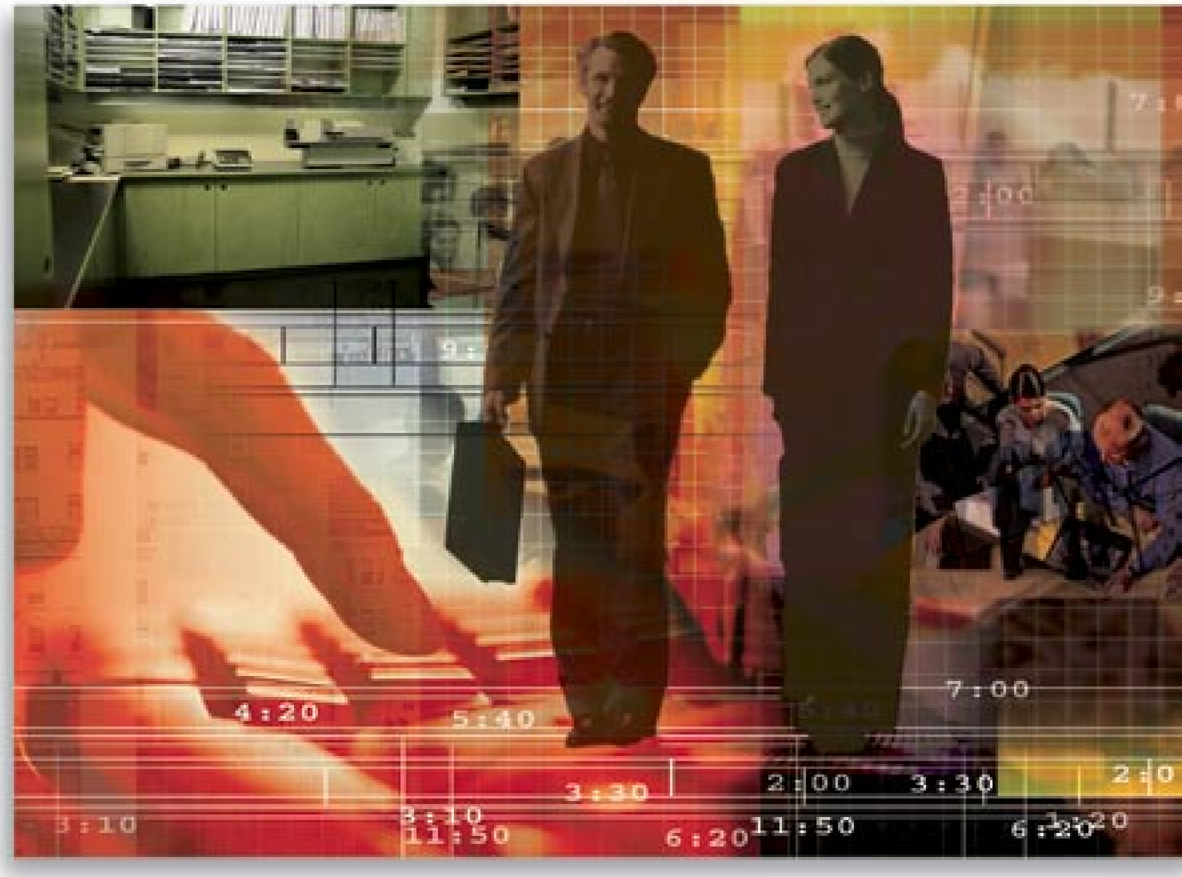
SmartWholesaler
Canadian Edition
User Guide



918 E. Green Street

Pasadena, CA 91106

Web -http-//www.ez-data.com

Telephone: (626) 585-3505

Fax: (626) 440-9097

U.S. toll-free fax: (800) 779-3123

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Introduction

The SmartWholesaler module automates the process of tracking the production of different Products sold by the Wholesalers/Sales Reps which are serviced by different Sales Channels. The tracking process begins when Distributors are added to SmartOffice. The SmartWholesaler module, with the Carrier, Product, Pending Case, Policy, Advisor and Opportunity modules, maintains information about each stage of the production, from the wholesaler's inception to production. The following are some key SmartWholesaler features:

- Territory Management - Configure the team for maximum impact
- Production Dashboard - View the production in your territories
- New Business/Pending Case View - View the new business being processed (optional module)
- Sales Opportunities & Forecasting - Drive the success of your sales team (optional module)
- Contact/Account Management - Keep track of your top producing reps and firms
- Mass E-mail/Direct Marketing - Simplify your mass marketing effects
- Materials Fulfillment - Fulfill collateral requests with ease
- Seminar Management - Coordinate resources, issue invitations and reminders, maintain RSVP and waiting lists and report on expected results by seminar (optional module)

User Types in SmartWholesaler

There are two types of SmartWholesaler Module users - Wholesaler Administrator and Wholesaler (Standard).

Creating Users

To create a Wholesaler Administrator and Wholesaler (Standard) user, the following roles should be activated:

Wholesaler Administrator

User Management - User Name - User Roles/Licenses tab

- From User Roles, select **Base SmartOffice**.
- From Module/Licenses, select **Wholesaler Setup Administrator** and **Wholesaler**.

User Management - User Name - Detail tab

- User Type: **Wholesaler**

Wholesaler Only

User Management - User Name - User Roles/Licenses tab

- From User Roles, select **Base SmartOffice**.
- From Module/Licenses, select **Wholesaler**.

User Management - User Name - Detail tab

- User Type: **Wholesaler**.

Initial Setup

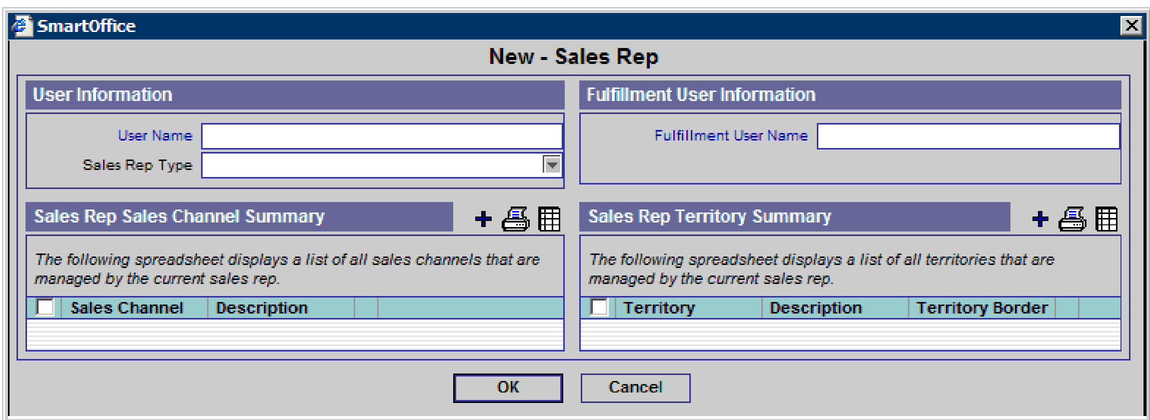
The following features are used to configure the system with company specific settings which identify Sales Reps, Territories, Sales Channels and Inventory. These settings affect Producer/Firm visibility, reporting and other parts of the system. This section of the SmartWholesaler module is only available to Administrative users. To access the Wholesaler Setup, from the side menu, click **Wholesaler** and then select **Setup** from the expanded list to open the Sales Rep Setup List dialog box.

