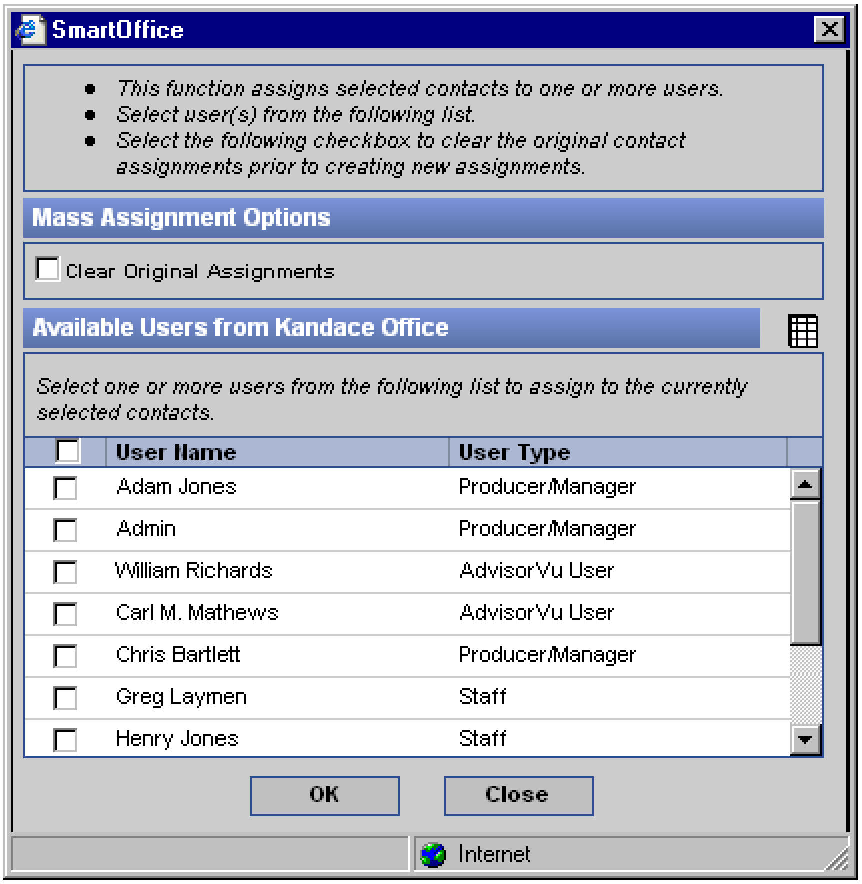
To find Contacts, Advisors, or Agencies with a matching profile, select a record and then click the **Find Contacts with Matching Profile** button. The Matching Profile Summary dialog box opens to display a list of pre-defined profiles in the Profile Name section. The user is able to add, modify, and delete profiles used to match Contacts. Examples of Matching Profiles include all Advisors that are employed by the same employer and those that have the same primary address or ZIP code as the selected contact.

Mass Assignment Button

The Mass Assignment feature is used to assign multiple Advisor/Agency records to a user. From the Advisor/Agency Summary tab, click the **More Features** button and then select **Mass Assignment** from the drop-down list to open the Mass Assignment Options dialog box. Select an option and then click the **OK** button. It is not necessary to select an Advisor/Agency before using this feature.



Note that only the current logged-in user and any users for whom the current logged-in user proxy are displayed. Select the checkbox for the appropriate user and then click the **OK** button.



Advisor Reassignment Button

The Advisor Reassignment feature is used to reassign all of the Contacts and Holdings from one Advisor to another. For the Reassignment process, the current advisor must be the Primary Advisor for the Contacts; the Holdings include Pending Case, Policy, and Account Master information. The Advisor Reassignment button lists all of the contacts and holdings assigned to the current Advisor. The user is then given the option to re-assign them to one or more Advisors.

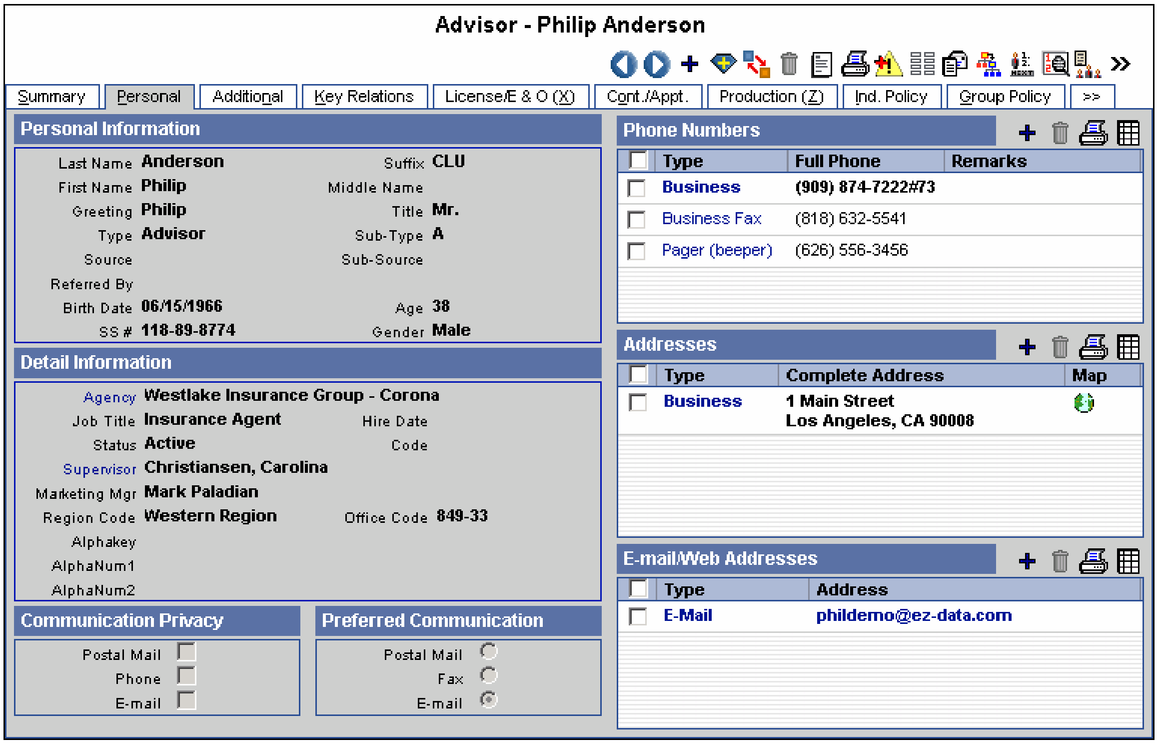
Advisor Diary Functionality

The Advisor Diary functionality has been added to log specific actions to the Advisor record in the SmartPad. This enables a chronological view of specific important events regarding an Advisor. The following actions generate an Advisor Diary note in the SmartPad:

- Advisor Status Change
- Case Submittal
- Advisor License Added
- Advisor Contract Added
- Advisor Appointment Added
- Advisor Proposal Added
- Advisor Hierarchy Change

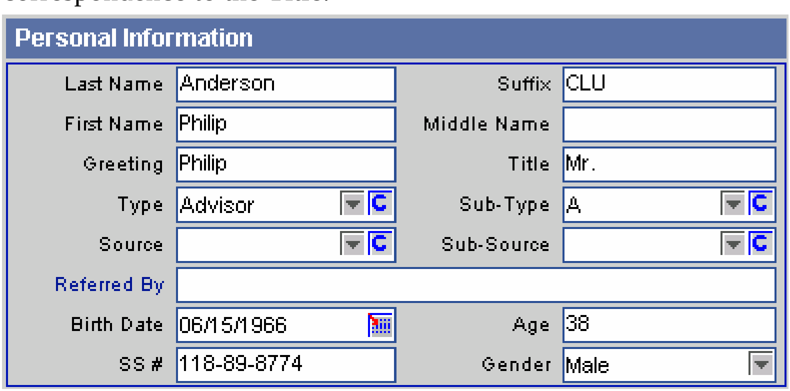
Advisor Personal Tab

Advisor-specific information such as Personal, Detail, Phone List, Address List, and E-mail/Web Address information is entered on this tab.



Personal Information Section

The Personal Information section is used to track personal information such as the Advisor's Name, Greeting, Birth Date, and Marital Status. The Gender field will automatically change in correspondence to the Title.

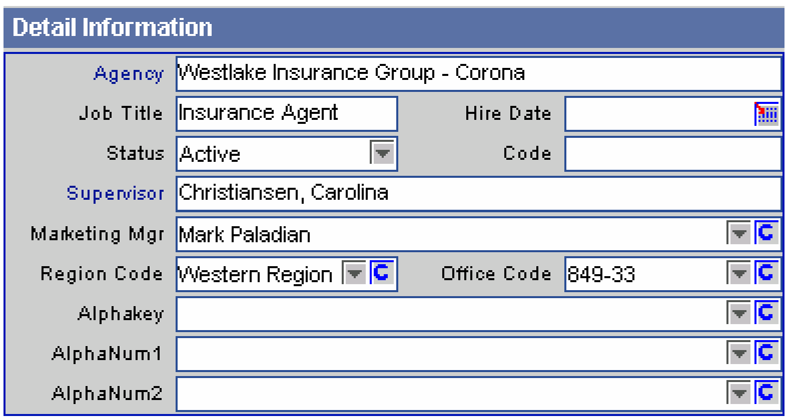


Detail Information Section

The Detail Information section tracks an Advisor's basic detail information. The Agency can be linked to an Agency contact record for full hierarchal viewing or it can be manually entered just for reference. Entering employer information automatically creates a Business Relation record on the Key Relations tab and adds the current Advisor to the Agency Hierarchy under the selected Agency.

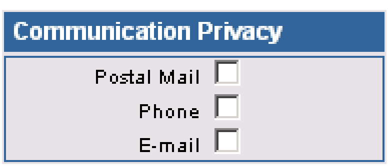
With a blank Agency field, click the **Agency** hyperlink to open the Search Agencies dialog box in order to add an Agency. Once selected, the Agency's record can be viewed and modified by clicking the Agency hyperlink.

The Status field identifies the Advisor's current status. The Supervisor field is used to link the Advisor to another Advisor or Agency as a Supervisor. This information is used as a default value when creating contracts. Information in the Marketing Manager, Region Code, and Office Code fields is used as default values when a new Pending Case or Policy is created. The Alphakey and AlphaNum fields can be customized with any additional data that needs to be tracked.



Communication Privacy Section

The Communication Privacy section indicates the form of communication with which the Advisor does not want to receive correspondence. For example, selecting the E-mail option indicates that the Advisor does not want to be contacted by e-mail.



When an e-mail correspondence is run, a prompt will warn that the Advisor does not want to receive e-mail.

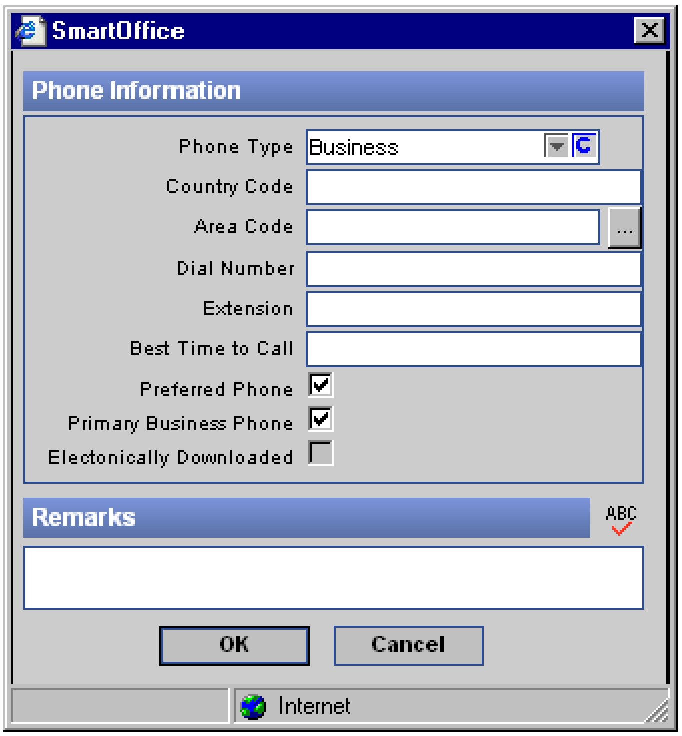
Preferred Communication Section

The Preferred Communication section indicates which form of communication the Advisor prefers. For example, select **Postal Mail** to use Postal Mail as the default method when a correspondence is generated.

Phone Numbers Spreadsheet

Any phone numbers associated with an Advisor are tracked in the Phone Numbers section. Some of the phone types are Residence, Business, Vacation, Business Fax, Corporate Office, Emergency, Temporary, Marine, Mobile, Modem/Data line, Pager (Beeper), Regional Office, Residence Fax, and Other.

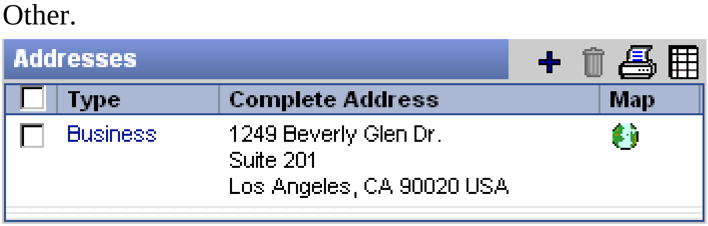
To add a phone number, click the **Add** button.



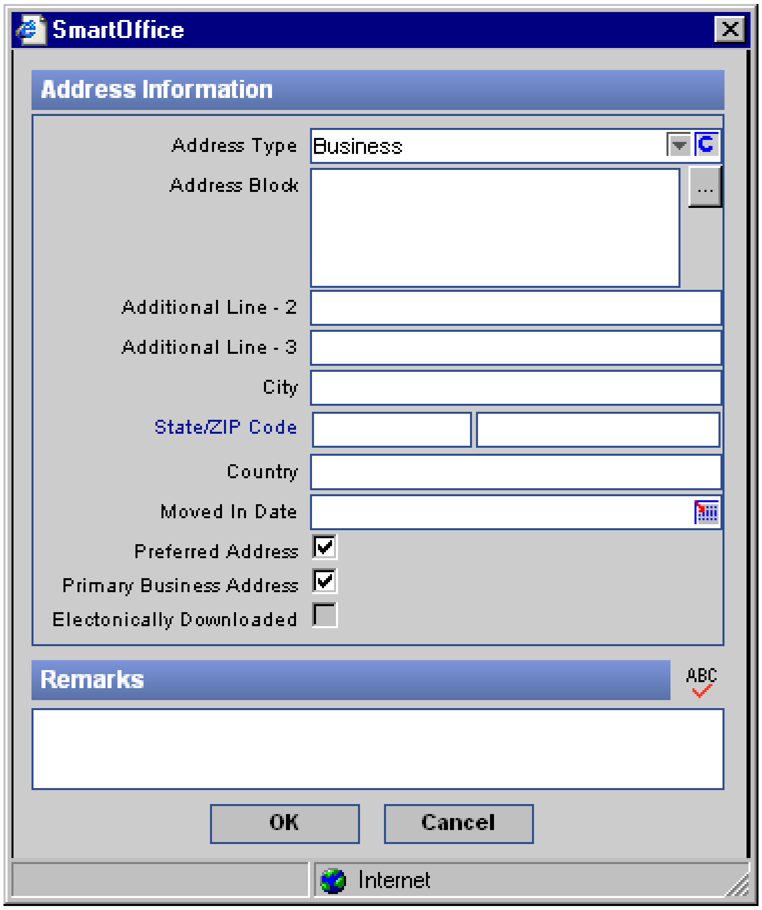
When dialing an Advisor, the program will use the number that has the **Preferred Phone** option selected.

Addresses Section

Any addresses associated with an Advisor are tracked in the Addresses section. These include Residence, Business, Previous, Regional Office, Residence, Billing, Temporary, Vacation, and Other.

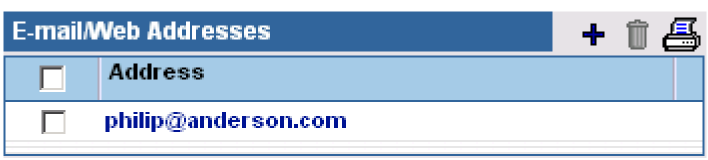


To add an address, click the **Add** button. When sending a correspondence to an Advisor, the program will use the address that has the Preferred Address option selected.

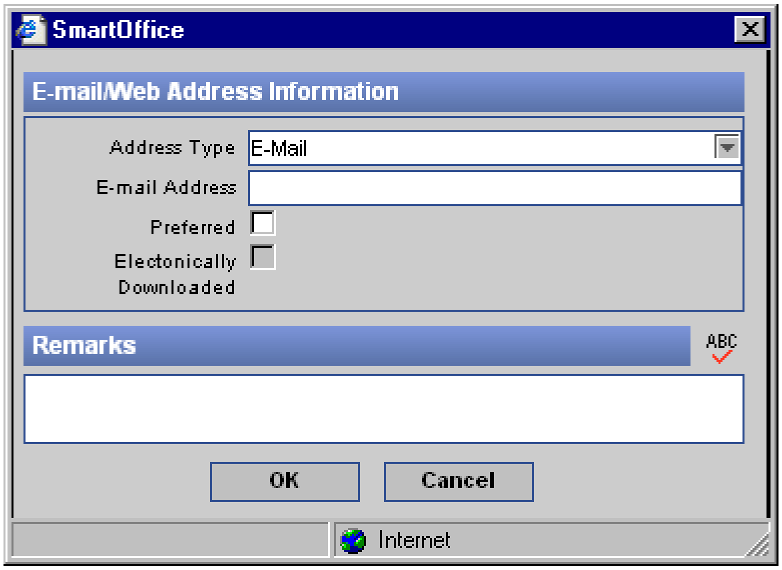


E-mail/Web Address Section

E-mail and Web addresses are stored in this section.

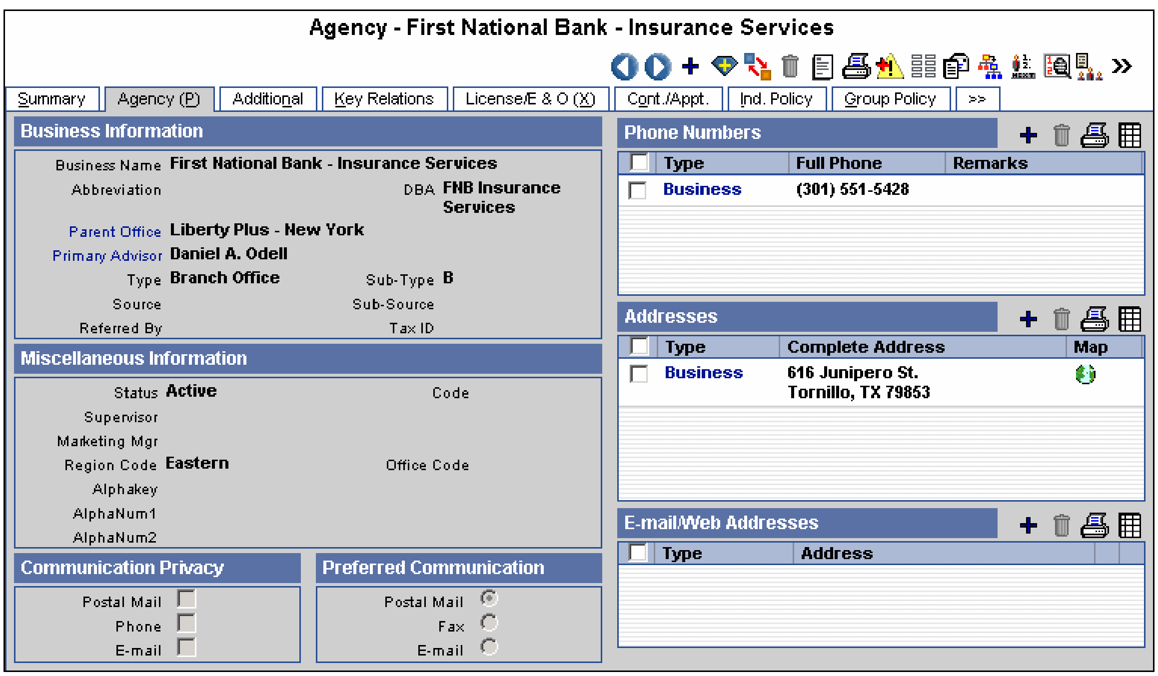


Click the **Add** button to add an E-mail or Web address. When sending e-mail, the program will use the address that has the Preferred Address option selected.