Sales Reps

Sales Reps must be SmartOffice users. When a Sales Rep user is defined, assign them to a Sales Channel and a Territory. There may be one or more Sales Reps assigned to the same Sales Channel and the same Territory. Territories are not unique per sales channel. It is recommended that the Sales Channel and Territory be defined prior to adding the Sales Reps.

Add Sales Reps

To add a Sales Rep, click the **Add** button from the Sales Rep Summary toolbar. This will open the New – Sales Rep dialog box.



User Information Fields

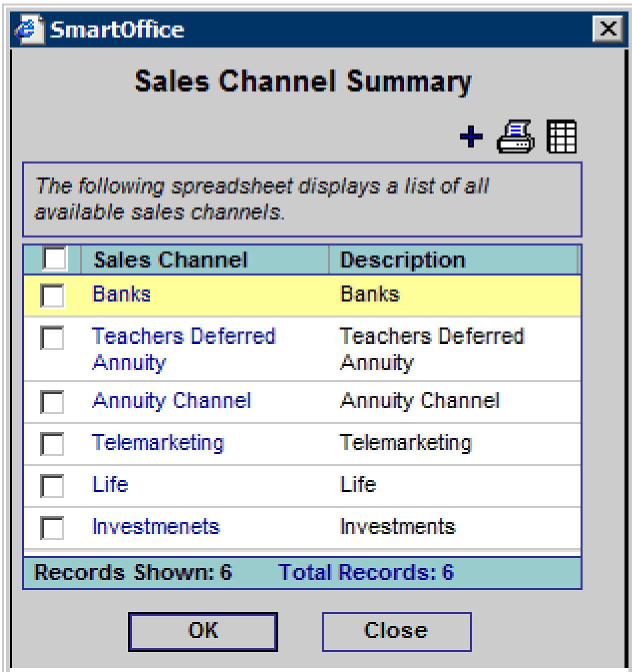
- **User Name** - Click the **User Name** hyperlink to display the list of users and then select the appropriate User Name. This is the only mandatory field in this dialog box.
- **Sales Rep Type -** This is a drop-down field with two choices: External and Internal. Select the appropriate option.

Fulfillment User Information

Fulfillment User Name - Click the **Fulfillment User Name** hyperlink to display the list of users. Select the appropriate user from the Available User dialog box to handle the fulfillment request for the Sales Rep.

Sales Rep Sales Channel Summary

The Sales Rep Sales Channel section displays all the Sales Channels associated with the Sales Rep. To add a Sales Channel to a Sales Rep, click the **Add** button to open the Sales Channel Summary dialog box.

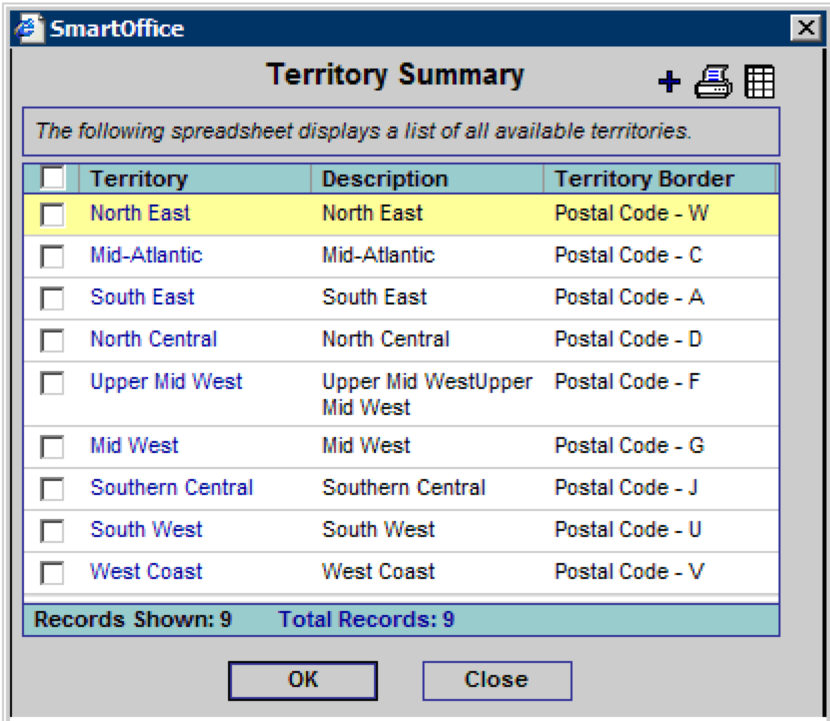


Select the appropriate Sales Channel and then click the **OK** button. (The user can add more Sales Channels from this dialog box by clicking the **Add** button.) The newly selected Sales Channel displays in the Sales Rep Sales Channel Summary.

Sales Rep Territory Summary

The Sales Rep Territory section displays all the Territories associated with the Sales Rep.

1. To add a territory to a Sales Rep, click the **Add** button to open the Territory Summary dialog box.



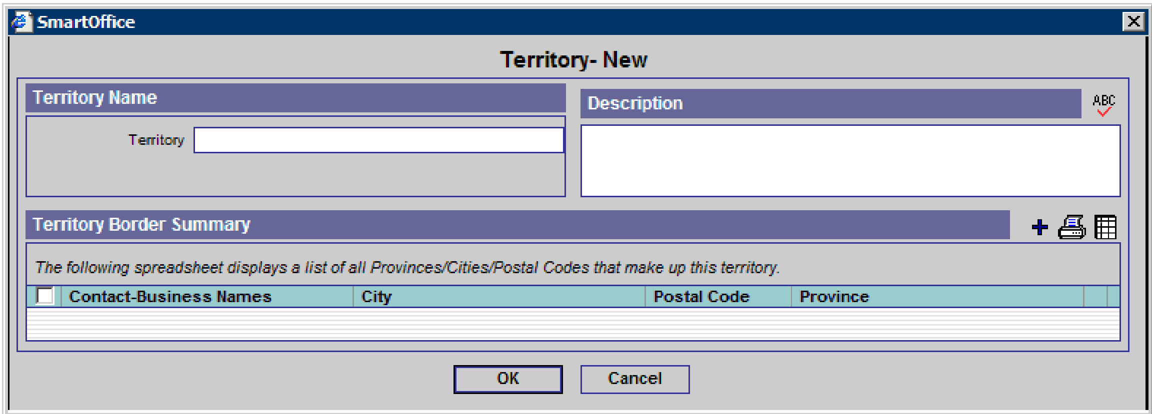
2. Select the appropriate Territory and then click the **OK** button. (The user can add more Territories from this dialog box by clicking the **Add** button.) The newly selected territory displays in the Sales Rep Territory Summary.
3. After entering the appropriate data, click the **OK** button to save the Sales Rep.

Territories

A territory is defined by its borders, which can include City, Province, Postal Code or even a Firm Name. If a postal code is used, it can be as much or as little of the code as appropriate. For example, if the letter V is entered in the Postal Code field, this would effectively identify the territory as British Columbia. If V9 is entered it would reduce the territory to metropolitan areas in BC. It is possible to enter multiple postal codes to have the territory specifically defined. The use of City, Province or Postal Code entries are unique but with any of those entries you can also enter a Firm Name. Filter conditions can also be used to define a territory border, exclusively or in combination with a Firm or with a City, Province or Postal Code.

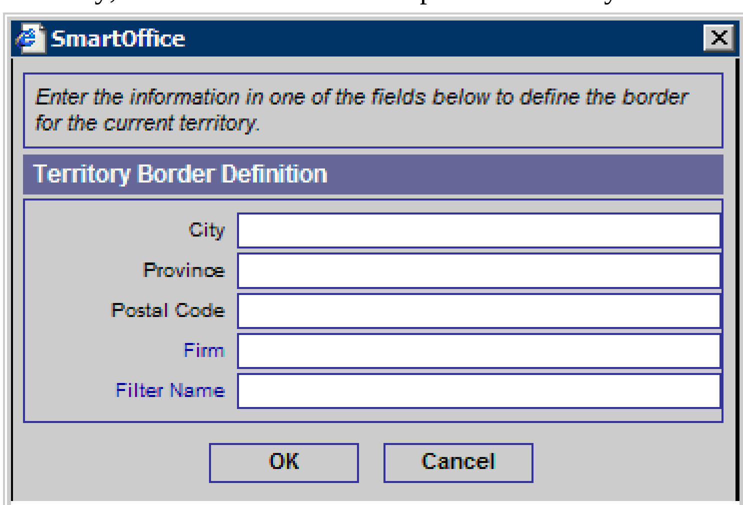
Add a Territory

To add a new Territory, click the **Add** button from the Territory Summary. This will open the Territory-New dialog box.



Territory Fields

- **Territory Name -** Enter the name of the territory (e.g., Southwest).
- **Description** - The Description section is a free form field that stores miscellaneous information about the territory.
- **Territory Border Summary** - The Territory Border Summary section displays the specific conditions for the territory (e.g., Postal Code, City, Province). To add conditions to the Territory, click the **Add** button to open the Territory Border Definition dialog box.



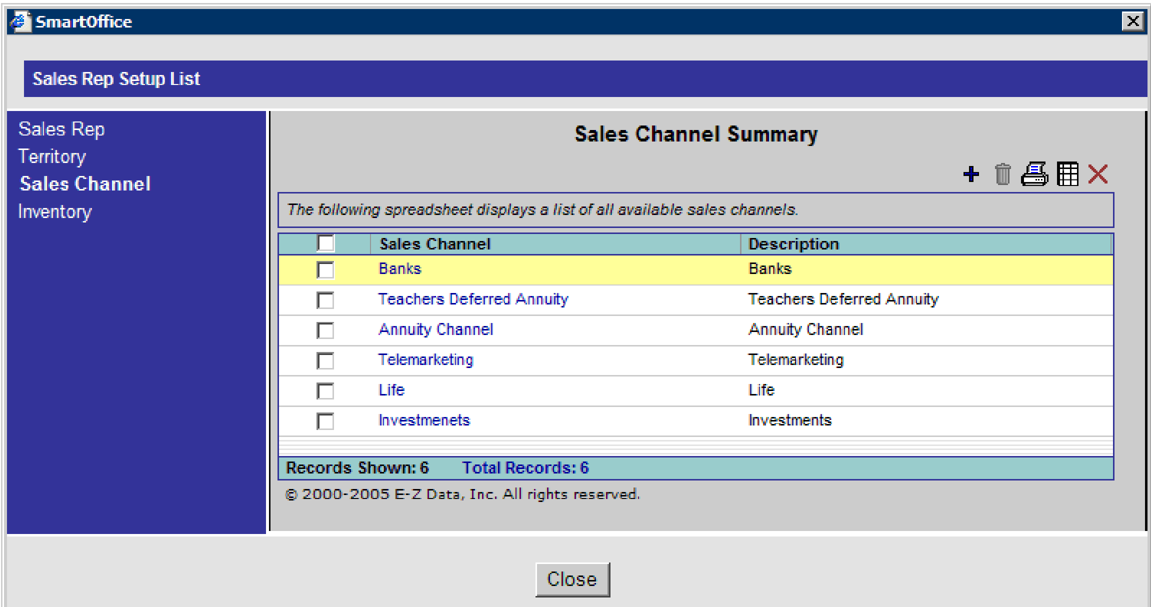
Territory Border Fields

- **City -** Enter the specific city name for the territory. When the city name is entered, the State and Postal Code fields no longer display in the dialog box; however, the Firm Name and Filter Name fields are available.
- **Province -** Enter the specific province or territory name for the territory. When the province name is entered, the City and Postal Code fields no longer display in the dialog box; however, the Firm Name and Filter Name fields are available.
- **Postal Code** – Enter the specific Postal Code for the territory. When the postal code is entered, the City and Province fields no longer display in the dialog box; however, the Firm Name and Filter Name fields are available.

- **Firm -** Enter the specific firm name for the territory. When the Firm name is entered, the user has the option to select another field in the dialog box (if necessary).
- **Filter Name -** Enter the specific filter name for the territory. When the filter name is entered, the user has the option to select another field in the dialog box (if necessary).

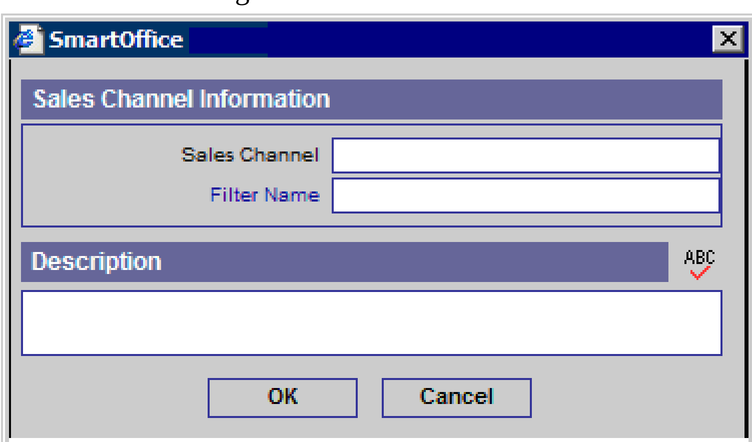
Sales Channels

This section identifies the different types of Sales Channels which are being served (e.g., Banks, Life, Disability, Annuity, etc.).