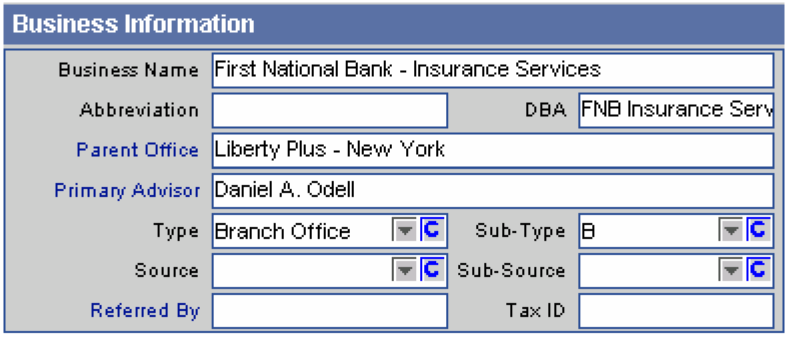
Agency Detail Tab

Agency-specific information such as Business, Miscellaneous, Phone List, Address List, and E-mail/Web Address information is entered on this tab.



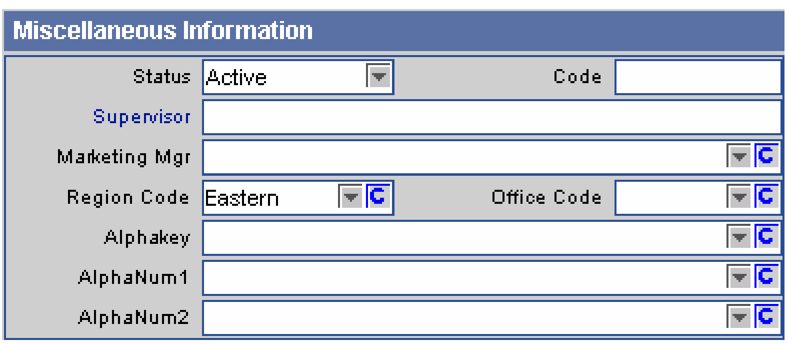
Business Information Section

The Business Information section is used to track Business information such as the Agency's Name, Abbreviation, DBA (Doing Business As), Parent Office, Primary Advisor, and Tax ID. The Parent Office field is linked to an Agency record that exists above the current Agency in a hierarchy. The Primary Advisor field is linked to an Advisor record. If this field is blank, click the **Primary Advisor** hyperlink to add or select an Advisor.



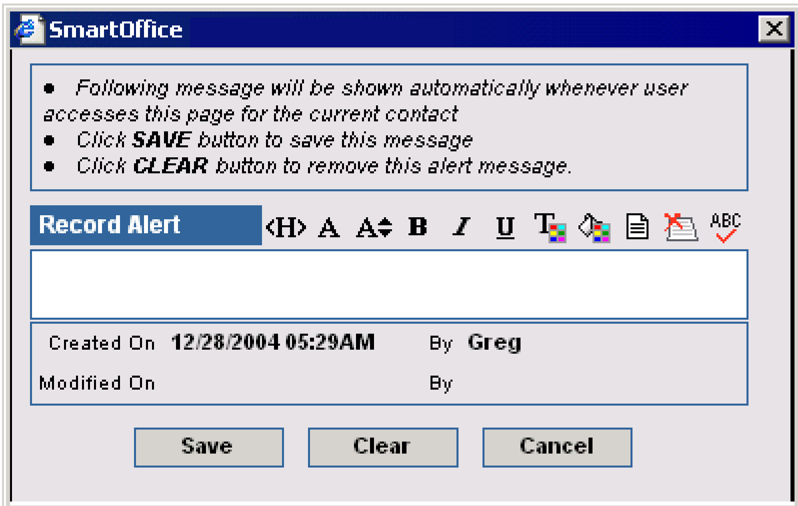
Miscellaneous Information Section

The Miscellaneous Information section tracks Agency Status, Supervisor, and Alphanumeric information along with the Marketing Mgr, Region Code, and Office Code information. The Supervisor field is used to link the Agency to another Advisor or Agency as a Supervisor. This information will be used as a default value when creating contracts. Information in the Marketing Manager, Region Code, and Office Code fields is used as default values when a new Pending Case or Policy is created. The Alphakey and AlphaNum fields can be customized for any additional data that needs to be tracked.



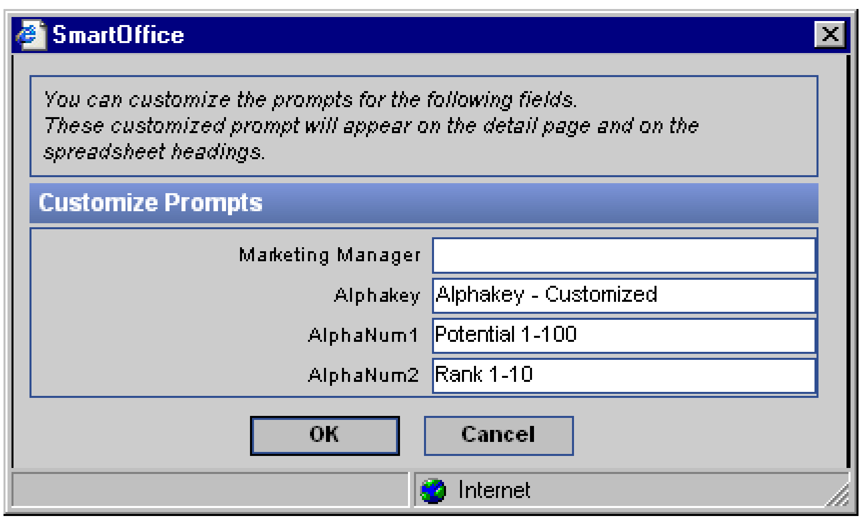
Add Record Alert Button

Whenever the user accesses the Advisor Personal tab, the Record Alert dialog box opens as a reminder that something important needs to be addressed. To add a new Record Alert, click the **Add Record Alert** button to open the corresponding dialog box. Enter the Record Alert and then click the **Save** button. To delete a record alert, click the **Clear** button in the Record Alert dialog box.



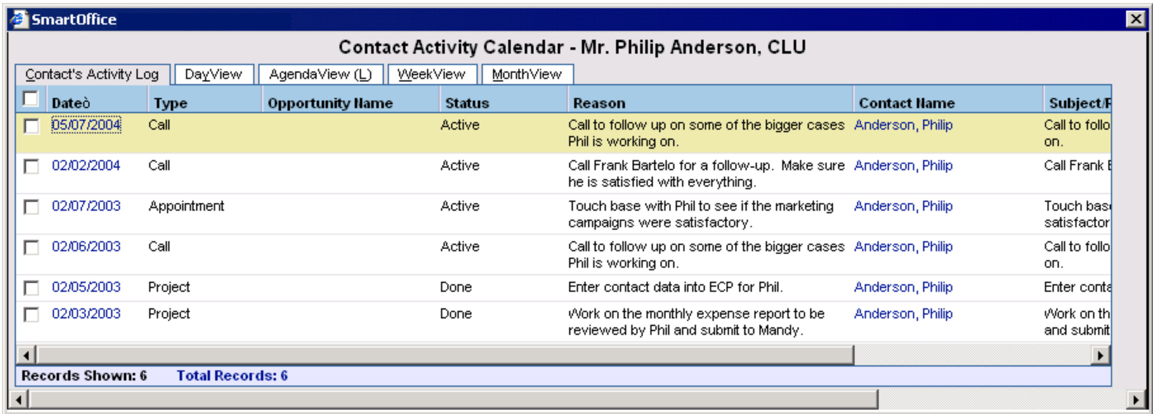
Customize Label Button

The Alphakey field name can be edited by clicking the **Customize Label** button. Enter a new field label and then click the **OK** button.

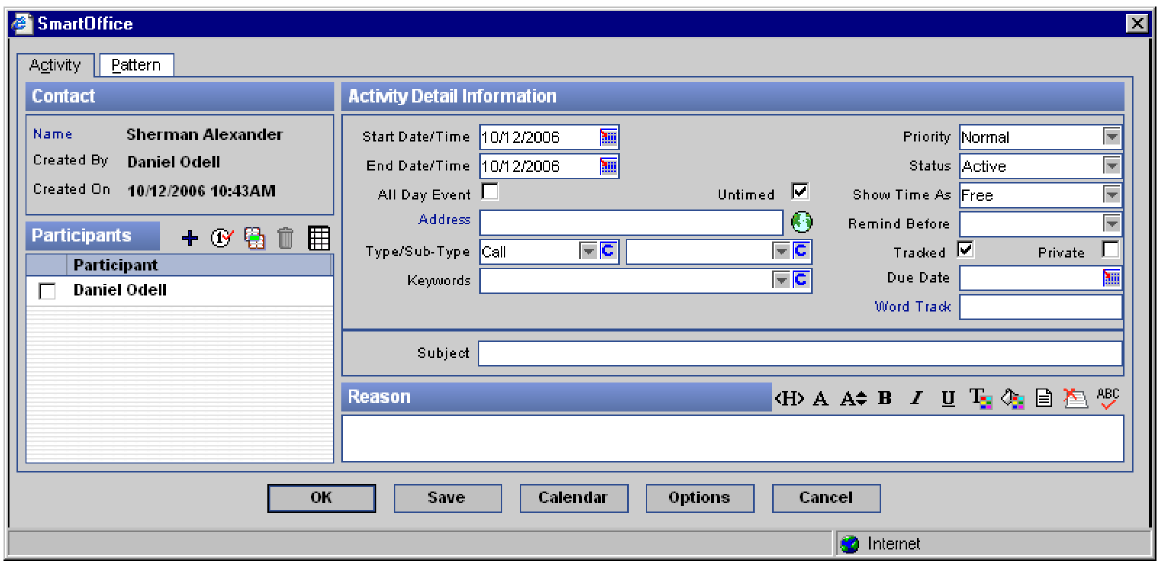


Activity Log Button

Activities are used to remind users of scheduled events. Activities can be designated as phone calls, appointments, projects, or personal. An activity log stores all activities that are, or have been scheduled. The Advisor's/Agency's activity log is displayed by selecting the **Activity Log** button. This button is available from all Advisor/Agency tabs except the Production, Ind. Policy, and Group Policy tabs.

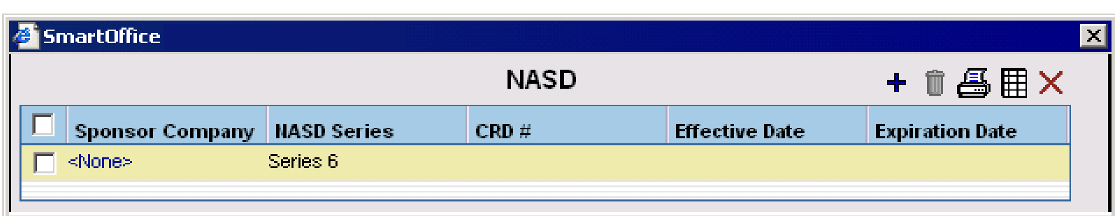


Click the **Add** button to add a new activity.

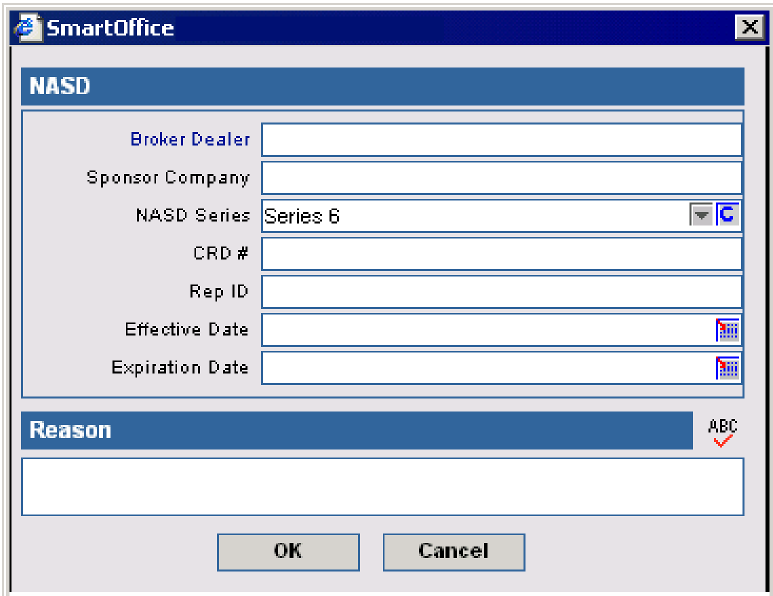


Broker Dealer Button

To display NASD (National Association of Security Dealers) information for the selected Advisor/Agency, from the Advisor/Agency Personal tab, select the **More Features** button and then click the **Broker Dealer** button.



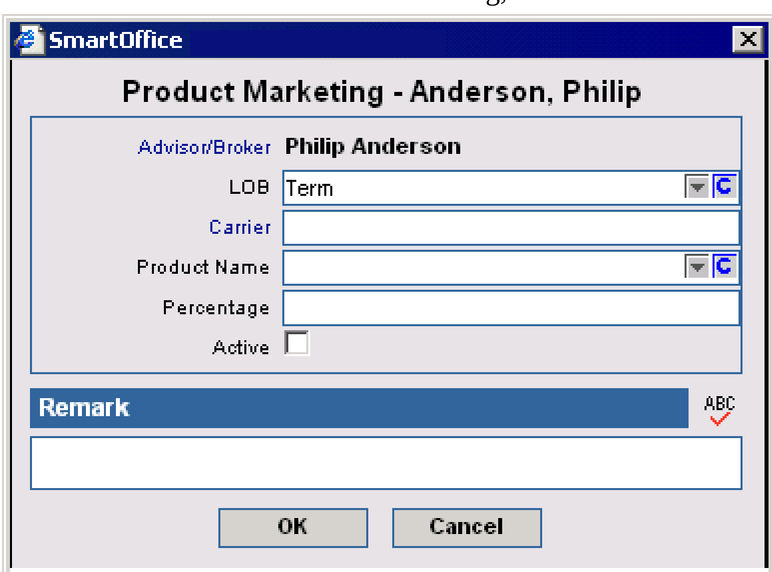
To enter additional NASD information, click the **Add** button. The NASD Series field consists of two choices – Series 6 and Series 7. Series 6 is a test that registers an individual to transact a limited seat of securities. Series 7 is the General Securities Registered Representative License, required to sell all types of products.



Product Marketing Button

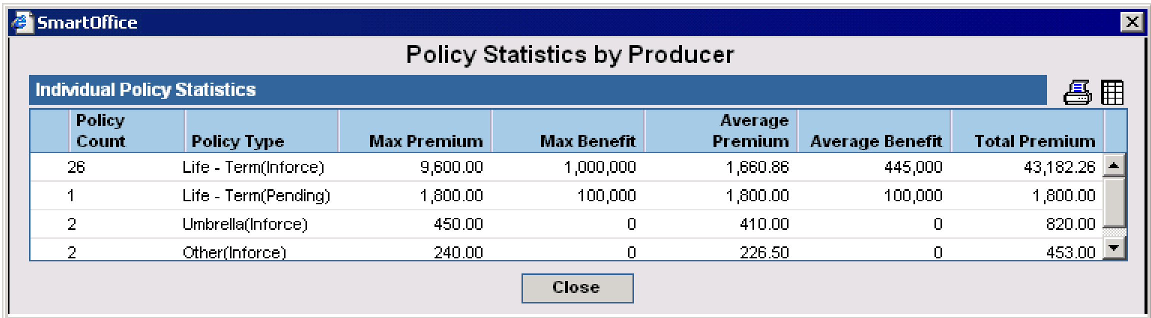
To display Product marketing information from the Personal tab of the Advisor/Agency, select the **More Features** button and then select **Product Marketing** from the expanded list.

To add information for Product Marketing, click the **Add** button.



Advisor Policy Statistics Button

To display information regarding the policies for which the selected Advisor is the Primary Advisor, click the **More Features** button and then select **Advisor Policy Statistics** from the expanded list.

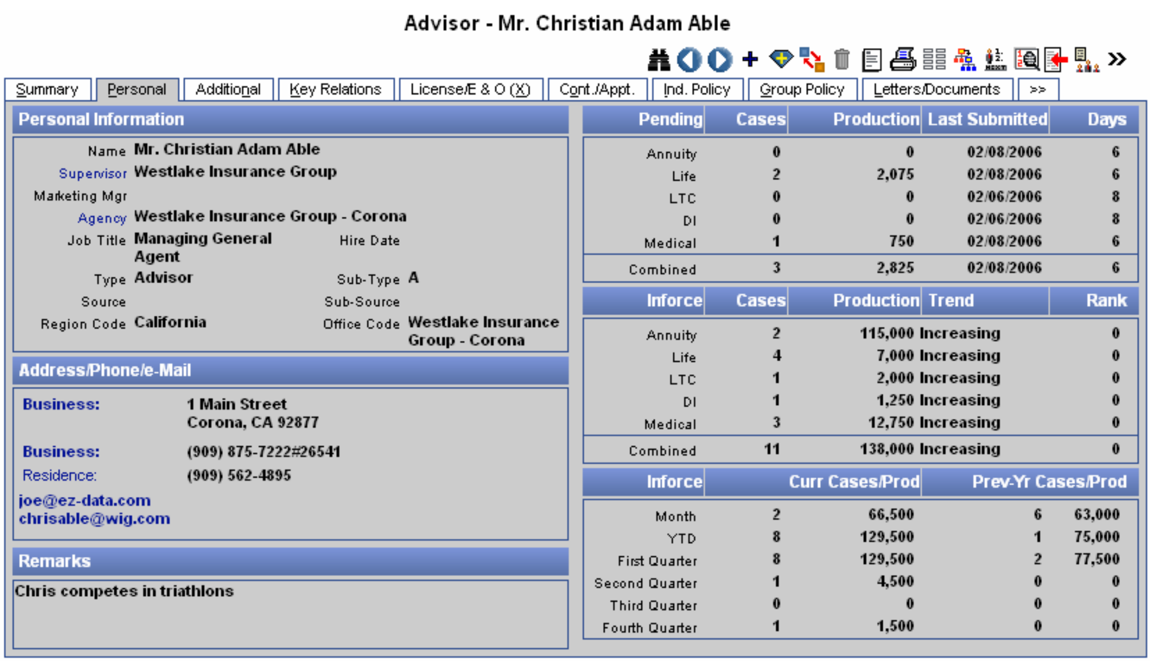


Production Dashboard Advisor/Agency

To access the Production Dashboard for an Advisor or Agency, the user must have the **Production Dashboard** license selected. This functionality alters the Personal and Detail tabs of an Advisor and Agency record to show the roll-up data of both the Policy and PCM production data.

Advisor - Personal Tab

Advisor-specific information such as Personal, Production Dashboard, Phone List, Address List, and E-mail/Web Address information is available on this tab.



Detail Tab - Production Dashboard

The following is the information used to display the Production Dashboard data.

- The calculated data is rolled-up nightly. This means that changes made to the policy records will not be reflected for up to 24 hours.
- The Production column for Pending, Inforce, and Year to Date sections display a rolling 12-month of data by Annualized Premium.
- The information is based upon the current Agent/Producer being the Primary Agent of a Pending Case or Policy record.
- The data displayed are a rolling 12-months of Pending Case and Policy records segmented by the Policy Date.