Add Sales Channel

To add a new Sales Channel, click the **Add** button from the Sales Channel Summary to open the Sales Channel dialog box.



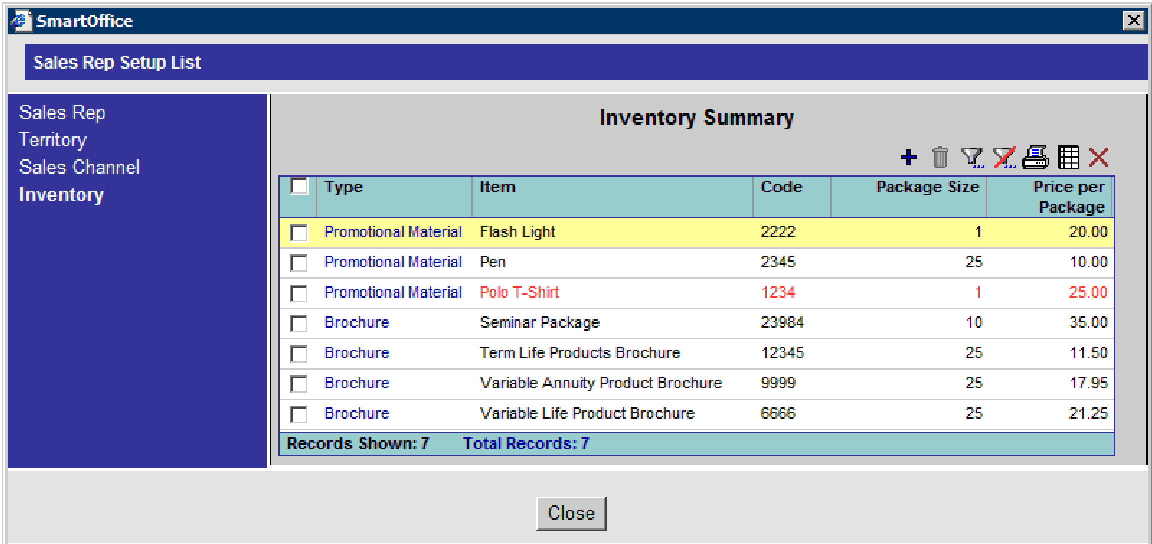
Sales Channel Fields

- **Sales Channel -** Enter the Sales Channel Name.
- **Filter Name -** Enter a filter name to use as the Sales Channel.

Enter the appropriate information and then click the **OK** button to save the Sales Channel.

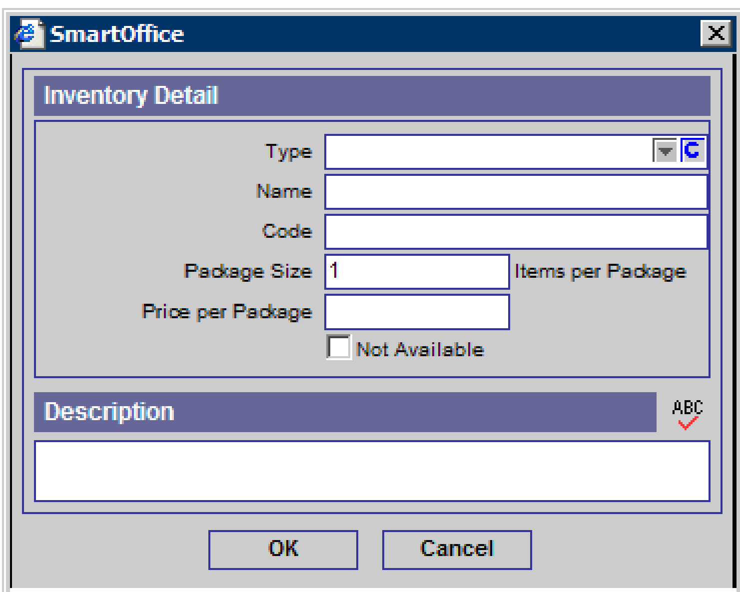
Inventory

The Inventory Setup feature enables the user to enter items that the home office provides to Producer/Firms.



Add Inventory

To add a new Inventory, click the **Add** button from the Inventory Summary to open the Inventory Detail dialog box.



Inventory Detail Fields

- **Type of material -** Enter the subject of the material (e.g., Brochures, Illustrations, Promotional materials, etc.)
- **Name of the item(s) -** Enter the name of items (e.g., Pens, T-Shirts, Flashlights, etc.). This is a mandatory field.
- **Inventory code -** Enter the appropriate code.
- **Package size (number of items per package) -** Enter the number of items in a package.

- **Price per package -** Enter the cost of the package.
- **Not Available -** Indicates that the item is not currently available. The unavailable items are shown in red on the Material Request screens.
- **Description -** The Description section is a free form field that stores miscellaneous information about the item.

Enter the appropriate information and then click the **OK** button to save the Inventory.

SmartWholesaler Administrative View

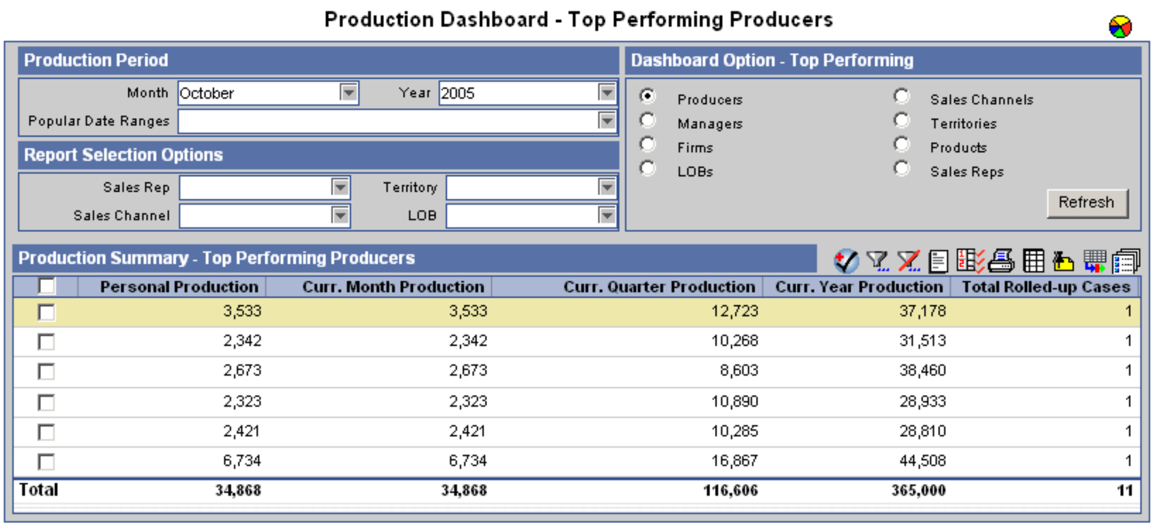
The menu for the Wholesaler Setup Administrative User is shown below:

- **Production Dashboard -** Analyze the Wholesaler data.
- **Distributor Search -** Display the Distributor Summary.
- **Sets -** Use sets to group records for target marketing purposes.
- **Last Active Distributor -** Display a list of most recent active Distributors.
- **Duplicate Distributors -** The Duplicate Distributors list is used to delete, print or merge duplicate distributor records.
- **Deleted Distributors -** The deleted distributors can be restored or permanently deleted.
- **Exception Named Account -** Display a summary of the Named Account.
- **Fulfillment Center -** Display the Fulfillment Summary to fulfill and delete requests.
- **Setup -** Define Sales Rep, Territory, Sales Channel and Inventory.
- **Territory Realignment -** This feature can be used to automatically assign Producers and firms to the appropriate sales representative.
- **Advisor Request -** Track the Advisor requests.
- **Follow-Up -** Used to follow-up on the Advisor requests.

Production Dashboard – Wholesaler Administrative User

This exciting feature provides a quick, easy, powerful view of the most important Distributors' production information for sales reps and sales line management. It is important to remember that the Dashboard reporting is completely dependent on the data which is downloaded into the system.

Select the **Wholesaler** menu item and then select **Production Dashboard** from the expanded menu to open this console which helps track production information.



	Personal Production	Curr. Month Production	Curr. Quarter Production	Curr. Year Production	Total Rolled-up Cases
	3,533	3,533	12,723	37,178	1
	2,342	2,342	10,268	31,513	1
	2,673	2,673	8,603	38,460	1
	2,323	2,323	10,890	28,933	1
	2,421	2,421	10,285	28,810	1
	6,734	6,734	16,867	44,508	1
Total	**34,868**	**34,868**	**116,606**	**365,000**	**11**

(Some of the report options listed below may be limited by the level of data required.)

- **Production Period**: Multiple ways to select date ranges. Select Month, Year or Popular Date Range options to display the report.
- **Report Selection Options**: Multiple ways to select date ranges. Depending on user security and rights, select reports by:
  - Sales Rep
  - Territory
  - Sales Channel
  - LOB
- **Dashboard Option - Top Performing**: Use this option to quickly locate the top performing producers by:
  - Producer/Firms
  - Managers
  - Firms
  - LOBs
  - Sales Channels
  - Territories
  - Products
  - Sales Reps

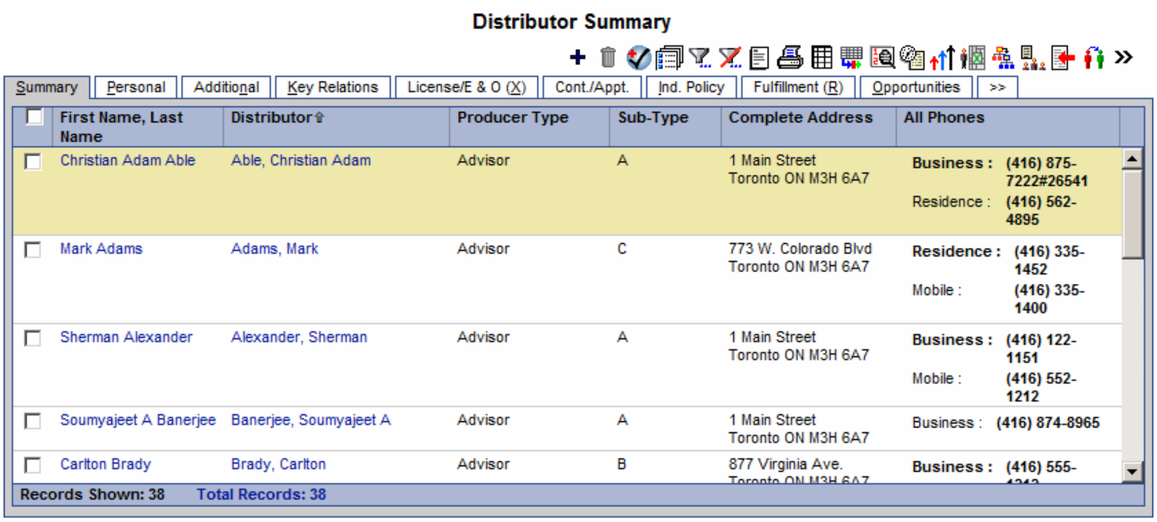
Select the appropriate options and then click the **Refresh** button to display the results.

Distributor Search

From the side menu, click **Wholesaler** and then select **Distributor Search** from the expanded menu to open the Producer/Firm Search Option dialog box. Specify the Distributor Name, Contract No., Sales Rep, Territory and/or Sales Channel. To search based on a city, province, postal code or phone number; click the **Advanced Search Options** button. Alternatively, click the **Filter** or **Set** field title hyperlink to select a Filter or Set to narrow the search results. Click the **Search** button to locate all matching Distributor records.

Summary

The Distributor Summary displays the results of a Distributor Search. All records that match the criteria designated for the search display in the Summary. The Summary tab presents an overview of the Distributor records.



Distributor Summary Toolbar Buttons

- **Sales Rep Assignment (Automatic) -** A Distributor can be assigned a Sales Rep automatically depending on the territory and preferred address of the Distributor.
- **Distributor Hierarchy -** The Distributor Hierarchy spreadsheet displays the hierarchy for the current Distributor. If the selected record is a Producer then the spreadsheet displays the Firm & Producer hierarchy for the current Producer record or if the current record is a Firm, the spreadsheet displays the firm hierarchy for the current record. For details, refer to the *Distributor Hierarchy* section.
- **Contract Hierarchy -** Click the **Contract Hierarchy** button to open a Contract Hierarchy dialog box with two sections; the first section is the Distributor Contract Information section. This section displays all of the Distributor Contract records that are present in the Distributor Contract Information section. The corresponding Contract Hierarchy is displayed in the Distributor Contract Hierarchy section. After selecting the distributor Contract, click the **Reload** button to display the Contract Hierarchy for the selected distributor contract in the contract hierarchy section. For details, refer to the *Contract Hierarchy* section.
- **Fulfillment Request -** This feature is designed to make it easy to respond to one of the most common types of contact between a Sales Rep and Producer/Firm, that is, to quickly respond to requests for materials and sales aids. This feature also enables the tracking of material requests and can track how much is being spent on the firms. From the Producer/Firm/Firm Summary, select the **Fulfillment Request** button. Enter the Handling Option and any Items which the Sales Rep has requested. All the items, which are entered into this screen, are now tracked.