The following statuses are used to display the data for the Pending section:

- Pending
- Submitted
- Home Office Matched
- Application Status
- Follow Up
- Applied For
- Waiting Initial Premium
- Forms Follow Up Status
- Reschedule
- Buy Guide Only
- Application Signed
- Received
- Entered
- Carrier Entered
- Converted Trial
- Eligible Issue Pending
- Counter Offer
- Conditional Approval
- Rejected
- Await Approval
- Approved
- Issued
- Informal Application

The following statuses are included in the Policy section:

- Inforce
- Premium Paying
- Paid
- Active
- Disabled
- Dropped To Inforce
- System Only Status
- All Forms In
- Transferred to Paid
- Reinstated
- Restored
- Death Claim Pending
- Extended Term
- Reissue
- Contractual change pending
- Back Billed
- Annuitized
- Conversion Pending
- Grace Period
- Pending Replacement
- Waiver
- Reduced Paid Up
- Other
- Reissue requested

Pending Case Inforce Section

- **Pending -** The Pending label can be changed from the Policy/PCM Setup. Changes to the label will be reflected when the screen refreshes. Note that the calculated data will not display until the nightly procedure is completed; this can take up to 24 hours.
- **Cases -** The Cases column displays the number of cases that each Line of Business has submitted in the past 12 months.
- **Production -** The Production column displays the total Pending Case (New Business) submitted by Annualized Premium for the past 12 months.
- **Last Submitted -** The Last Submitted columns display the last submitted date of a Pending Case.
- **Days -** The Days column displays the number of days since last submission of a Pending Case.

Inforce Section

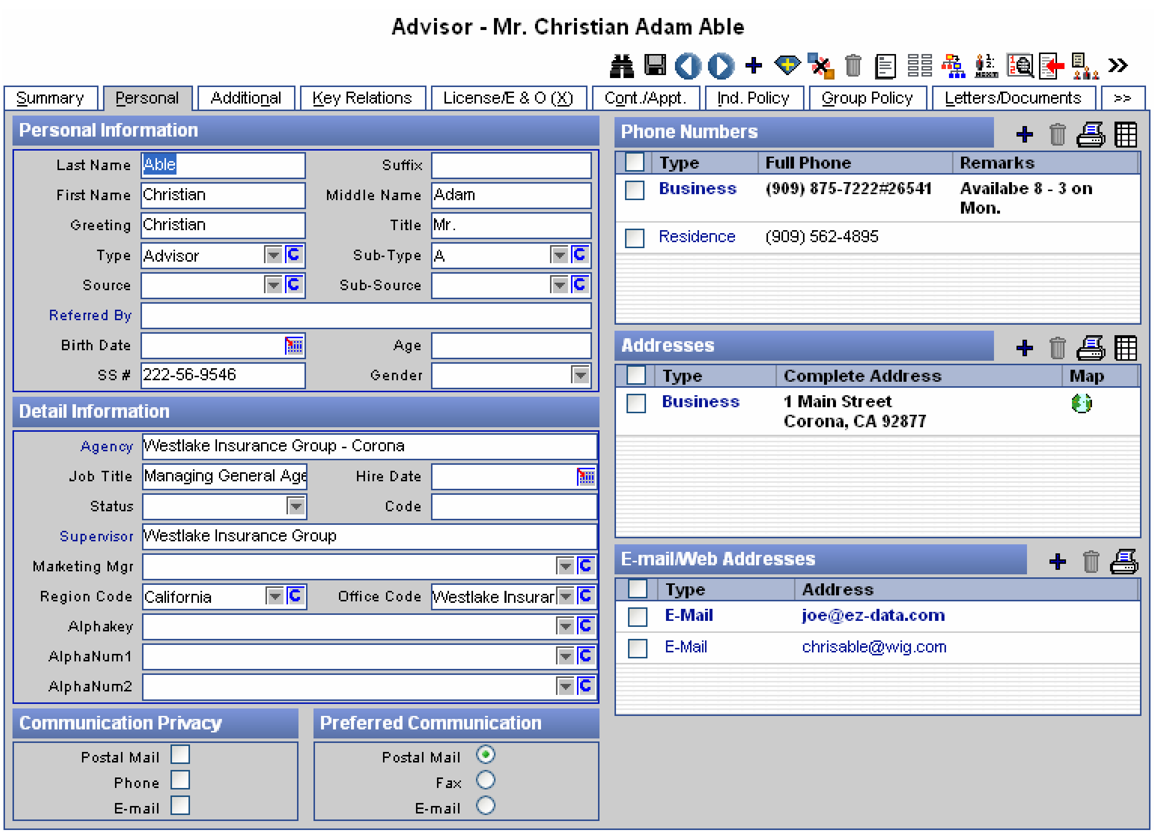
- **Inforce -** The Inforce label can be changed from the Policy/PCM Setup. Changes to the label will be reflected when the screen refreshes. Note that the calculated data will not display until the nightly procedure is completed; this can take up to 24 hours.
- **Cases -** The Cases column displays the number of Active case statuses for each Line of Business in the past 12 months.
- **Production -** The Production column displays the Active statuses by the total number of Annualized Premiums from the past 12 months.
- **Trend -** The Trend column compares the previous 12 months of Annualized Premium with what was completed 1 year prior to the previous 12 months. The column will display Increasing, Declining, and Flat trends. For example, if for the past 12 months, the agent produced $10,000.00 in annualized premium, the system will compare the same information from the previous year's annualized premium and display the trend. If the previous year was $12,000.00 in annualized premium, the trend will show as Declining.
- **Rank -** The Rank column compares all of the agents in the office by their production number (Annualized Premium). Number 1 is the highest ranked producer. The same business logic is used for Firm/Agencies that are in the same level.

Inforce Year to Date Section

The labels under the Inforce column are not modifiable.

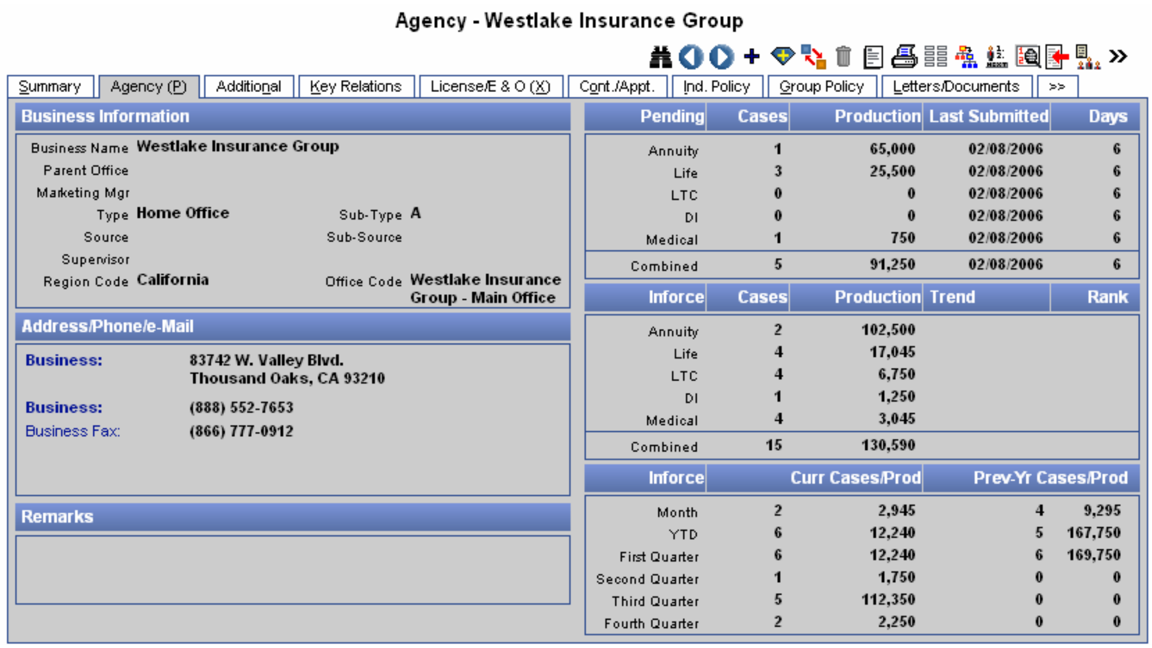
- **Month -** This row displays the number of Cases written in the current month with the total Annualized Premium numbers for the cases. It also displays the number of Cases written in the Previous Year's current month as well as the Annualized Premium.
- **YTD -** This row displays the number of Cases written in the current year with Annualized Premium numbers for the cases. It also displays the number of Cases written in the Previous Year's Year to Date as well as the Annualized Premium.
- **First Quarter -** This row displays the number of Cases written in the First Quarter with Annual Premium numbers for the cases. It also displays the number of Cases written in the Previous Year's First Quarter as well as the Annualized Premium.
- **Second Quarter** - This row displays the number of Cases written in the Second Quarter with Annual Premium numbers for the cases. It also displays the number of Cases written in the Previous Year's Second Quarter as well as the Annualized Premium.
- **Third Quarter -** This row displays the number of Cases written in the Third Quarter with Annual Premium numbers for the cases. It also displays the number of Cases written in the Previous Year's Third Quarter as well as the Annualized Premium.
- **Fourth Quarter -** This row displays the number of Cases written in the Fourth Quarter with Annual Premium numbers for the cases. It also displays the number of Cases written in the Previous Year's Fourth Quarter as well as the Annualized Premium.

When in edit mode, the Producer Personal tab displays the Phone Numbers, Address, E-mail/Addresses, and Remarks sections.



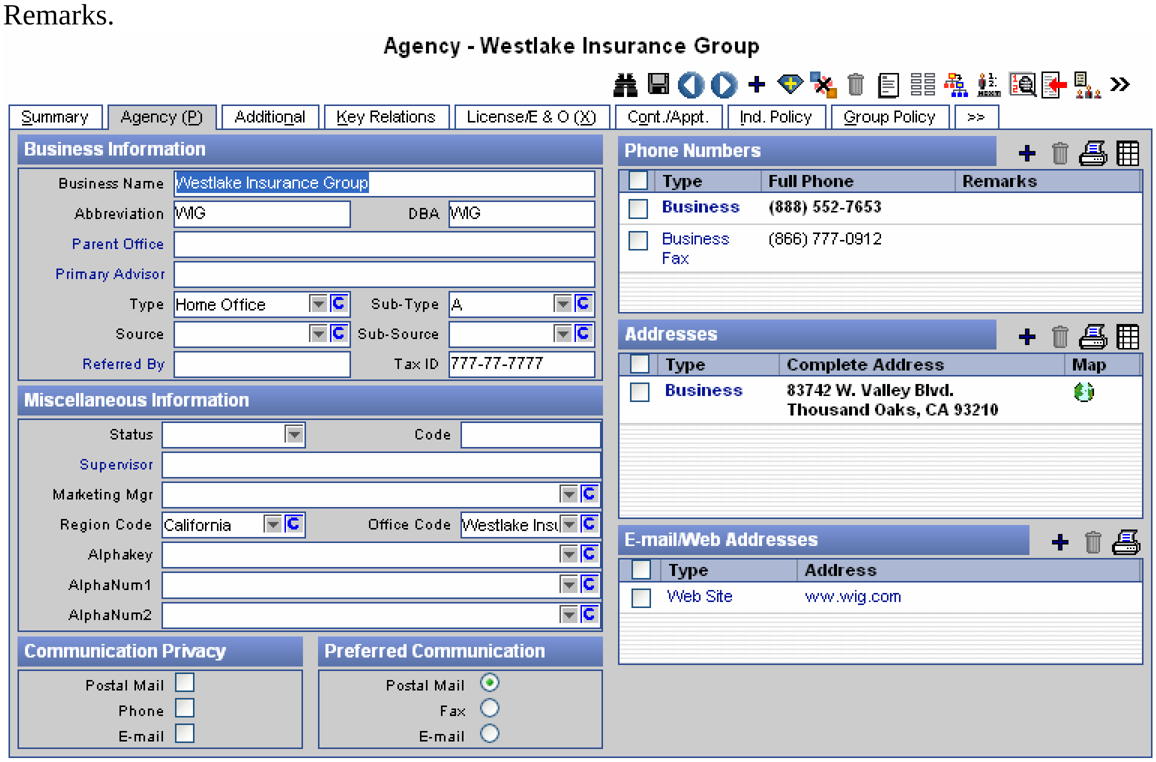
Agency (P) Tab

Agency-specific information such as Personal Information, LOB, Remarks Phone List, Address List, and E-mail/Web Address information is entered on this tab.



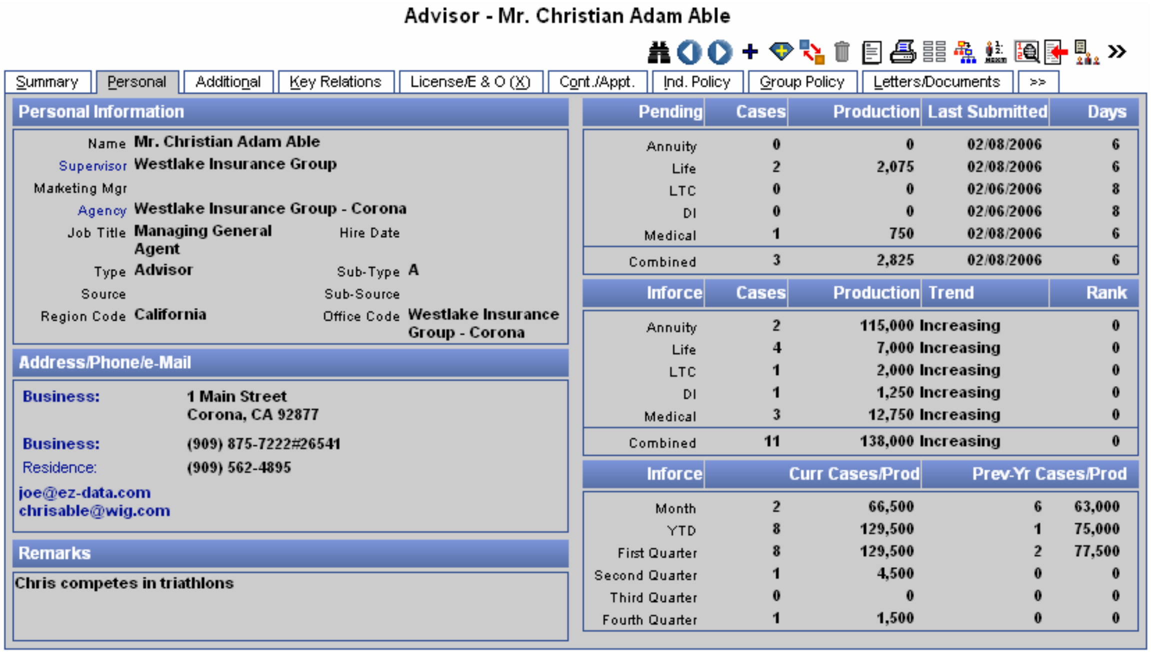
Production Dashboard Section - Note that the Production Dashboard section is the same as the Producer – Dashboard.

When in edit mode, the Agency tab displays the Phone Numbers, Address, E-mail/Addresses, and Remarks.



Policy/PCM Setup – Label Change

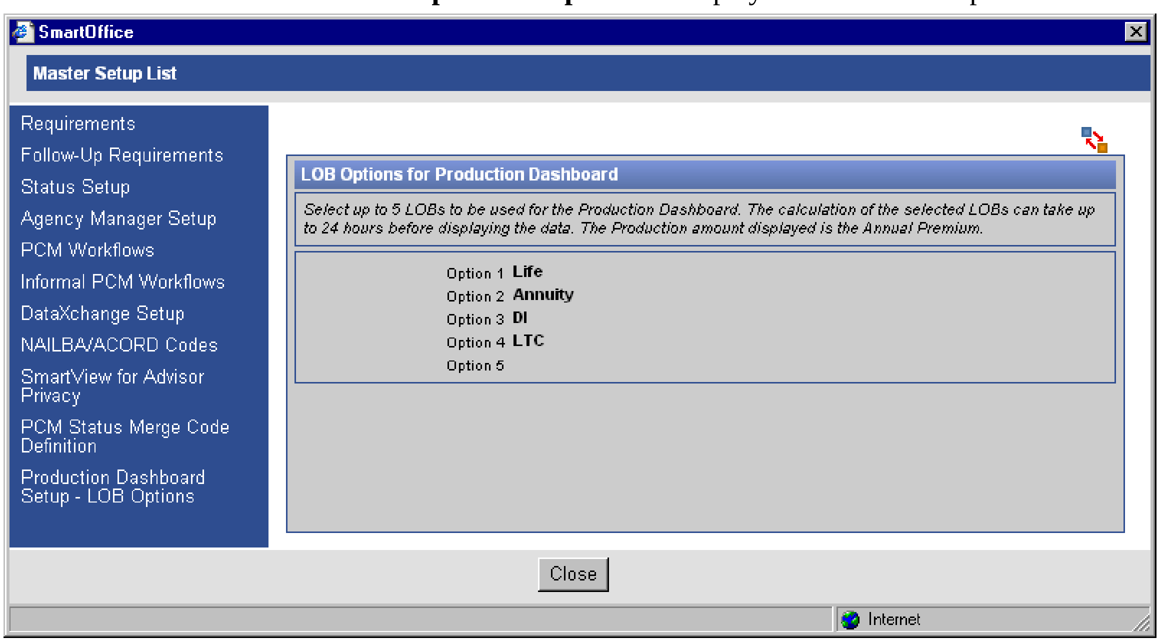
The label under the Pending and Inforce sections can be changed from the Policy/PCM Setup.



To change the label on the Personal tab:

Please note that these changes will be reflected throughout the system (including Agent/Producer and Agency/Firm records). The user must have the **Pending Case & Policy Setup Administrator** rights enabled from the **User Roles/Licenses** tab in order to change the labels.

1. Select **Setup** from the expanded **Policy/PCM Setup** menu to open the Master Setup List dialog box.
2. Select **Production Dashboard Setup - LOB Options** to display the list of LOB options.

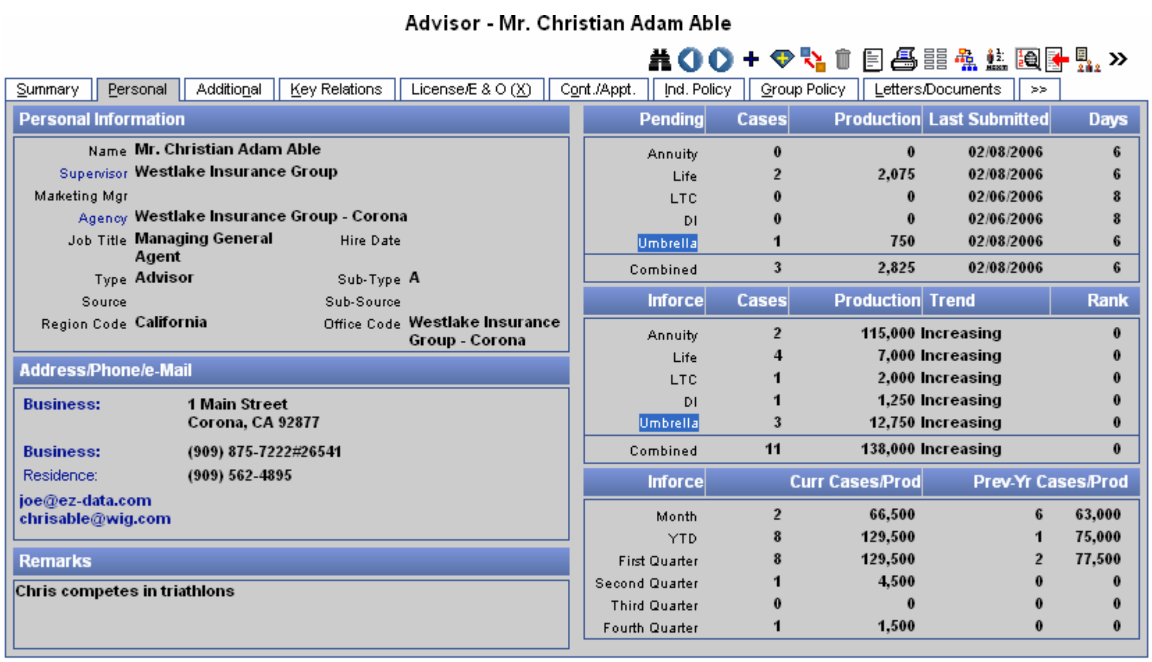


3. Click the **Switch to Edit Mode** button to display the options in edit mode.
4. The LOB drop-down options are as follows:
    - Annuity
    - Auto
    - DI
    - Homeowner
    - Life
    - LTC
    - Medical
    - Other
    - Umbrella

    Note that if the same LOBs are selected more then once, a Critical Information dialog box will display. Click the **OK** button.