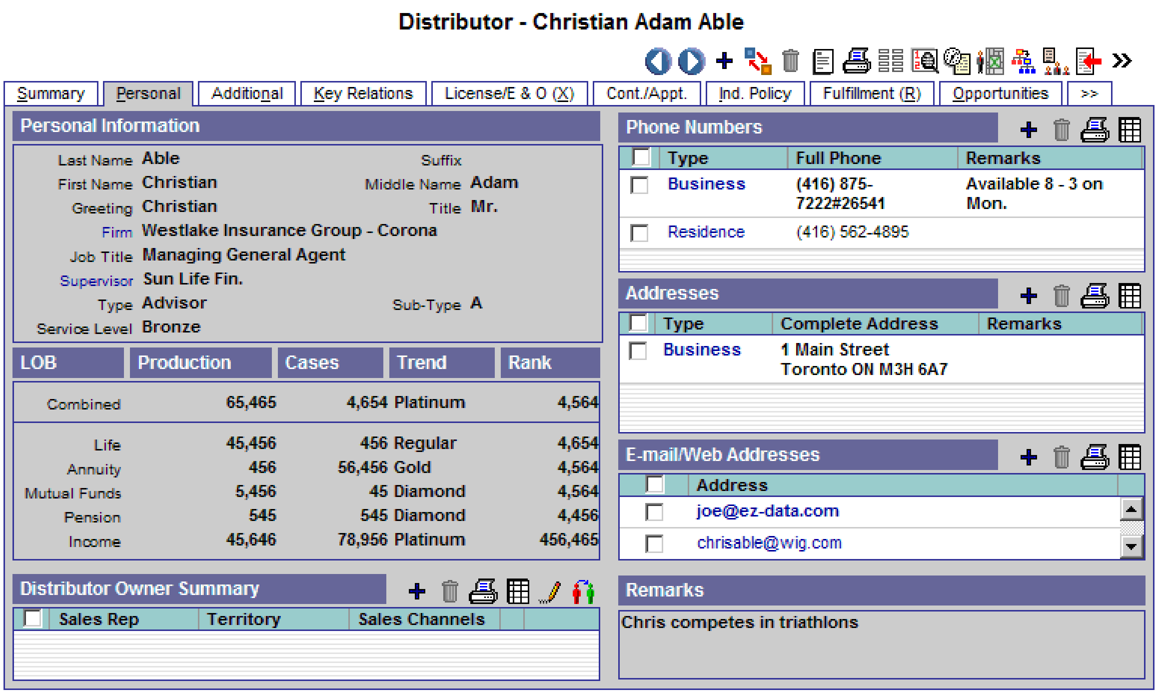
- The Producer Owner Transfer toolbar button is used to mass-reassign the selected Distributors to a different Sales Rep. Select the appropriate distributor records from the Distributor Summary and then click the **Producer Owner Transfer** button. The Sales Rep Summary displays the list of available Sales Reps. Click a Sales Rep record that needs to be changed that is common to the selected Distributor records. The Producer Owner Detail dialog box displays. Select a Sales Rep from the drop-down list (this lists all the Sales Reps that are present in the Current User Proxy For list). The Sales Channel and Territory fields are populated in the Producer Owner Detail dialog box. Click the **OK** button. The new Sales Rep is now assigned to all of the selected distributors.

Distributor - Detail Tab

The Detail tab contains details regarding the specified Distributor.

Producer - Personal Tab

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



Personal Information Section

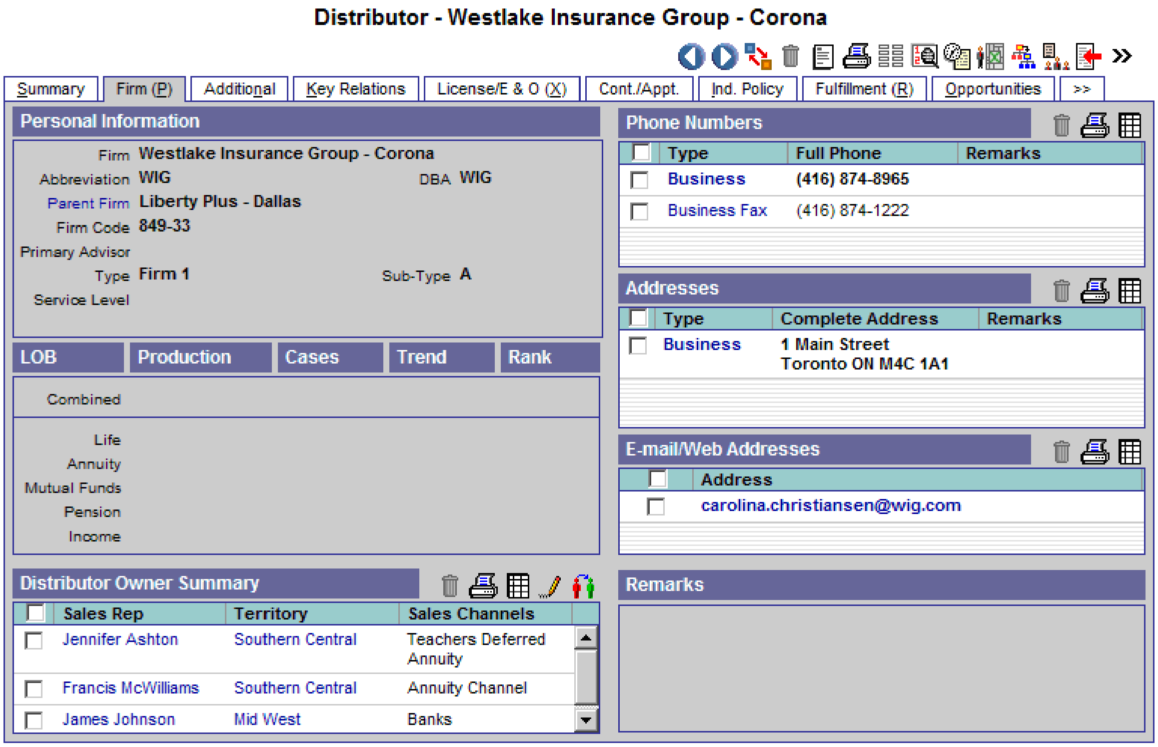
- **Last Name -** This mandatory field lists the Producer's last name.
- **Suffix -** The Producer's name extension, if any.
- **First Name -** The Producer's first name.
- **Middle Name -** The Producer's middle name.
- **Greeting -** The preferred name to use when addressing the Producer.
- **Title -** The Producer's title.
- **Firm -** The name of the Firm for which this Producer works.
- **Job Title -** The Producer's job title.
- **Supervisor -** The Supervisor field is used to link the Producer to the Supervisor-Producer.
- **Type -** The Type can be Advisor, Broker, General Agent, Manager, Sales Staff and Staff, etc.
- **Sub-Type -** The Sub-type drop-down options depend on the Type selected.
- **Service Level -** These are the various levels of Producer depending upon their performance such as Gold, Platinum, Regular or Silver.

LOB Section

This section includes Line of Business details of the Producer/Firm. The field labels such as Combined, Life, Annuity, etc. can be customized by clicking the **Customize Label** button.

Firm – Firm (P) Tab

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



Personal Information Section

- **Firm -** This mandatory field lists the Firm name.
- **Abbreviation -** The Firm's abbreviation, if any.
- **DBA -** Enter the DBA of the firm.
- **Parent Firm -** The Parent Firm field is used to link the Firm to the Parent Firm.
- **Firm Code -** This field displays the code to identify the Firm record.
- **Primary Advisor -** The Primary Advisor field is used to link the Firm to the Primary Advisor. The Primary Advisor (Producer) is the primary contact for the Firm.
- **Type -** The Type can be BGA, Branch Office, Broker Dealer, General Agency, Home Office and Regional Office, etc.
- **Sub-Type -** The Sub-type drop-down options depend on the Type selected.
- **Service Level -** These are the various levels of Firm depending upon their performance (e.g., Gold, Platinum, Regular or Silver).

LOB Section

This section includes Line of Business details of the Producer/Firm.

Distributor Owner Summary Section

This section displays all of the Sales Reps that are responsible for the respective Sale Channel and Territory. Record Notes can be added for the Sales Rep - Territory. Also, using 'Producer Owner Transfer', the Sales Rep for the Distributor can be changed. These functions are available in the Distributor Owner Summary.

Phone Numbers Section

Any phone numbers associated with a Producer/Firm 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.

Click the **Add** button to enter Phone Numbers. Enter Phone numbers for different types like Business, Residence, Mobile and Temporary, etc. When dialing a Producer/Firm, SmartOffice will use the number that has the Preferred Phone option selected.

Addresses Section

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

Click the **Add** button to enter the Address. Enter the Address Type, Street, City, Province/Postal Code, etc.

Email/Web Addresses Section

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

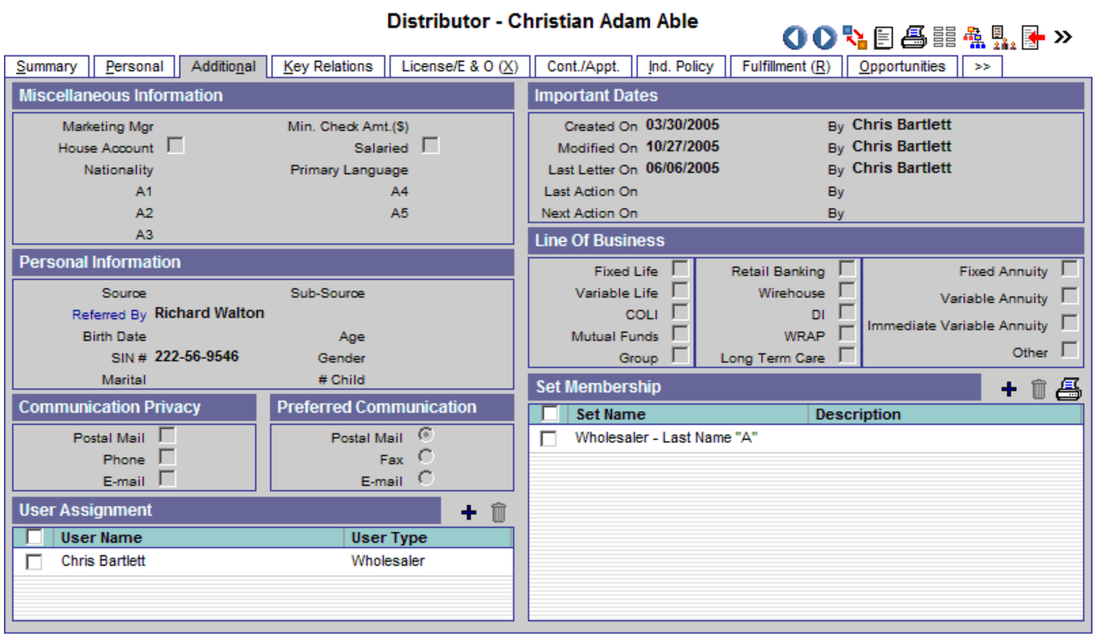
Click the **Add** button to add an E-mail or Web address. When sending e-mail, SmartOffice will use the address that has the Preferred Address option selected.

Remarks Section

Use the Remarks section to provide further details about the Producer/Firm.

Additional Tab

On the Additional tab, more information about the Producer/Firm can be listed, such as Miscellaneous Information, Producer/Firm's Personal Information, LOB, etc.



Miscellaneous Information Section

The Miscellaneous Information section tracks the Producer/Firm's Marketing Manager, Min. Check Amt ($) and other details. The AlphaNum keys are used to enter any additional data that the Producer/Firm would like to track.

Personal Information Section

The Personal Information section is used to track personal information such as the Producer/Firm's Source, Sub-source, Birth Date, SIN and Marital Status. The Gender field will automatically change in correspondence to the Title. The Firm – Additional tab displays the Source, Sub–Source, Referred By and BN fields.

Communication Privacy Section

The Communication Privacy section tracks whether or not the Producer/Firm wants to be contacted by a particular form of communication. For example, selecting the E-mail option indicates that the Producer/Firm does not want to be contacted by e-mail. When an e-mail correspondence is run, a prompt will warn that the Producer/Firm does not want to receive e-mail.

Preferred Communication Section

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

User Assignment Section

Any users assigned to the selected Producer/Firm are listed in the User Assignments section. To assign a Producer/Firm to a user, click the **Add** button. Note that only the current user and the proxy for the current user will be displayed on this list.

Important Dates Section

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

Line of Business Section

This section includes details regarding the Line of Business of the Producer/Firm. Customize the prompts for the LOB fields using the **Customize Label** button. These customized prompts will display on the Detail page and on the spreadsheet headings.