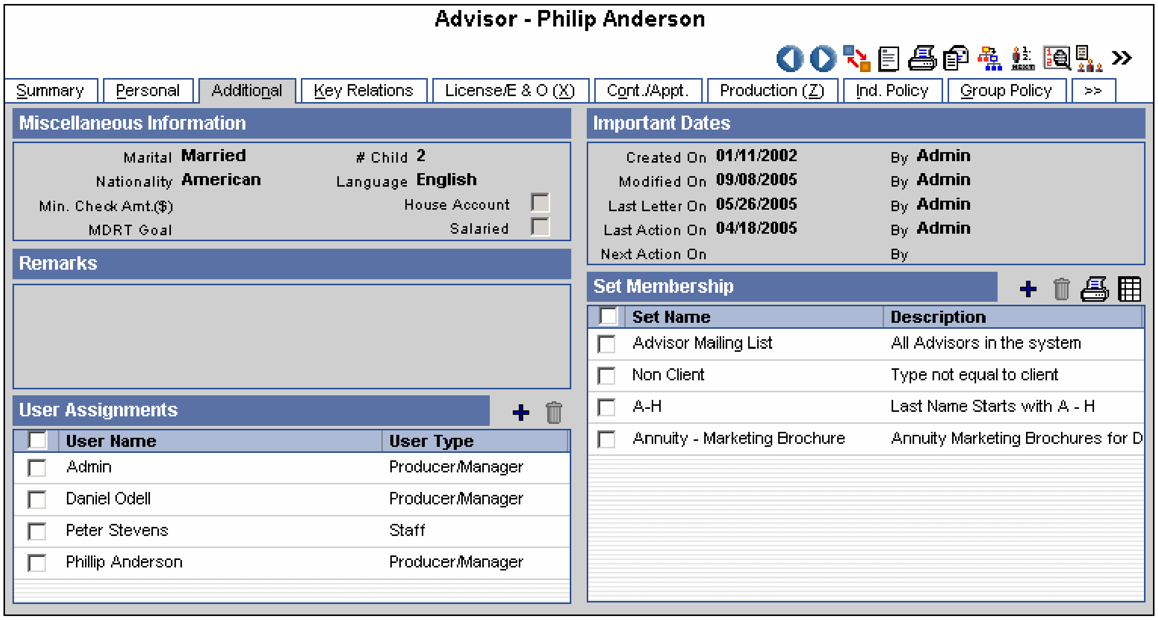
5. After making the appropriate changes, click the **Save** button and then click the **Close** button.

6. The changes are reflected on the Personal tab. Note that the Production data will be updated after the nightly procedure is completed; this can take up to 24 hours.



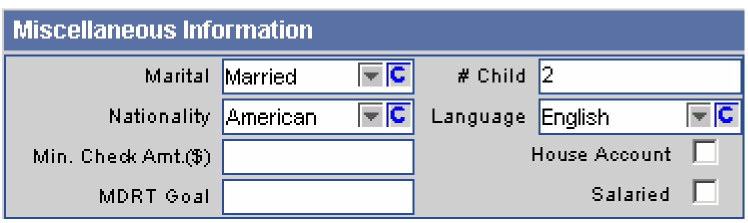
Advisor Additional Tab

Miscellaneous, Important dates, Advisor-associated sets, and assignment information is tracked on the Advisor's Additional tab.



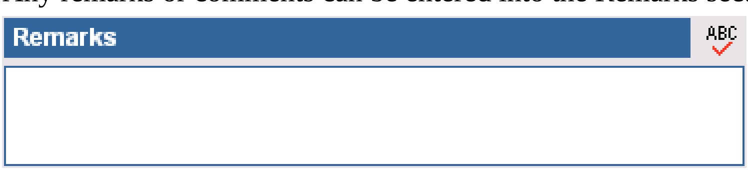
Miscellaneous Information Section

The Miscellaneous Information section tracks the Advisor's Marital, # Child, Nationality, Language, Min. Check Amt. ($), and MDRT Goal information along with the House Account and Salaried information.



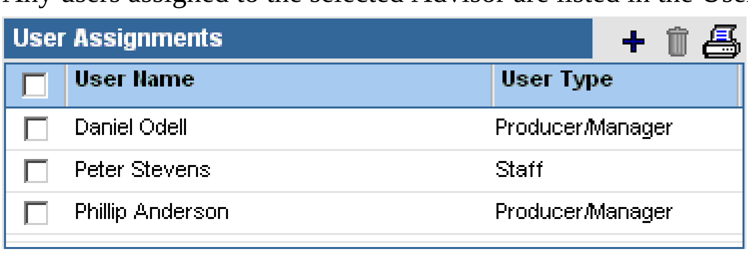
Remarks Section

Any remarks or comments can be entered into the Remarks section specific to the Advisor.



User Assignments

Any users assigned to the selected Advisor are listed in the User Assignments section.



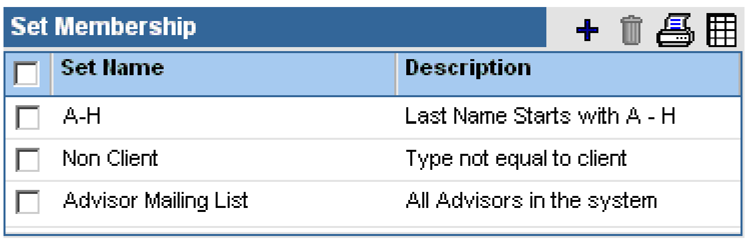
To assign an Advisor to a user, click the **Add** button. Note that only you and any users for whom you proxy will be displayed on this list.

Important Dates Section

The program automatically populates the Important Dates section. These fields are read-only.

Set Membership Spreadsheet

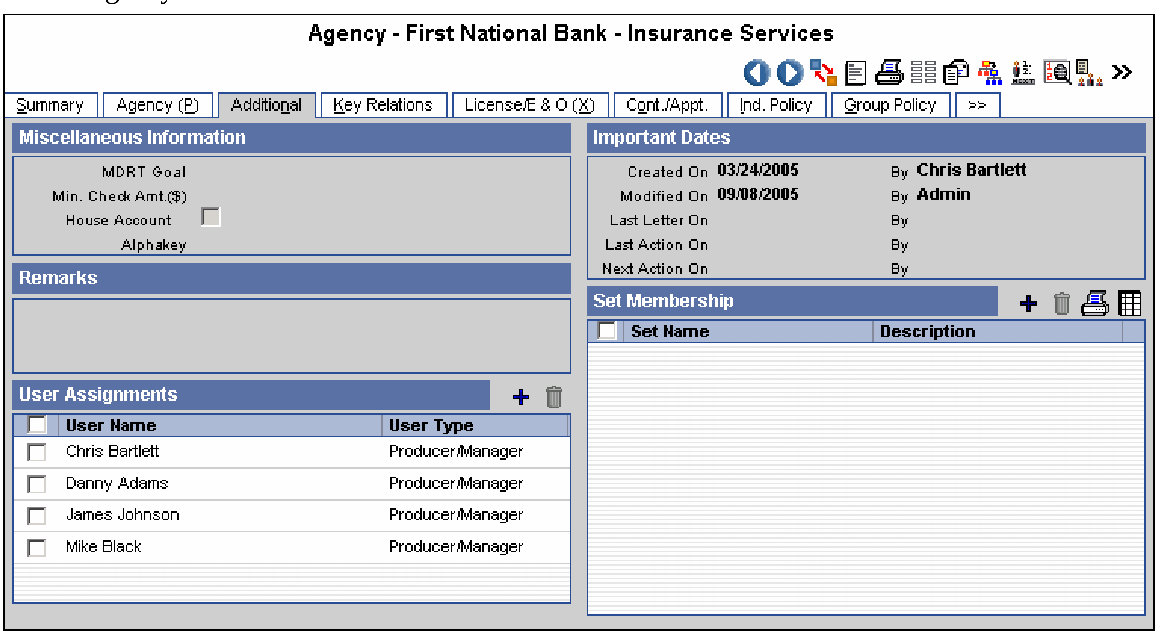
A set is a user-specified grouping. Any sets that the selected Advisor belongs to are listed on the Set Membership list.



Click the **Add** button to add the selected Advisor to a set.

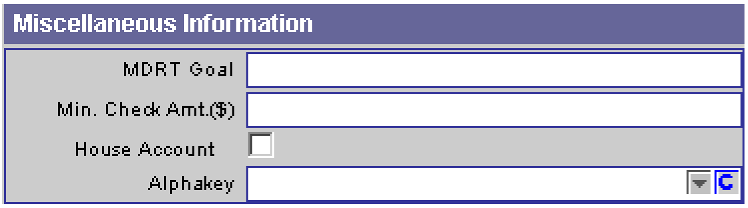
Agency Additional Tab

Miscellaneous, Important Dates, Agency-associated sets, and assignment information is tracked on the Agency's Additional tab.



Miscellaneous Information Section

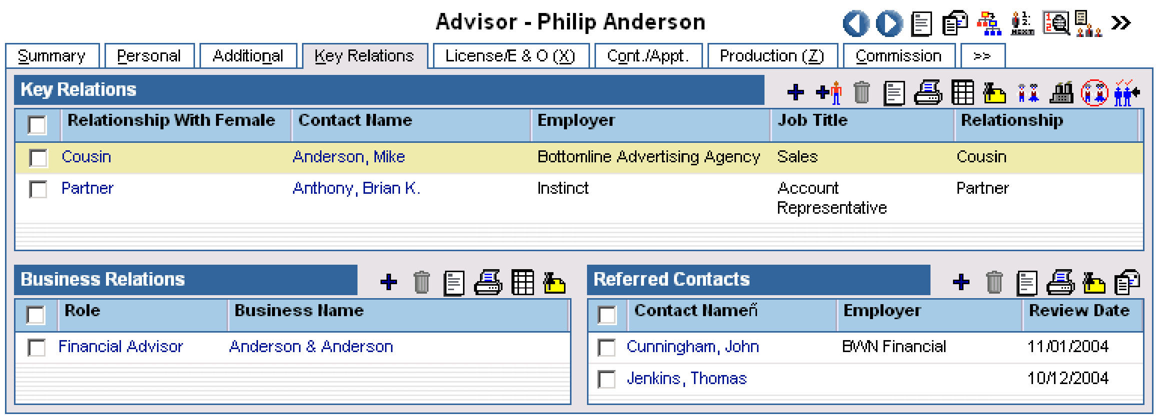
The Miscellaneous Information section tracks the Agency's MDRT Goal, Min. Check Amt. ($), House Account, and Alphakey information.



The remaining sections on the Agency tab are similar to that of an Advisor.

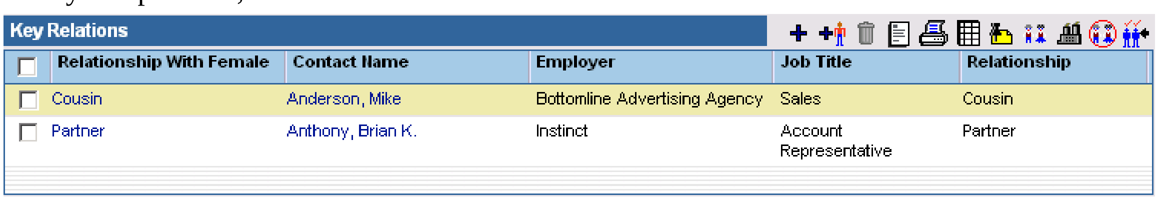
Advisor Key Relations Tab

The **Key Relations** tab tracks any relations the Advisor has with other contacts in the office's database.

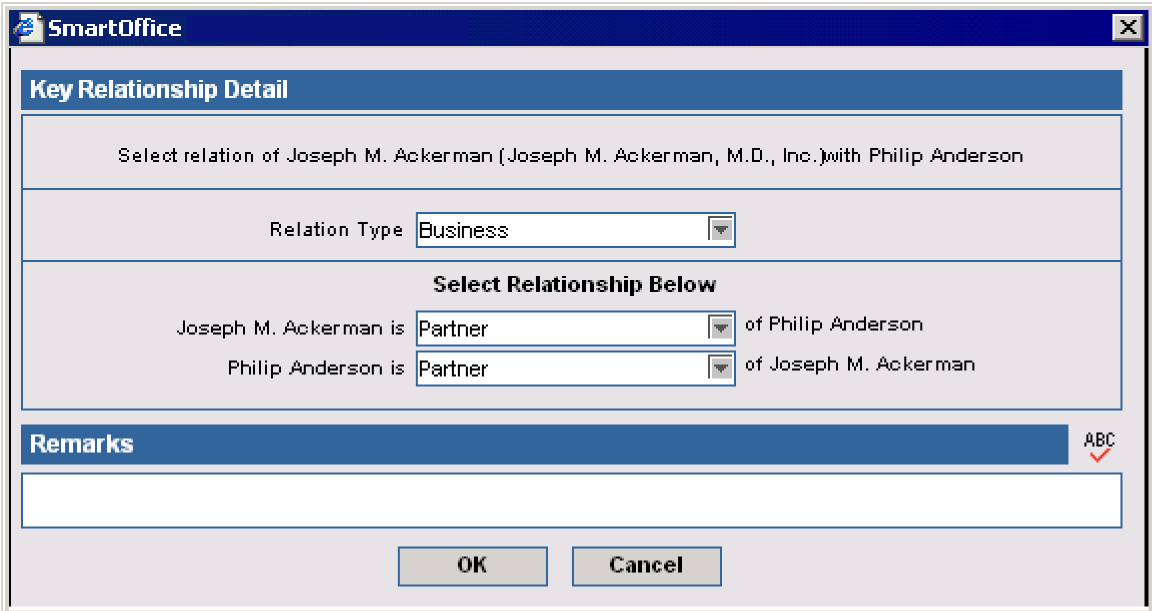


Key Relations Spreadsheet

The Key Relations spreadsheet lists any individual contacts that have a relationship, including family and personal, with the selected Advisor.

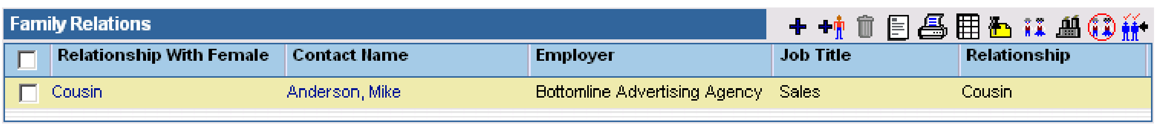


Click the **Add** button to add a Key Relation.



List Family Relations Button

Click the **List Family Relations** button to display the Advisor's family relations.

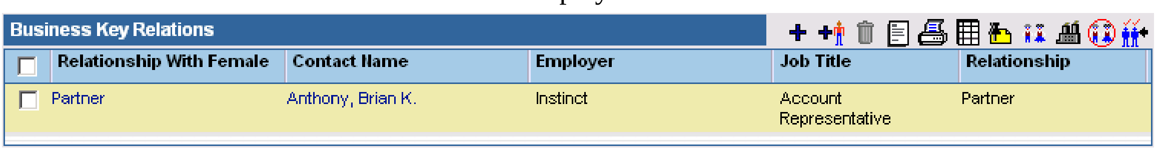


Family Relations

Relationship With Female	Contact Name	Employer	Job Title	Relationship
Cousin	Anderson, Mike	Bottomline Advertising Agency	Sales	Cousin

List Business Relations Button

Click the **List Business Relations** button to display the Advisor's business relations.

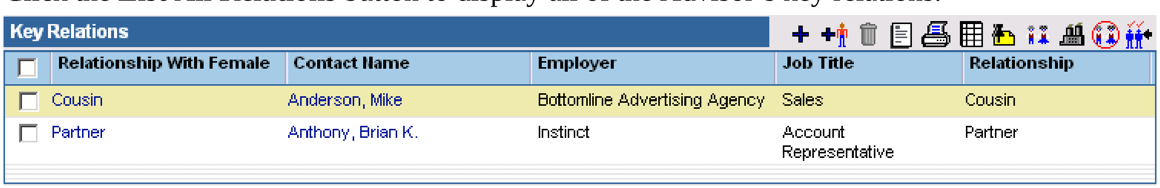


Business Key Relations

Relationship With Female	Contact Name	Employer	Job Title	Relationship
Partner	Anthony, Brian K.	Instinct	Account Representative	Partner

List All Relations Button

Click the **List All Relations** button to display all of the Advisor's key relations.



Key Relations

Relationship With Female	Contact Name	Employer	Job Title	Relationship
Cousin	Anderson, Mike	Bottomline Advertising Agency	Sales	Cousin
Partner	Anthony, Brian K.	Instinct	Account Representative	Partner

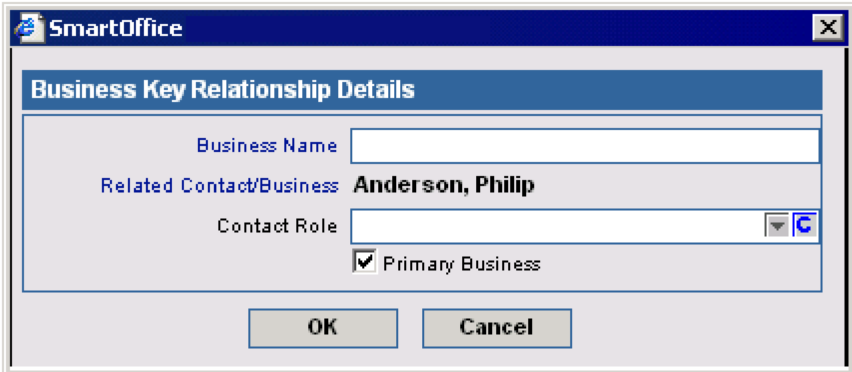
Business Relations Section

The Business Relations spreadsheet lists any business contacts (companies) that have a relationship with the selected Advisor.

Business Relations

Role	Business Name
Financial Advisor	Anderson & Anderson

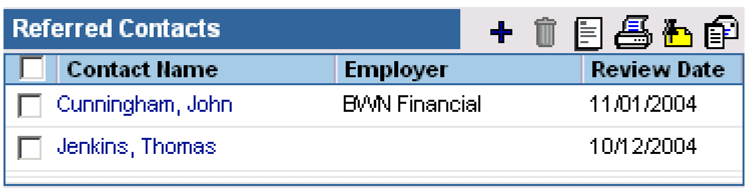
Click the **Add** button to add a Business Relation.



To select the Business Name, click the **Business Name** hyperlink and then select the Business Name from the Summary list. Select the contact role from the drop-down menu. Choose the **Primary Business** option if the business is primary.

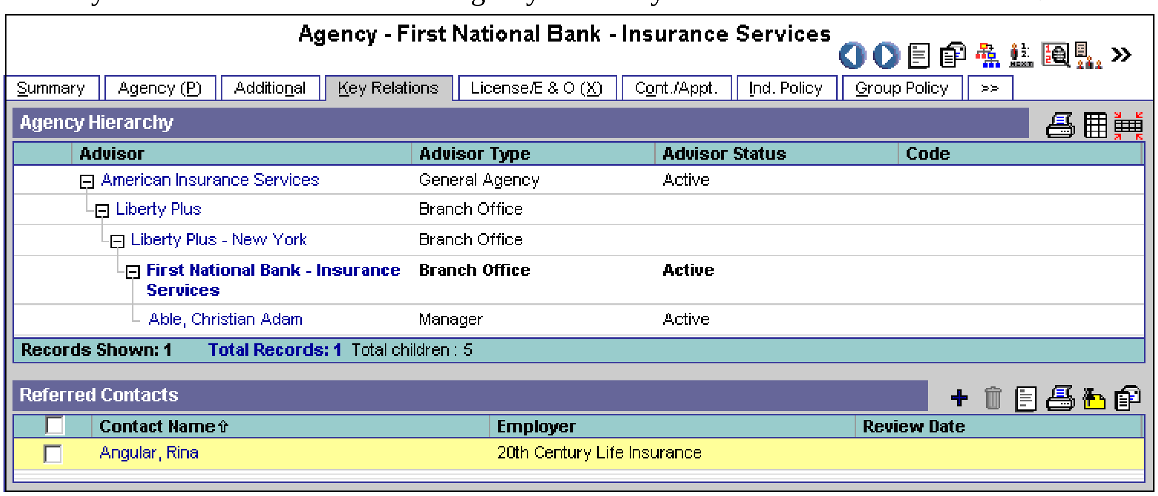
Referred Contacts Section

The Referred Contacts section tracks all contacts that the selected Advisor has referred.



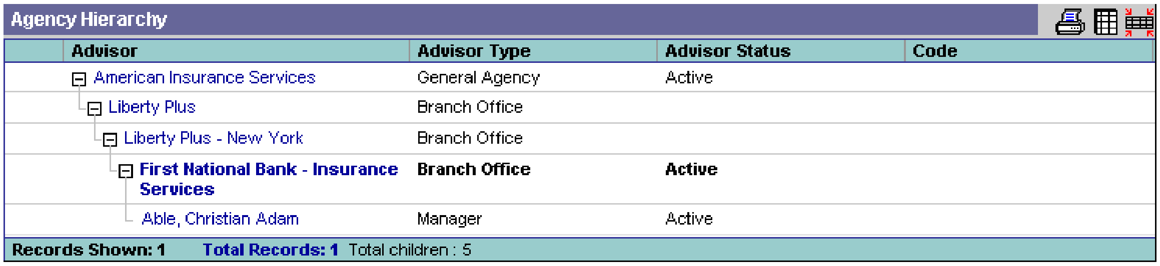
Agency Key Relations Tab

The Key Relations tab consists of the Agency Hierarchy and Referred Contacts sections.



Agency Hierarchy Section

The Key Relations tab displays a 'tree view' of the Agency hierarchy that enables the user to quickly view the hierarchy of an Agency and the attached advisors. The spreadsheet also enables the viewing of Agency and Advisor record details.


Agency Hierarchy

Advisor	Advisor Type	Advisor Status	Code
American Insurance Services	General Agency	Active	
Liberty Plus	Branch Office		
Liberty Plus - New York	Branch Office		
First National Bank - Insurance Services	**Branch Office**	**Active**	
Able, Christian Adam	Manager	Active	

Records Shown: 1 Total Records: 1 Total children : 5

Referred Contacts Section

The Referred Contacts section tracks all contacts that the selected Agency has referred.


Referred Contacts

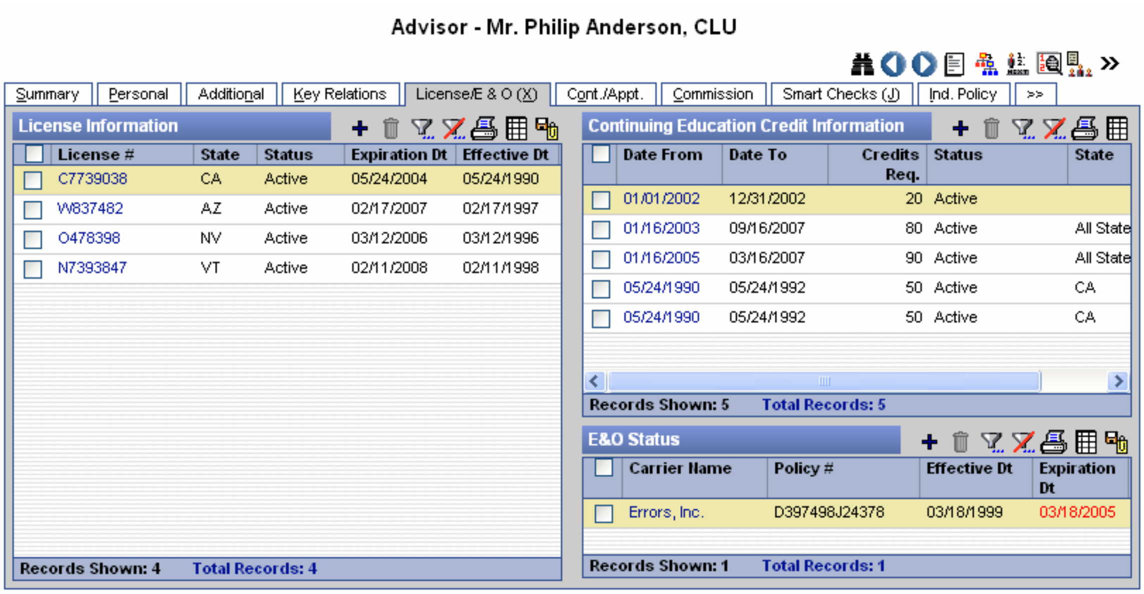
Contact Name	Employer	Review Date
Angular, Rina	20th Century Life Insurance	

Advisor/Agency License/E&O (Error and Omissions) Tab

The License/E&O tab is located in the Advisor/Agency module. This tab is only available to users with the Agency Manager license and Advisor Contract/License Management user role. The exception is when the Advisor is the user; they can then see the tab only in their own Advisor record.

The License/E&O tab tracks Licensing, Continuing Education, and E&O (Error and Omissions) information. Note that the Continuing Education Credit Information section is not available for Agency records.

License/E&O Tab – Advisor


Advisor - Mr. Philip Anderson, CLU

Summary | Personal | Additional | Key Relations | License/E & O (X) | Cont./Appt. | Commission | Smart Checks (J) | Ind. Policy | >>

License Information

License #	State	Status	Expiration Dt	Effective Dt
C7739038	CA	Active	05/24/2004	05/24/1990
W837482	AZ	Active	02/17/2007	02/17/1997
O478398	NV	Active	03/12/2006	03/12/1996
N7393847	VT	Active	02/11/2008	02/11/1998

Records Shown: 4 Total Records: 4

Continuing Education Credit Information

Date From	Date To	Credits Req.	Status	State
01/01/2002	12/31/2002	20	Active	
01/16/2003	09/16/2007	80	Active	All State
01/16/2005	03/16/2007	90	Active	All State
05/24/1990	05/24/1992	50	Active	CA
05/24/1990	05/24/1992	50	Active	CA

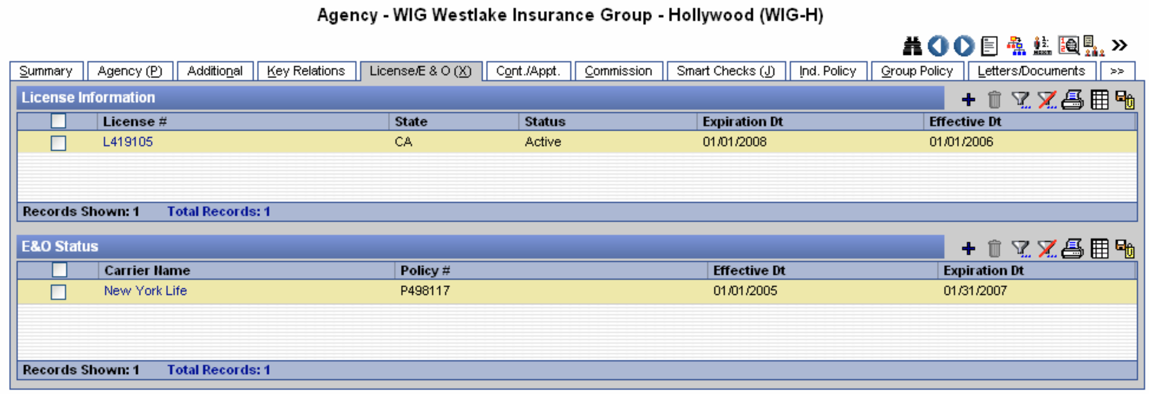
Records Shown: 5 Total Records: 5

E&O Status

Carrier Name	Policy #	Effective Dt	Expiration Dt
Errors, Inc.	D397498J24378	03/18/1999	03/18/2005

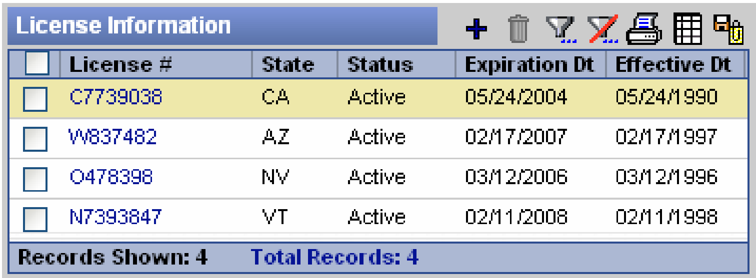
Records Shown: 1 Total Records: 1

License/E&O Tab – Agency

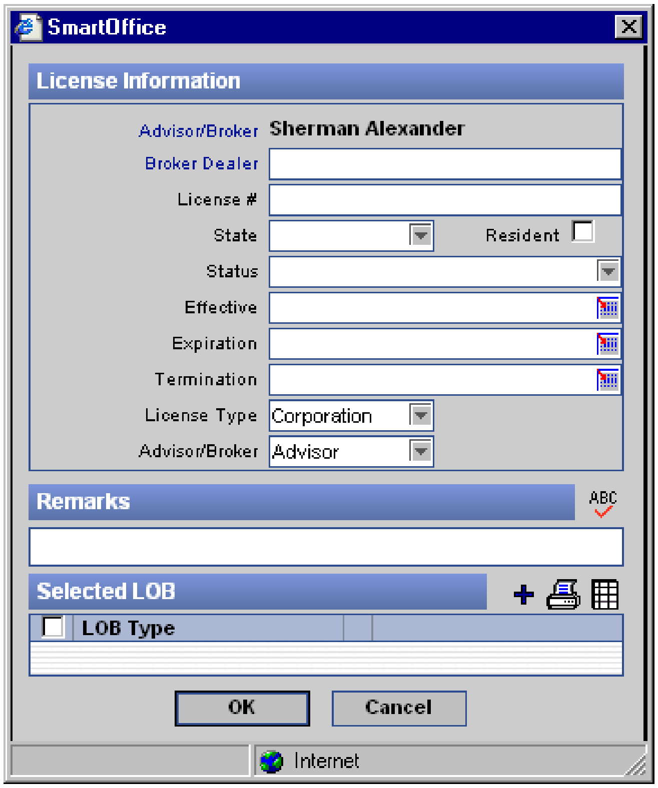


License Information Spreadsheet

The selected Advisor's/Agency's licensing information, such as the License Number, State, LOB (Line of Business) type, and Expiration Date is tracked in the License Information section of the License/E&O tab.



Click the **Add** button to open the License Information dialog box.

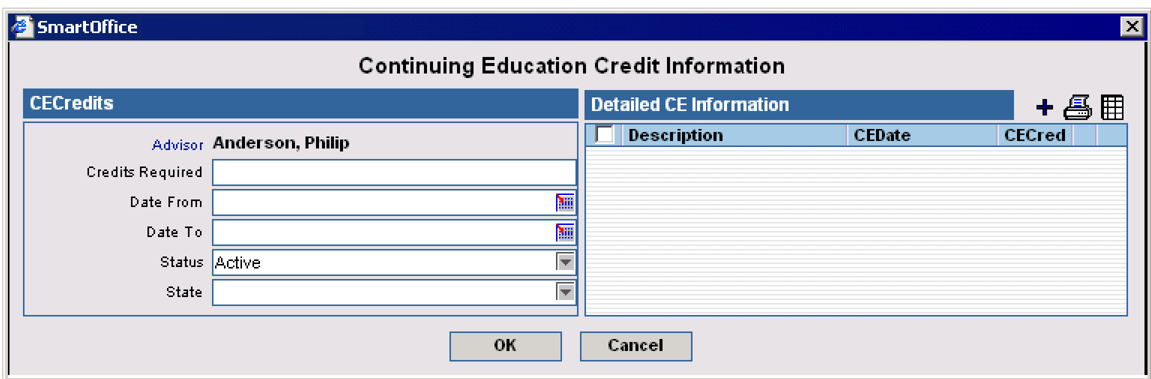


The Selected LOB section of the New License record is used to add the LOB (Line of Business) types for which this license applies. The Resident option is selected if the Advisor lives in the state for the license. The License Type specifies whether it is a corporation license or an individual license. Advisor/Broker specifies whether it is for an Advisor, Agency, or Broker. Line of Business refers to insurance types, such as Life, DI, Medical, etc. If an Advisor has a license with a LOB of Life, then the Advisor is allowed to sell the Life insurance. The following fields are required: License#, Effective, and Expiration. No fields are required if the status of the license is set to Pending.

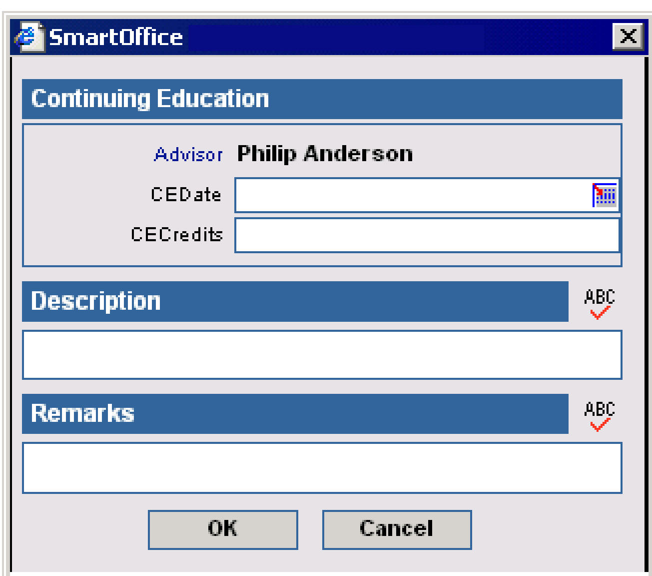
Continuing Education Credit Information Spreadsheet

An Advisor's continuing education information such as a description of the class, the number of credits earned, the date that those credits were applied, and any other remarks are tracked in the Continuing Education Credit Information section.

Click the **Add** button to add a new education listing. Credits Required is the number of credits needed within the time stated in the date fields. Status is the status of the CE group.

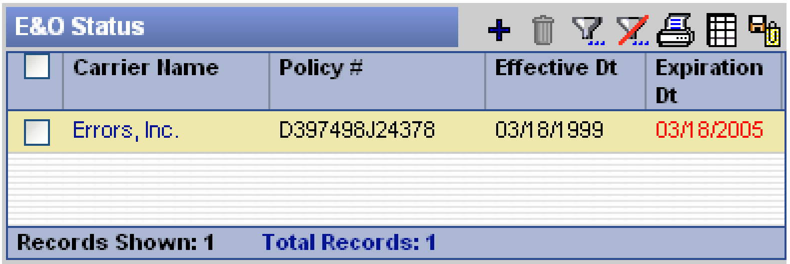


Click the **Add** button to add detailed CE information.

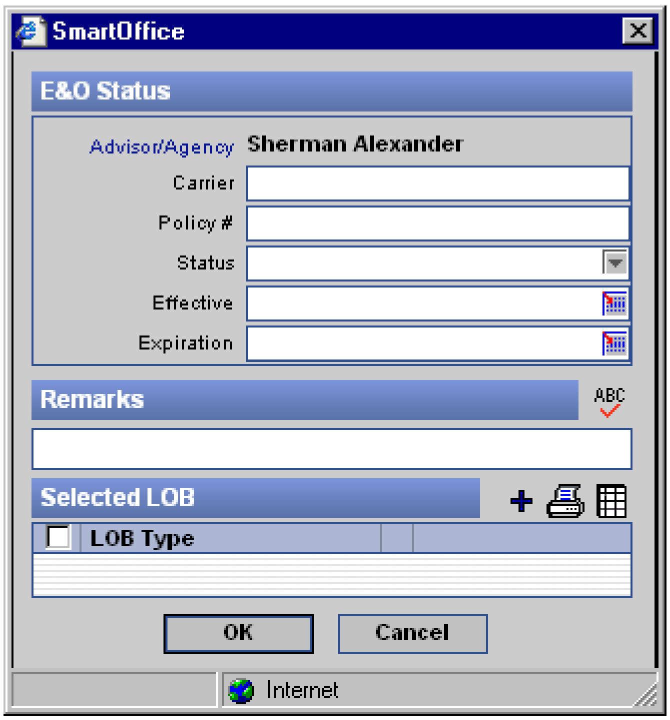


E&O Status Spreadsheet

Error and Omissions information is tracked by the E&O Status spreadsheet.



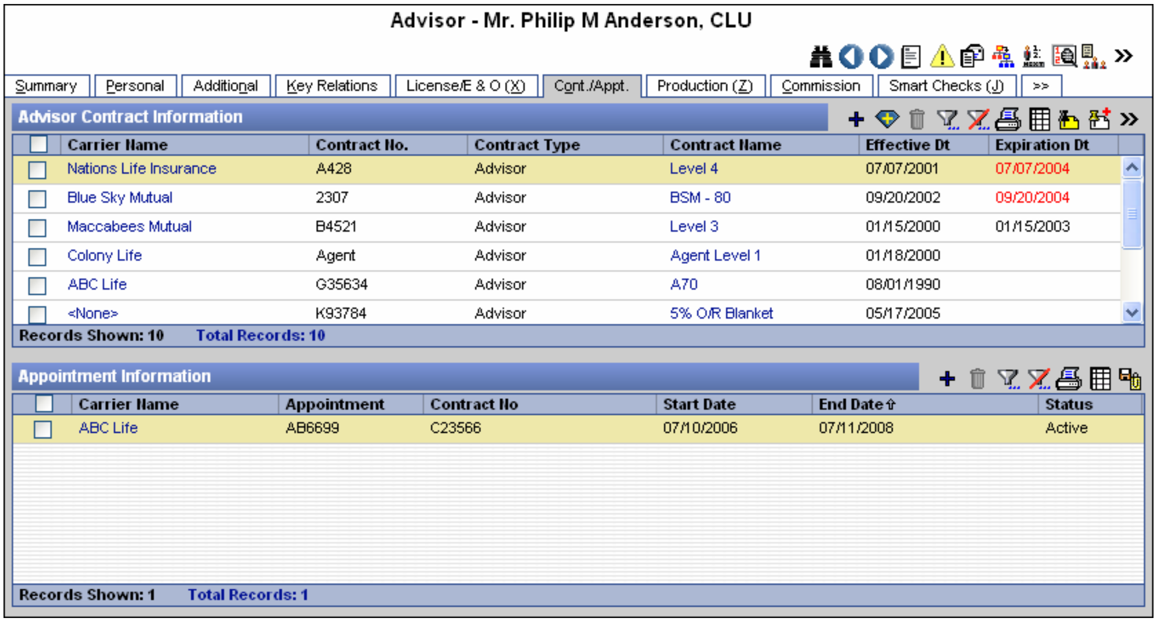
Click the **Add** button in the E&O Status section to open the E&O Status dialog box.



Add the LOB (Line of Business) types for which this E&O applies in the Selected LOB section of the New E&O Status record. The term Line of Business refers to insurance types, such as Life, DI, and Medical. If an Advisor has E&O coverage for a LOB of Life, then the E&O coverage will cover any legal matters dealing with Life insurance. If the Status field is set to Pending, no fields are mandatory.

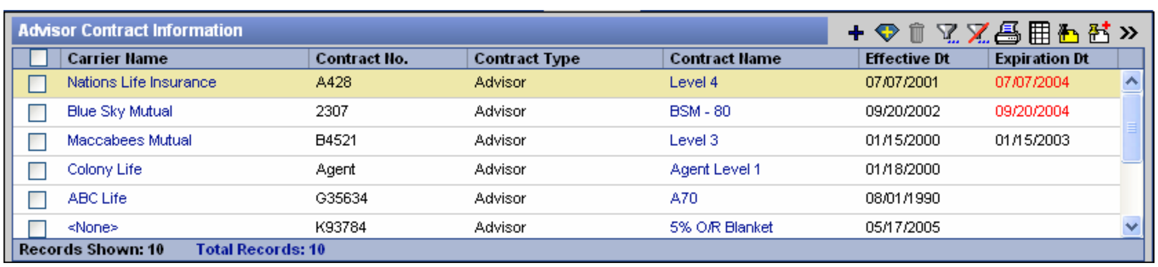
Advisor/Agency Cont./Appt. Tab (Contract and Appointment)

Note that the Cont./Appt tab is located in the Advisor/Agency module. This tab is only available to users with the Agency Manager License and Advisor Contract/License Management User Role. The exception is when the Advisor is the user; they can then see the tab only in their own Advisor record.

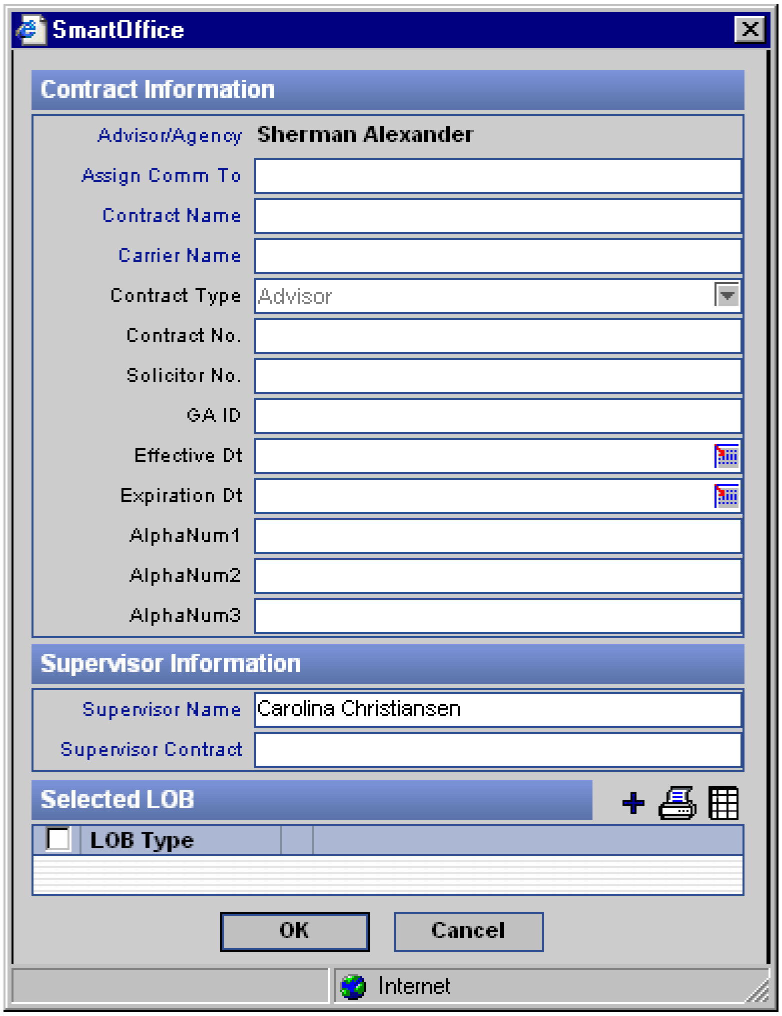


Advisor Contract Information Spreadsheet

The Advisor contract information section tracks the contract that an Advisor has with a Carrier to sell the Carrier's Products.

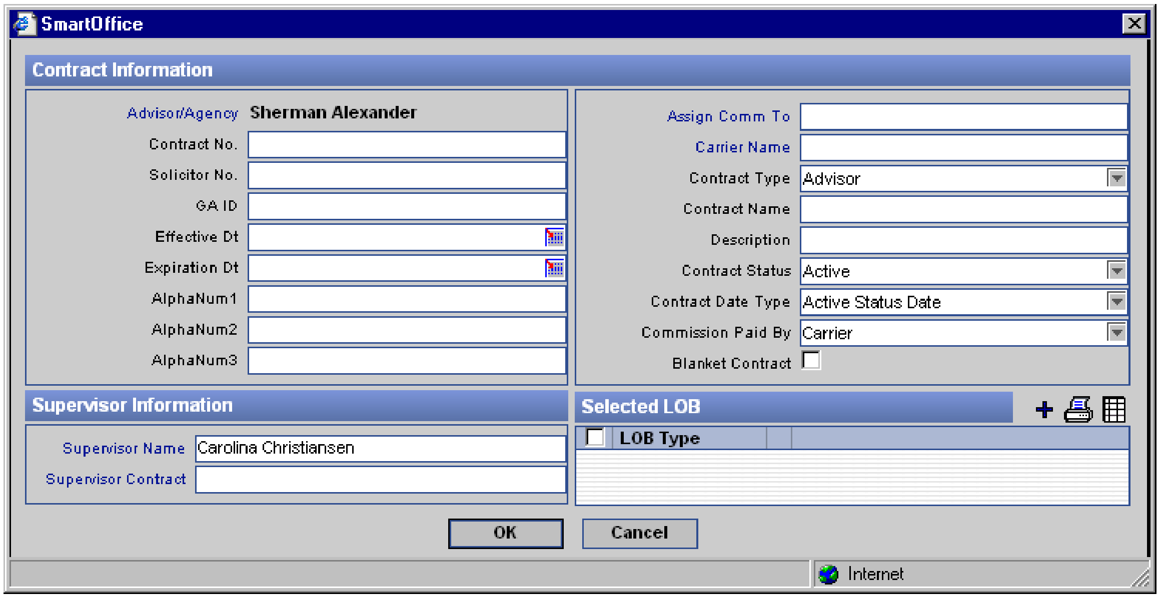


To add an Advisor Contract click the **Add** button to open the Contract Information dialog box.



- To Assign the commissions to some one other than the selected Advisor or Agency, click the **Assign Comm To** hyperlink, this opens an **Advisor/Agency** search where the Advisor/Agency to which the commissions will be assigned can be searched for and selected.
- A carrier contract can be linked to the advisor contract by either selecting the **Carrier Name** hyperlink to open the Carrier Search dialog box, searching for and then selecting a Carrier followed by a Contract, or, by selecting the **Contract Name** hyperlink to open the Contract Search dialog box, searching for and then selecting a Carrier Contract to return to the (previous) dialog box.
- The Contract Type automatically defaults per the Contract selection.
- Supervisor Information automatically populates if the Advisor has a supervisor contact linked to them from the Advisor Personal Tab.
- Add the LOB (Line of Business) types for which this contract applies in the Type section of the New Contract record. Line of Business refers to insurance types, such as Life, DI, Medical, etc. If an Advisor has a contract with a LOB of Life, then the Advisor can sell the Life insurance for the specified insurance carrier.

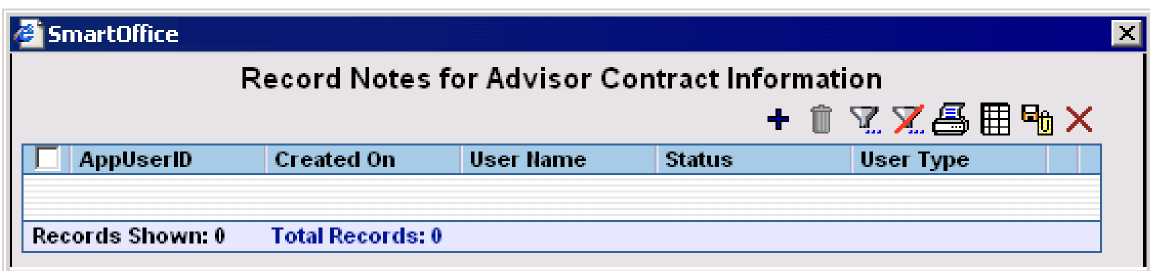
Click the **Super Add** button to open the Contract Information dialog box.



This function enables the user to not only add an Advisor contract, but add the Carrier Contract as well.

Notes Button

To add notes for an Advisor Contract, click the **Notes** button.

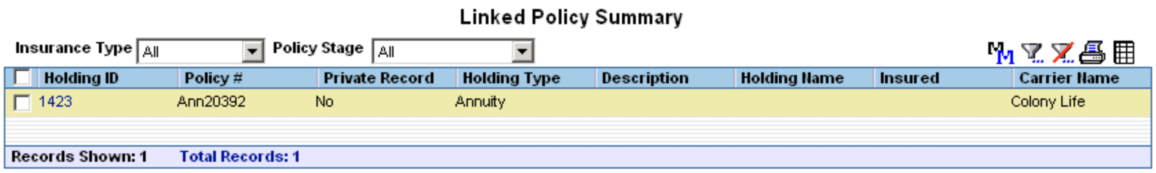


View Contract Hierarchy Button

To view the contract hierarchy for a tagged Advisor Contract, in the Advisor Contract Information section, select the **More Features** button and then select the **View Contract Hierarchy** button.

Related Policies Button

To view linked policies, select the **More Features** button in the Advisor Contract Information section and then select the **Related Policies** button.



Linked Policy Summary

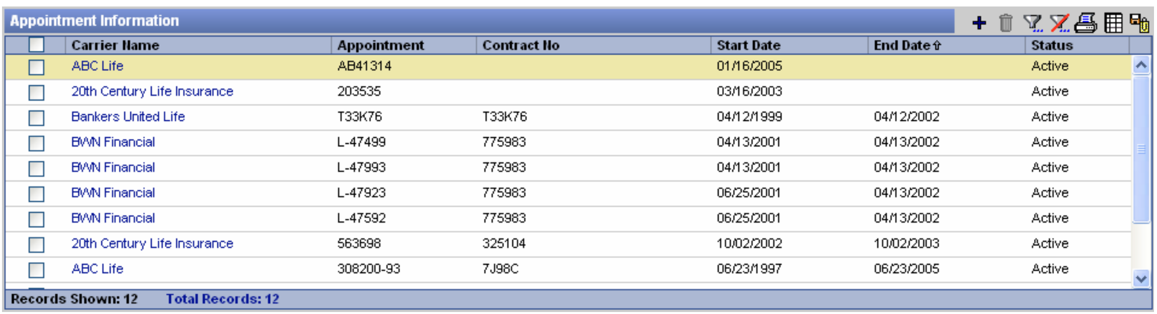
Insurance Type All Policy Stage All

Holding ID	Policy #	Private Record	Holding Type	Description	Holding Name	Insured	Carrier Name
1423	Ann20392	No	Annuity				Colony Life

Records Shown: 1 Total Records: 1

Appointment Information Spreadsheet

The Appointment Information spreadsheet tracks the Advisor's appointments.

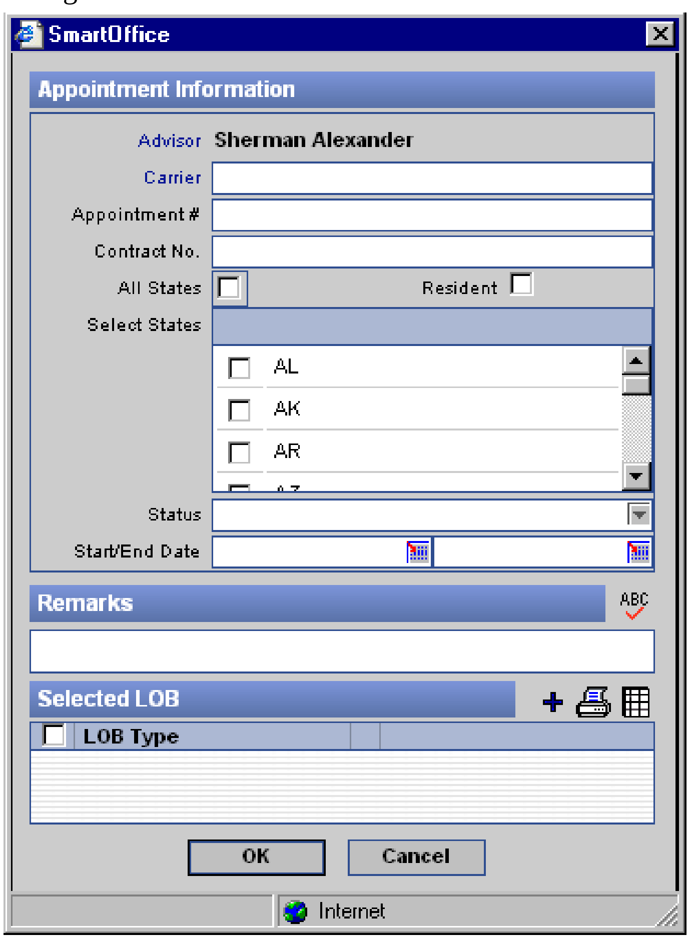


Appointment Information

Carrier Name	Appointment	Contract No	Start Date	End Date	Status
ABC Life	AB41314		01/16/2005		Active
20th Century Life Insurance	203535		03/16/2003		Active
Bankers United Life	T33K76	T33K76	04/12/1999	04/12/2002	Active
BWN Financial	L-47499	775983	04/13/2001	04/13/2002	Active
BWN Financial	L-47993	775983	04/13/2001	04/13/2002	Active
BWN Financial	L-47923	775983	06/25/2001	04/13/2002	Active
BWN Financial	L-47592	775983	06/25/2001	04/13/2002	Active
20th Century Life Insurance	563698	325104	10/02/2002	10/02/2003	Active
ABC Life	308200-93	7J98C	06/23/1997	06/23/2005	Active

Records Shown: 12 Total Records: 12

To add appointment information, click the **Add** button to open the Appointment Information dialog box.



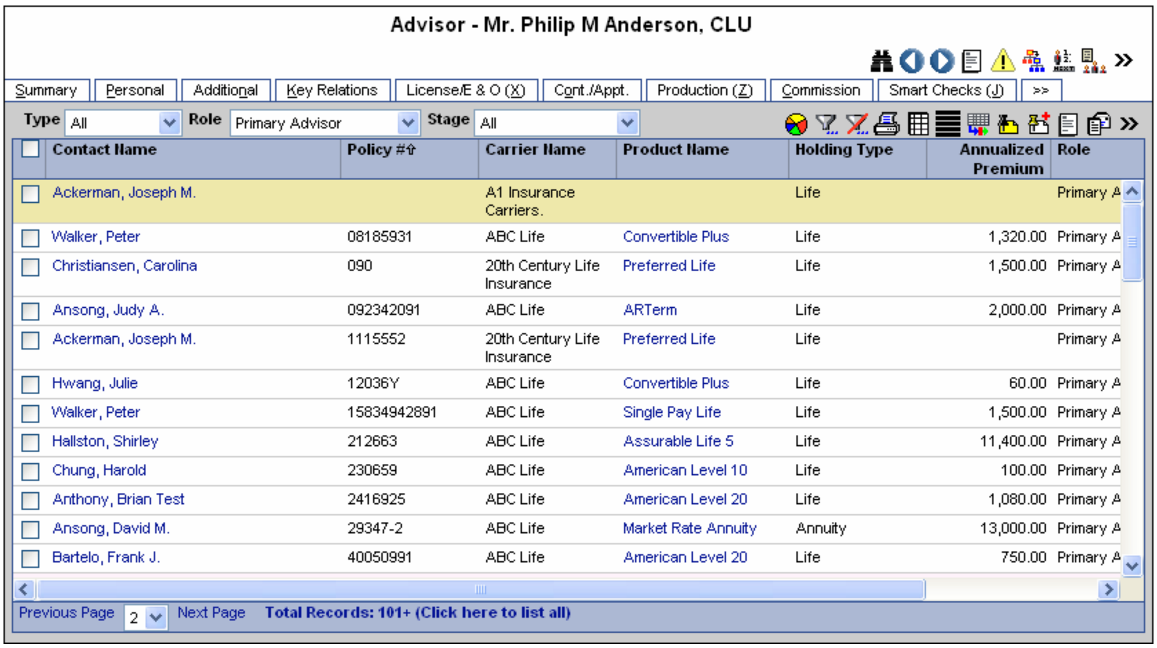
The mandatory fields are Carrier Name, Appointment #, and Start Date. If the Status field is set to Pending then only the Carrier field is mandatory. Add the LOB types for which this appointment applies in the Type section of the New Appointment record. The term Line of Business refers to insurance types, such as Life, DI, Medical, etc. If an Advisor has an appointment with a Life LOB, then the Advisor is appointed to sell Life insurance in the specified state or states.

The County field becomes available only when Florida is the selected State. In the Setup section for the PCM/Policy modules, the user can specify whether they want all states to be available for selection or only the states for which the Advisor has a license. For more information on the Setup for the PCM/Policy modules, see the *SmartOffice v5.1 - Policy and PCM Setup User Guide*.

Ind. Policy Tab (Individual Policy)

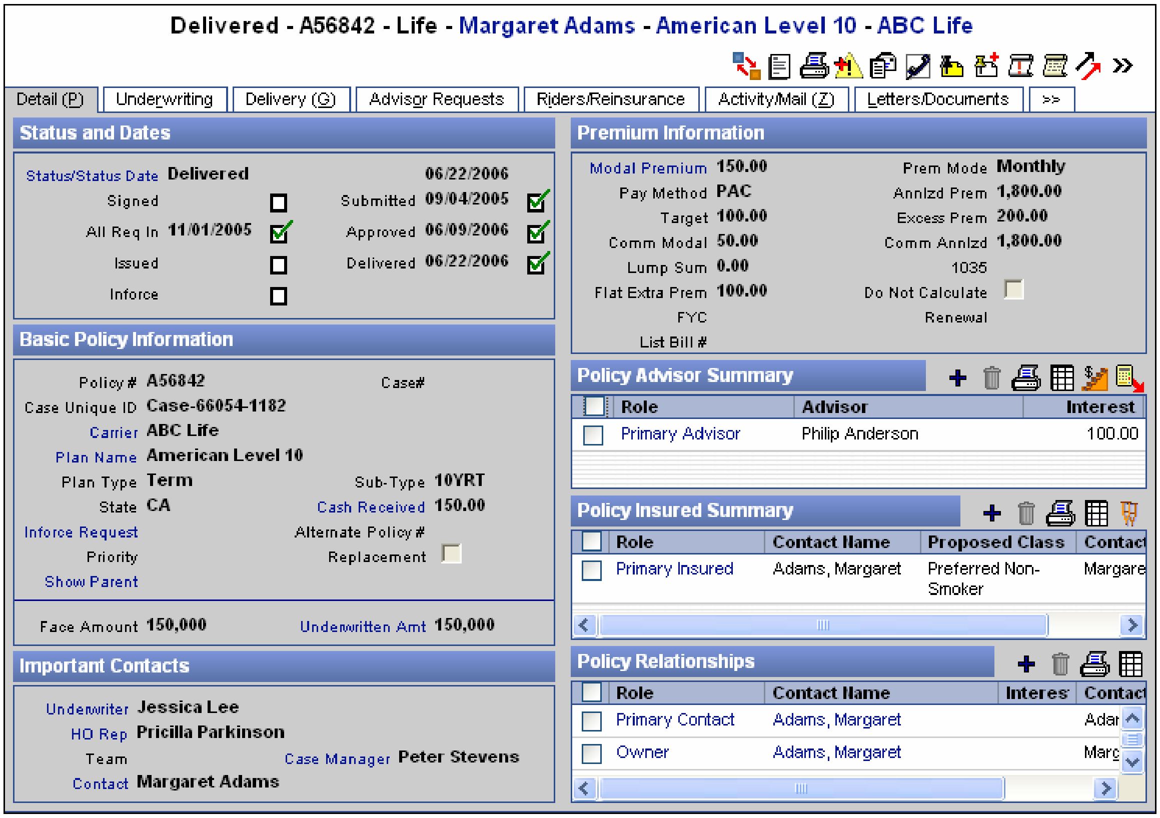
The Individual Policy tab lists all individual policies of the Advisor.

Note that the Agency's Ind. Policy tab lists all individual policies written by Advisors associated with the Agency. The Policy Type, Policy Stage, and Role sorting will default to ALL.



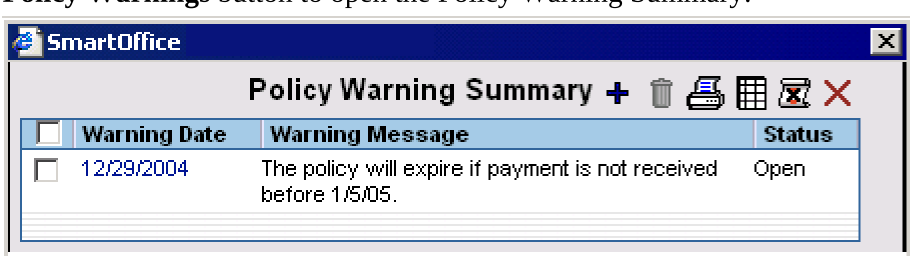
Contact Name	Policy #	Carrier Name	Product Name	Holding Type	Annualized Premium	Role
Ackerman, Joseph M.		A1 Insurance Carriers.		Life		Primary A
Walker, Peter	08185931	ABC Life	Convertible Plus	Life	1,320.00	Primary A
Christiansen, Carolina	090	20th Century Life Insurance	Preferred Life	Life	1,500.00	Primary A
Ansong, Judy A.	092342091	ABC Life	ARTerm	Life	2,000.00	Primary A
Ackerman, Joseph M.	1115552	20th Century Life Insurance	Preferred Life	Life		Primary A
Hwang, Julie	12036Y	ABC Life	Convertible Plus	Life	60.00	Primary A
Walker, Peter	15834942891	ABC Life	Single Pay Life	Life	1,500.00	Primary A
Hallston, Shirley	212663	ABC Life	Assurable Life 5	Life	11,400.00	Primary A
Chung, Harold	230659	ABC Life	American Level 10	Life	100.00	Primary A
Anthony, Brian Test	2416925	ABC Life	American Level 20	Life	1,080.00	Primary A
Ansong, David M.	29347-2	ABC Life	Market Rate Annuity	Annuity	13,000.00	Primary A
Bartelo, Frank J.	40050991	ABC Life	American Level 20	Life	750.00	Primary A

The spreadsheet displays the individual policies for which the selected Advisor is the Primary Advisor. The policies highlighted in pink are in the Underwriting stage. Clicking the first column hyperlink of an Inforce policy opens the Basic Information tab. Click the first column hyperlink of a policy in underwriting to open the Detail tab for the selected policy.

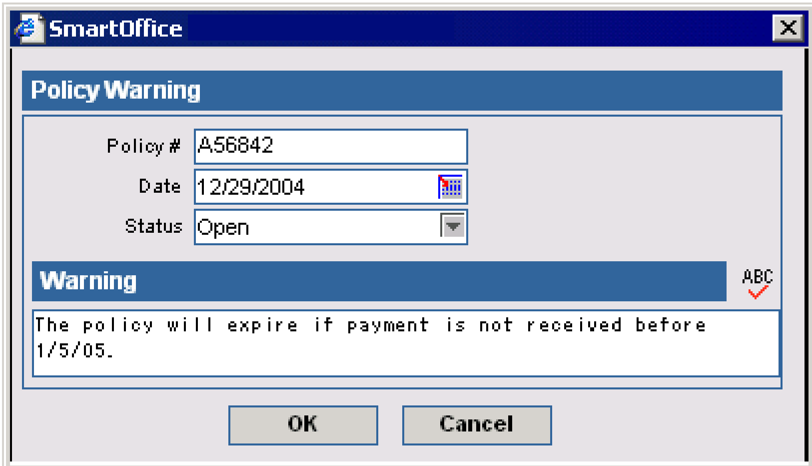


Policy Warnings Button

To view, add, modify, or delete policy warnings, from the Policy/PCM dialog box, click the **Policy Warnings** button to open the Policy Warning Summary.



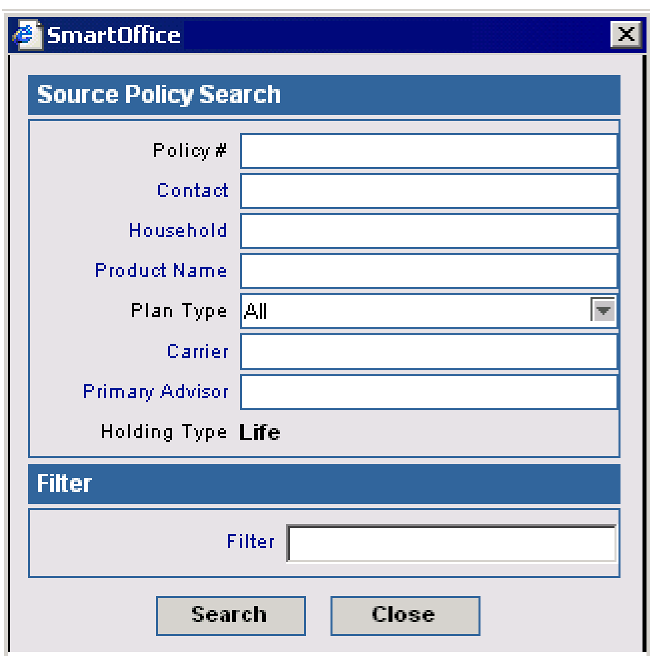
To change the warning status to Closed, tag the warning in the Warning Summary and then click the **Close Warning** button. When a case has a warning with an Open status, the Policy Warnings button will flash as a reminder that something important needs to be addressed on this case. To enter a new warning, click the **Add** button to open the Policy Warning dialog box.



The Policy Warnings button is also available in the Policy or PCM (Pending Case Management) modules. Click the **Cancel** button to close the dialog box.

Policy Merge Button

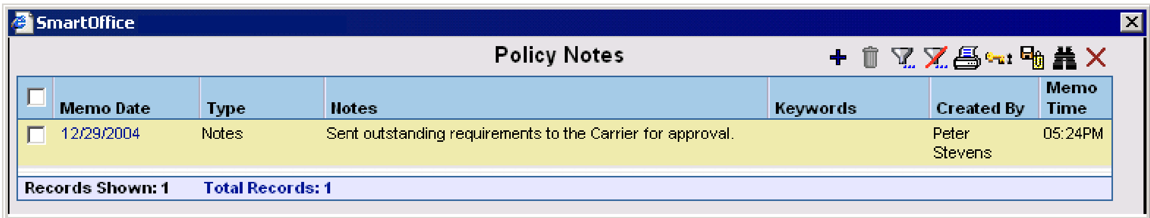
To merge two policies, select **More Features** and then choose **Policy Merge** from the expanded list. The current policy is the target policy. The Source Policy Search dialog box is used to specify the source policy. The Policy Merge button can be accessed from the Carrier, Policy, and Product modules.



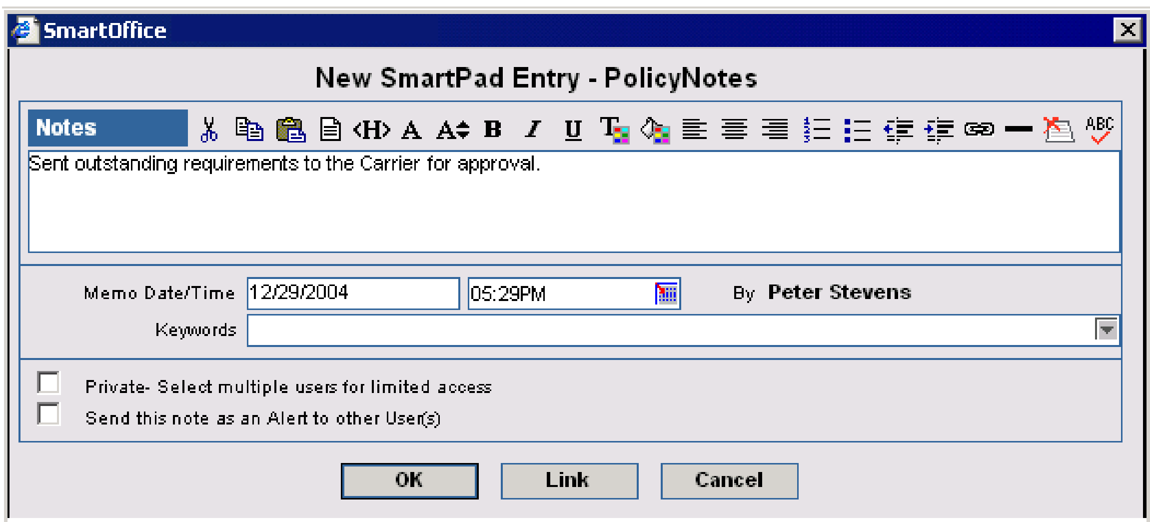
The Policy Merge dialog box opens to confirm the source and target policies. Click the **OK** button to extract the data from the source policy record and enter it into the target policy record. The program prompts before deleting the source record. All information is replaced except the data in the Basic Policy Information section, which includes Policy Number, Carrier Name, and Plan Name. The Interested Parties and Subaccounts are copied but do not replace the existing entries.

Policy Notes Button

To open the Policy Notes list, select the **More Features** button and then choose **Policy Notes** from the drop-down list.



From the Policy Notes window, click the **Add** button to open the New SmartPad Entry – Policy Notes dialog box.



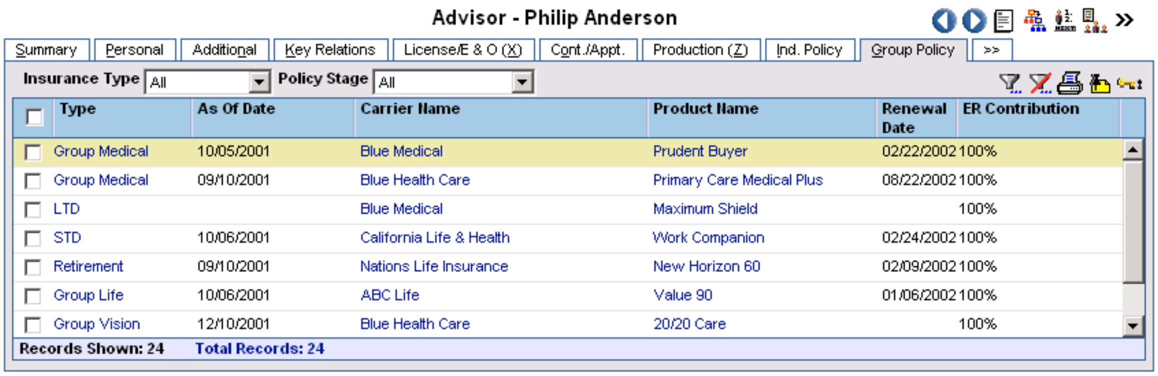
Policy Notes can also be viewed from the Policy or PCM (Pending Case Management) modules.

Calculate Policy Fee Button

The Calculate Policy Fee button is used to recalculate the Policy Fee and the Non-Commissionable Fee. This is useful to update the Policy Fee and Non-Commissionable Fees if the settings in the Product Fee Information section or the Product Fee Commissionable section in the Product module have changed.

Group Policy Tab

The Group Policy tab lists all group policies of the Primary Advisor. Clicking the first column hyperlink opens the Detail information of the group policy.



Type	As Of Date	Carrier Name	Product Name	Renewal Date	ER Contribution
Group Medical	10/05/2001	Blue Medical	Prudent Buyer	02/22/2002	100%
Group Medical	09/10/2001	Blue Health Care	Primary Care Medical Plus	08/22/2002	100%
LTD		Blue Medical	Maximum Shield		100%
STD	10/06/2001	California Life & Health	Work Companion	02/24/2002	100%
Retirement	09/10/2001	Nations Life Insurance	New Horizon 60	02/09/2002	100%
Group Life	10/06/2001	ABC Life	Value 90	01/06/2002	100%
Group Vision	12/10/2001	Blue Health Care	20/20 Care		100%

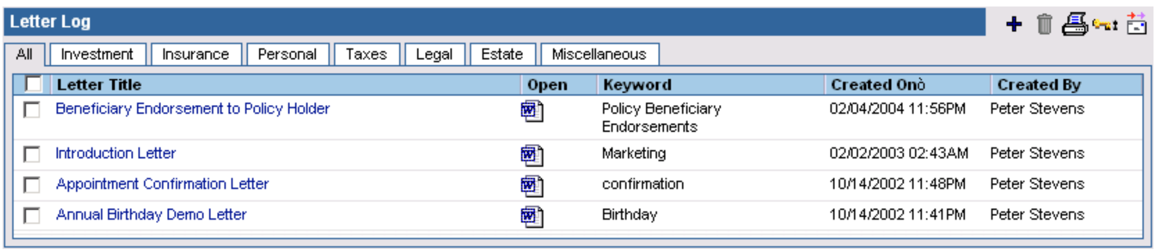
Records Shown: 24 Total Records: 24

Letters/Documents Tab

The Letters/Documents tab contains sent letters and uploaded documents.

Letter Log

The Letter Log lists all letters that were sent to an Advisor. These records include mailed, e-mailed, and faxed letters.

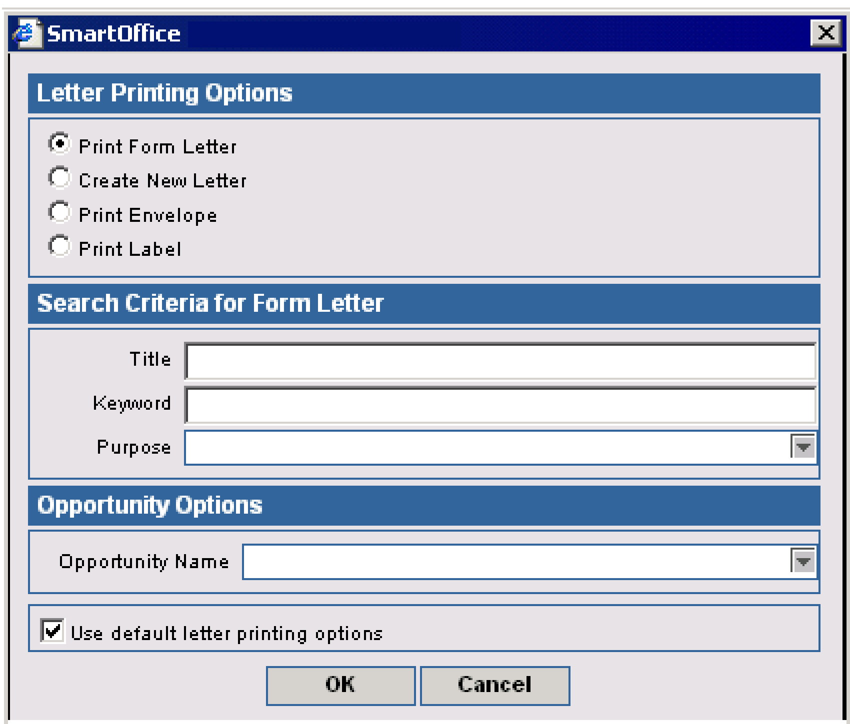


Letter Title	Open	Keyword	Created Onò	Created By
Beneficiary Endorsement to Policy Holder		Policy Beneficiary Endorsements	02/04/2004 11:56PM	Peter Stevens
Introduction Letter		Marketing	02/02/2003 02:43AM	Peter Stevens
Appointment Confirmation Letter		confirmation	10/14/2002 11:48PM	Peter Stevens
Annual Birthday Demo Letter		Birthday	10/14/2002 11:41PM	Peter Stevens

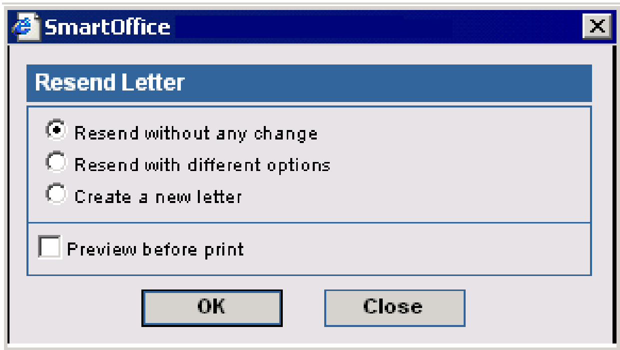
A sent letter can be viewed in detail by clicking on the application icon, located in the Open column.

> September 04, 2001
>
> Norma Peterson
> 946 Dunford St
> Jacksonville, FL 32201
>
> Dear Norma,
>
> Since on October 07 you are having a birthday, I was just writing to find out if I would soon be receiving an invitation to your party?
>
> It's been a tough and lonely year for me at the insurance agency. Hopefully you will brighten up my year by inviting me to your home perhaps for dinner and some birthday cake?
>
> Best wishes, Norma, for a wonderful and productive year!
>
> Sincerely,
>
> Daniel Odell, CLU
> General Agent

An additional letter can be sent to the selected Advisor by clicking the **Add** button.

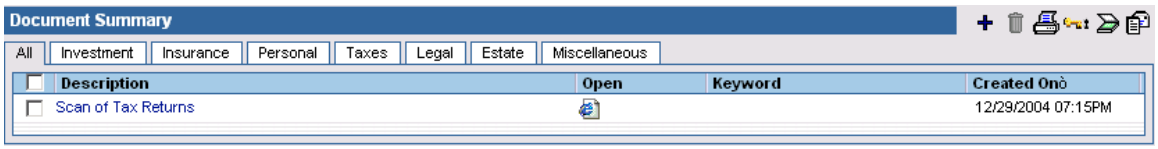


Existing letters can be sent again to the selected Advisor by clicking the **Resend** button.

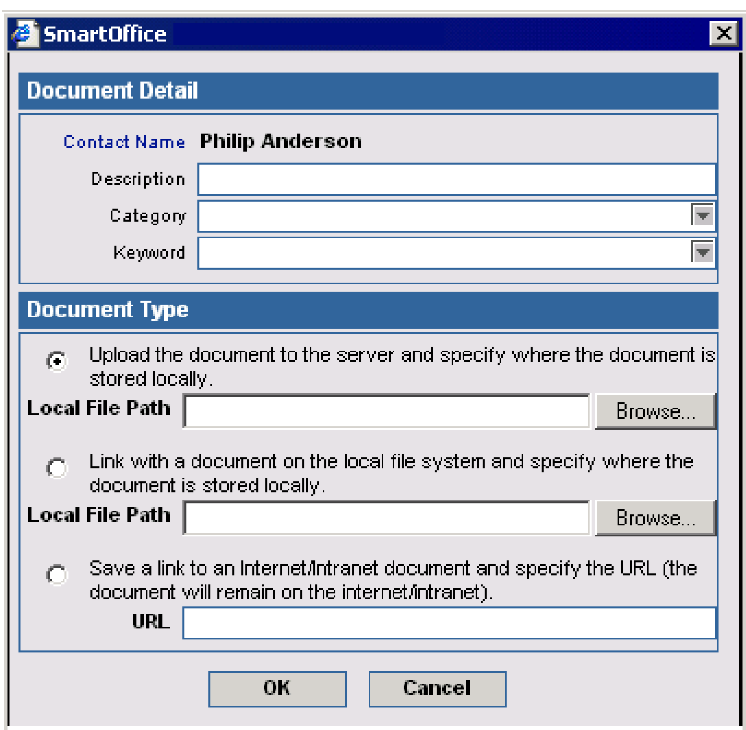


Document Summary

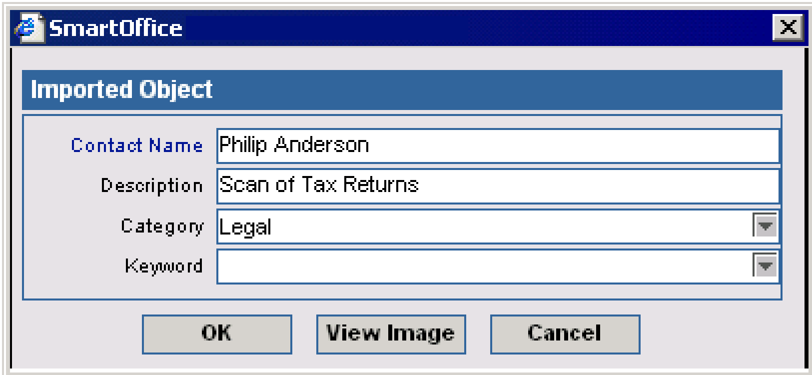
The user can attach a file to an Advisor record. This file can be a document, a picture, or any other type of file. To add a file, click the Document Summary **Add** button to open the Document Detail dialog box.



In the Document Detail dialog box, there are three options for attaching a file. **Upload the document to the server and specify where the document is stored locally** places a copy of the selected file in the SmartOffice database. **Link with a Document on my local file system and specify where the document is stored locally** adds a link to the file on the system. Users need access to your system in order to open the file. **Save a link to the document** will create a link to a file on the Internet (or an Intranet). Documents saved with a category will be available on the sub-tab also. Documents saved in the Investment category are available on the All and Investment sub-tabs.

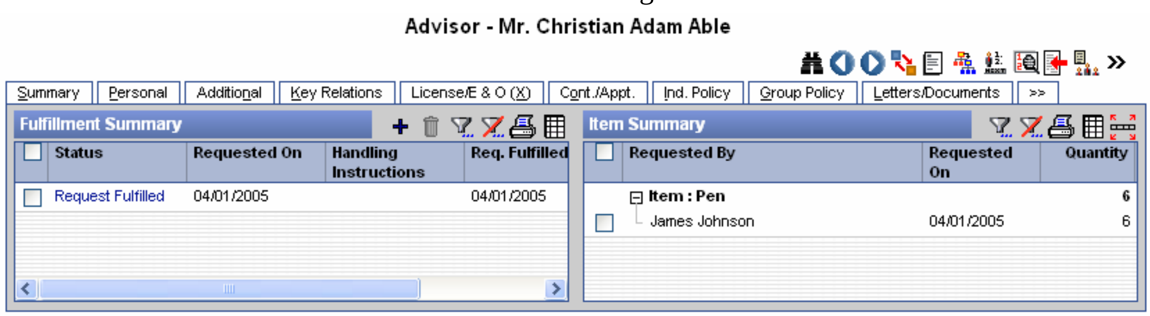


A saved document can be viewed in detail by clicking the application icon, located in the Open column, or by clicking the first column hyperlink of a document. Click the **View Image** button in the Imported Object dialog box to view the detail information.



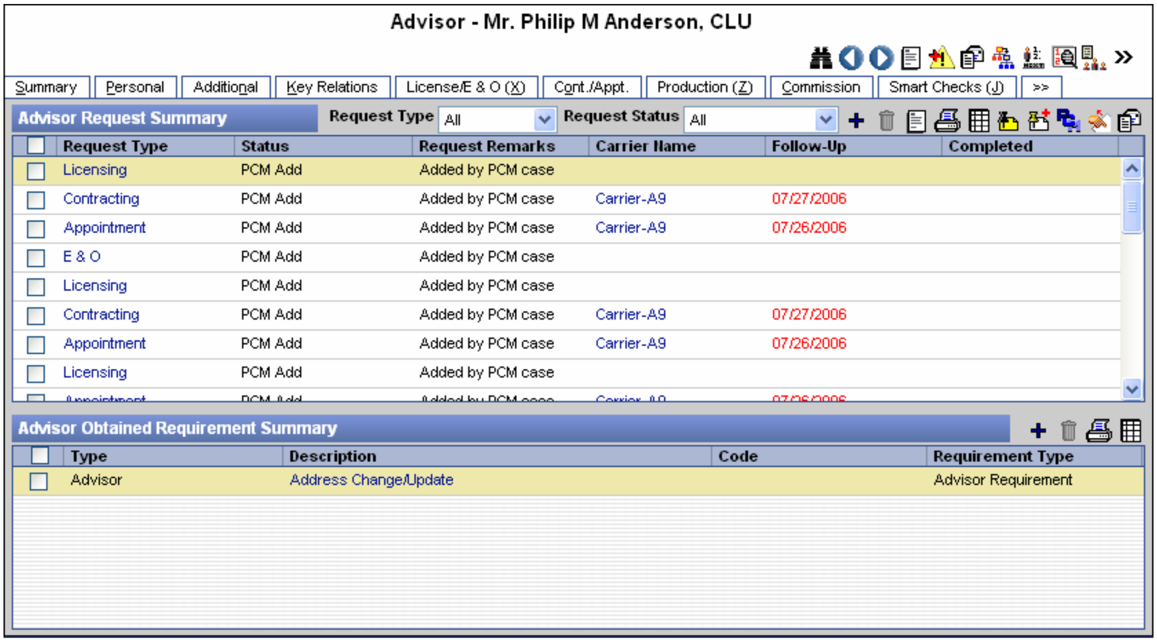
Fullfillment Tab

The Fulfillment tab has two sections – the Fulfillment Summary, which displays a date list of all requests, and the Item Summary, which displays a list of all items requested, sorted by item. When viewing the list of all requests, the user can quickly see which requests have been shipped and which have not due to the color-coding of the item. Items in red have not been shipped. The Fulfillment tab requires that the current office has a license for SmartFulfillment and that the user have the Fulfillment tab license selected in User Management.



Request/Requirement Tab

For more information on Advisor Request functionality and the Agency Manager Role, refer to the *Advisor Request Logic* document.



Request Type	Status	Request Remarks	Carrier Name	Follow-Up	Completed
Licensing	PCM Add	Added by PCM case			
Contracting	PCM Add	Added by PCM case	Carrier-A9	07/27/2006	
Appointment	PCM Add	Added by PCM case	Carrier-A9	07/26/2006	
E & O	PCM Add	Added by PCM case			
Licensing	PCM Add	Added by PCM case			
Contracting	PCM Add	Added by PCM case	Carrier-A9	07/27/2006	
Appointment	PCM Add	Added by PCM case	Carrier-A9	07/26/2006	
Licensing	PCM Add	Added by PCM case			

Type	Description	Code	Requirement Type
Advisor	Address Change/Update		Advisor Requirement

Advisor Request Summary

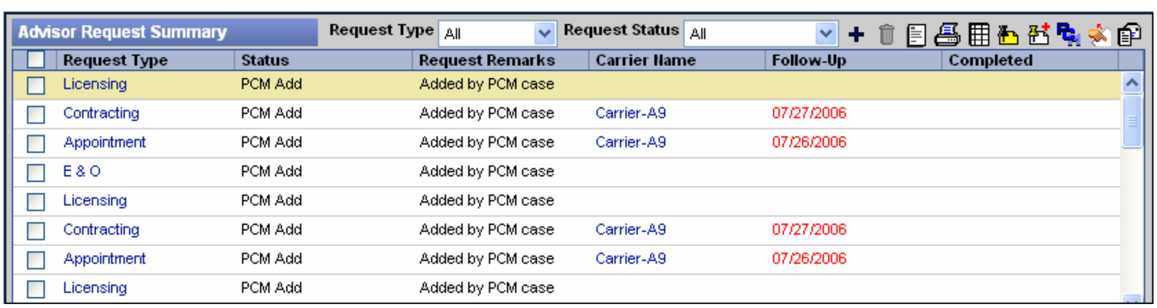
An Agency Manager can view all requests assigned to a specific Advisor/Agency in the Advisor Request Summary. These requests are outstanding requirements that an Advisor/Agency needs to complete in order to sell current pending cases.

Take Back a Request Button

If an Advisor has taken over ownership of a request from another Advisor, the original owner can take the request back by clicking the **Take Back a Request** button.

PCM Button

To view the related pending case for the request, tag a request added during PCM Add and then click the **PCM** button.



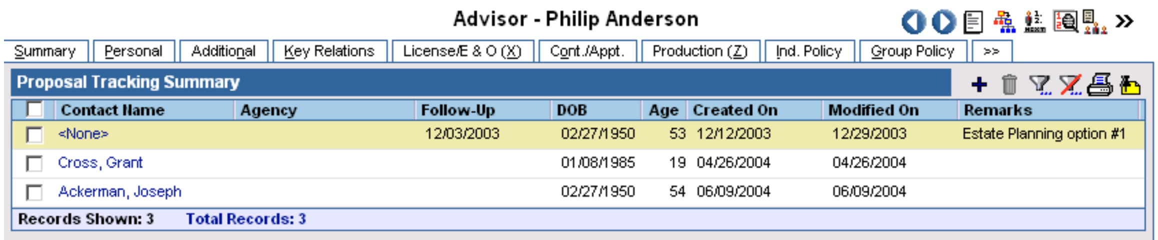
Request Type	Status	Request Remarks	Carrier Name	Follow-Up	Completed
Licensing	PCM Add	Added by PCM case			
Contracting	PCM Add	Added by PCM case	Carrier-A9	07/27/2006	
Appointment	PCM Add	Added by PCM case	Carrier-A9	07/26/2006	
E & O	PCM Add	Added by PCM case			
Licensing	PCM Add	Added by PCM case			
Contracting	PCM Add	Added by PCM case	Carrier-A9	07/27/2006	
Appointment	PCM Add	Added by PCM case	Carrier-A9	07/26/2006	
Licensing	PCM Add	Added by PCM case			

Advisor Obtained Requirement Summary

The Advisor Obtained Requirement Summary displays all Advisor-obtained requirements other then appointment, contract, error and omissions insurance, and licensing.

Proposal Tracking Tab

The Proposal Tracking tab is used to track illustrations that an Advisor has sent to a potential insured.



Click the **Add** button to add a Proposal. The Primary Insured field is a mandatory field that stores the information regarding the Primary Insured for which the proposal is being created. The Primary Advisor field defaults to the current advisor. The Follow-Up date can be set to track the status. The Gender, Birth Date, Age, and Tobacco fields are automatically populated when a Primary Insured is specified. The User field stores information about the user who has created the proposal.

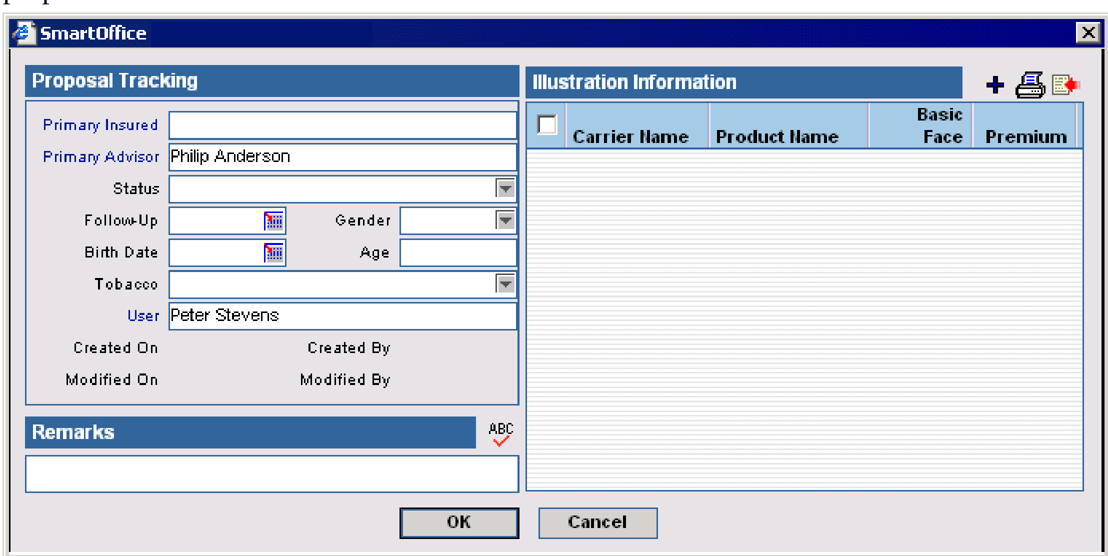
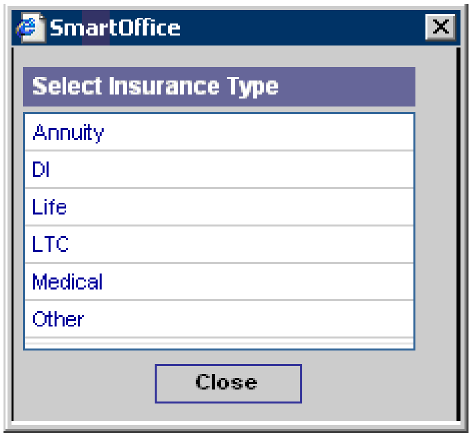
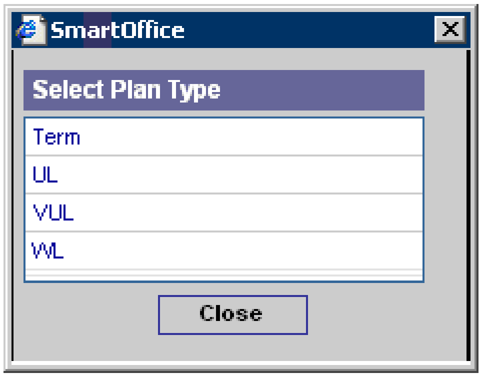


Illustration Information

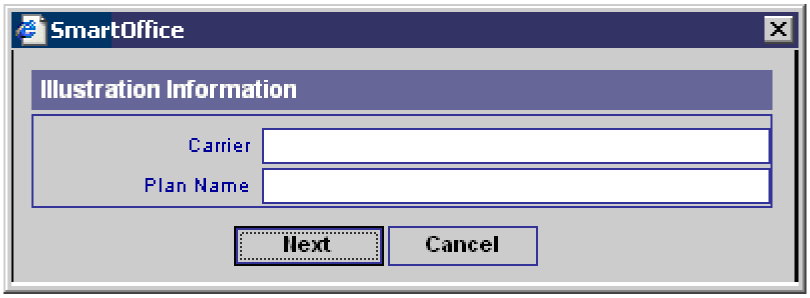
Multiple Illustrations can be attached with a proposal. To add an Illustration, click the **Add** button to open the **Select Insurance Type** dialog box.



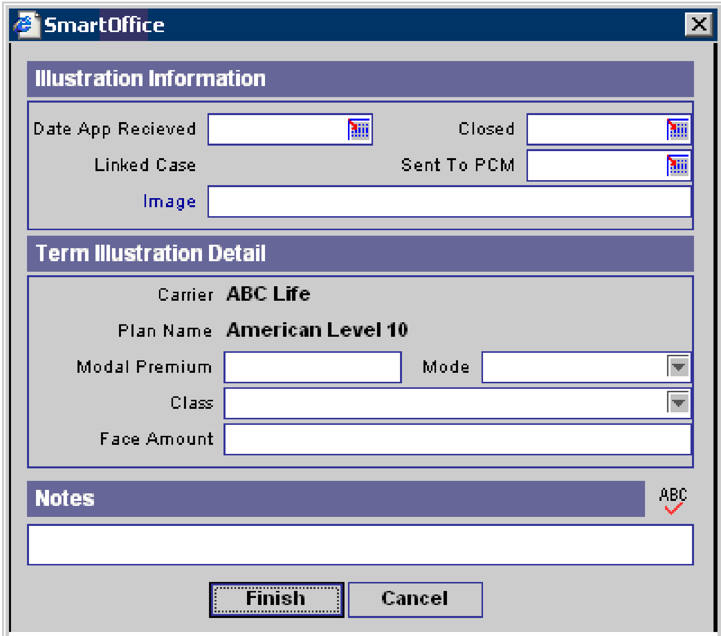
Select any insurance type to open the Select Plan Type dialog box. The different options in the dialog box are specific to the selected insurance type.



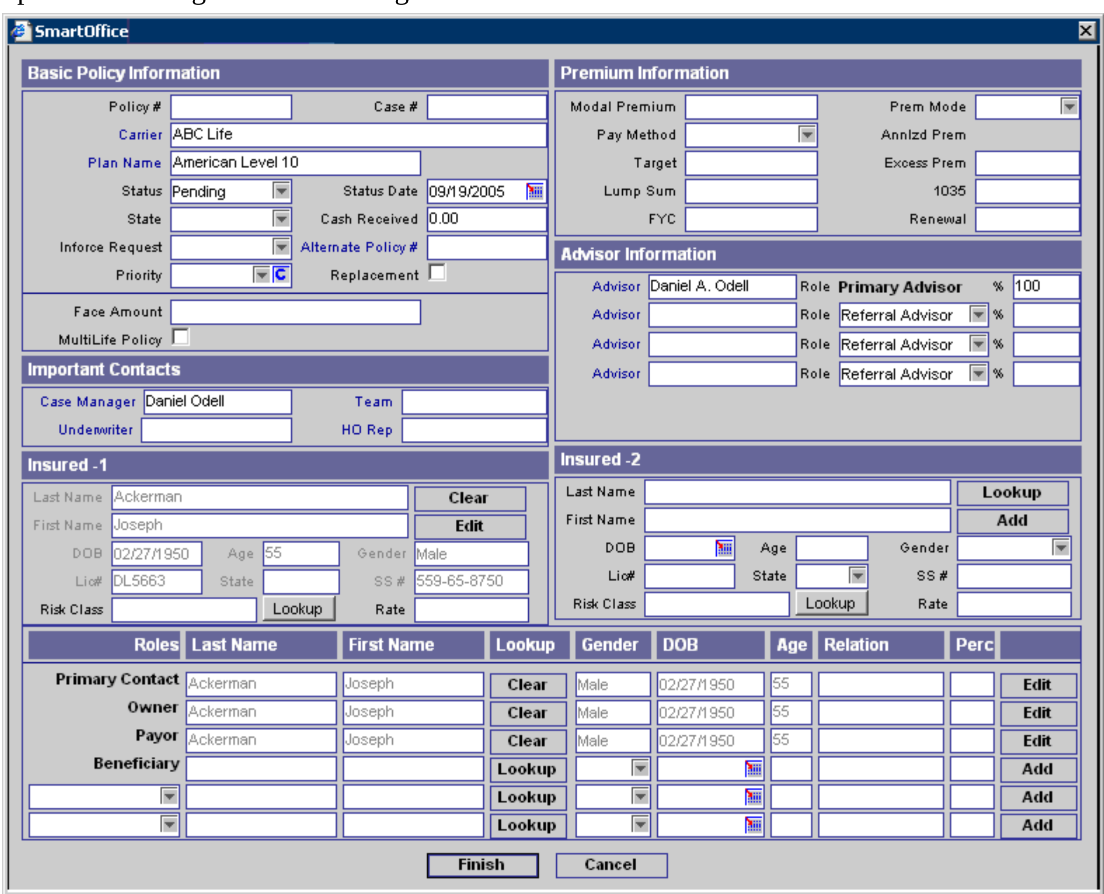
Select a plan type to open the Illustration Information dialog box. The Carrier and Plan Name fields are mandatory fields.



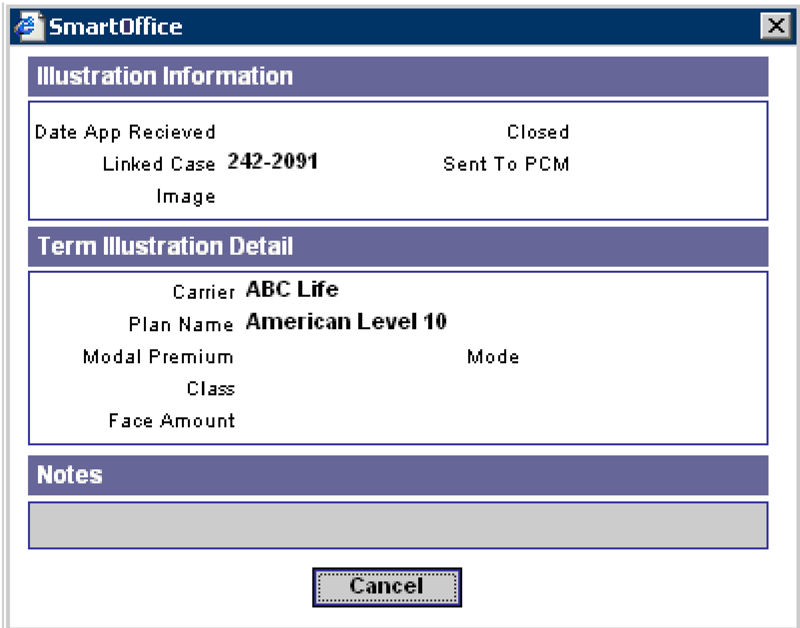
Select a Carrier and Plan Name using the corresponding hyperlinks and then click the **Next** button to open the next Illustration Information dialog box.



The Linked Case field populates when Illustration Information is sent to PCM using the Convert to Pending Case button. Tag an Illustration and then click the **Convert to Pending Case** button to open the Pending Case Add dialog box.



Click the **Finish** button to complete the process. Once an Illustration has been converted to a Pending Case, this information will become read-only. Click the first hyperlink in the Illustration Information section to display the read-only information.



Custom Tab

The Custom tab consists of customizable Alphanumeric, Numeric, Integer, Date, and Checkbox fields.

The field names can be edited by clicking the **Customize Labels** button. Enter new field labels into the appropriate fields. Only the altered fields are displayed on the Custom tab.