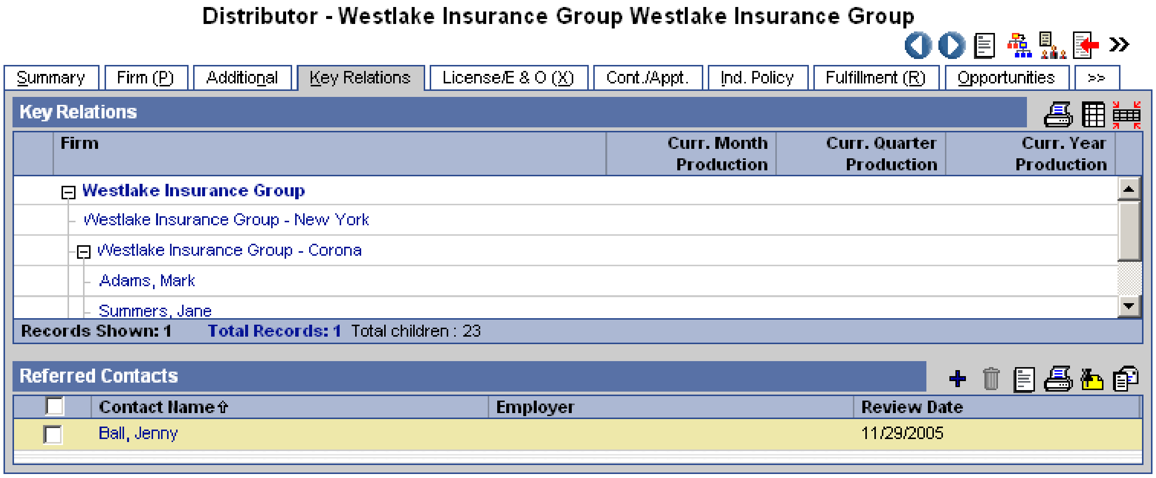
Set Membership Section

A set is a user-specified grouping. Any sets that the selected Producer/Firm belongs to are listed on the Set Membership list. Click the **Add** button to add the selected Producer/Firm to a set.

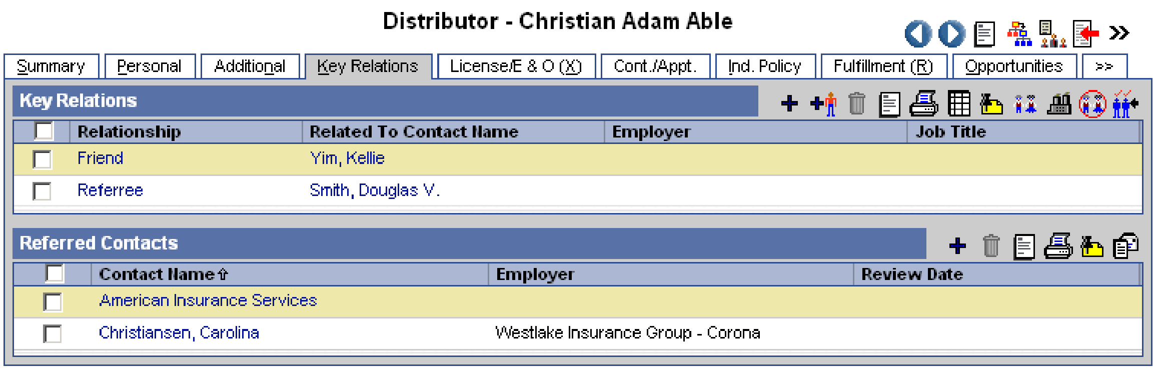
Key Relations Tab

The Key Relations tab tracks any relations the Producer/Firm has with other contacts in the office's Database.

Firm – Key Relations



Producer – Key Relations



Key Relations Section

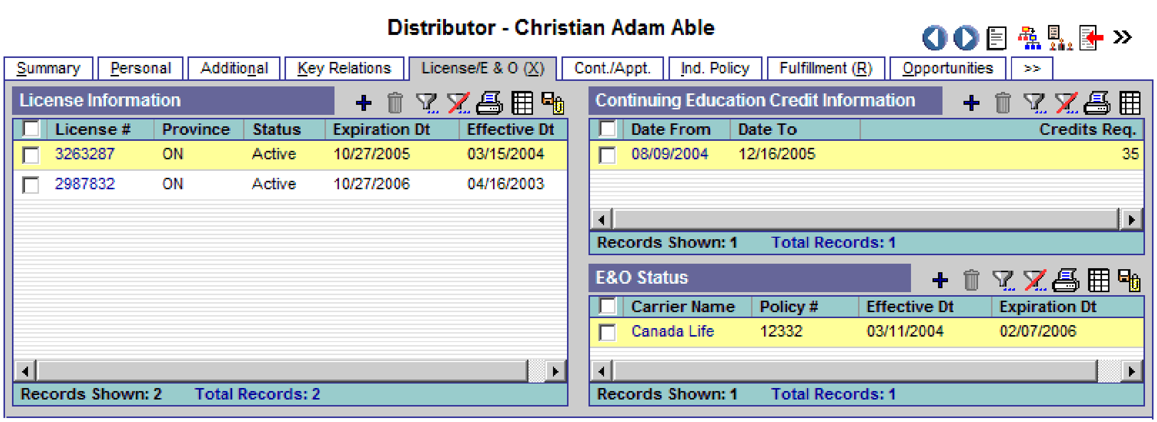
The Key Relations spreadsheet lists Producer/Firms that have a relationship, including family and personal, with the selected Producer/Firm. The position of the current Producer/Firm in the hierarchy can be seen here. Click any of the Producer/Firm hyperlinks to view details.

Referred Contacts Section

The Referred Contacts spreadsheet tracks all contacts that the selected Producer/Firm has referred.

License/E&O (Error and Omissions) Tab

The License/E&O tab tracks licensing, continuing education and E&O (Error and Omissions) information.



License Information Section

The selected Producer/Firm's licensing information, such as the License Number, Province, Status, Expiration Date and Effective Date is tracked in the Producer/Firm License Information section.

Continuing Education Credit Information Section

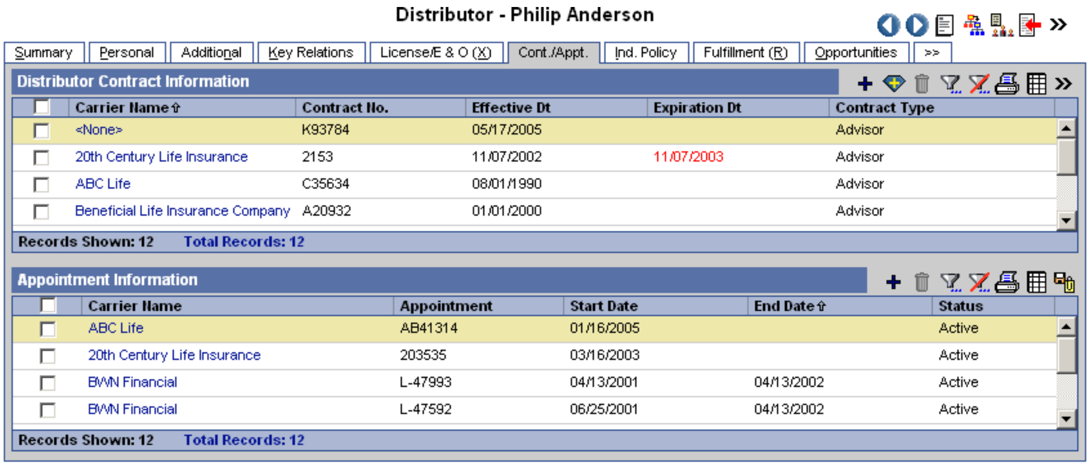
A Producer/Firm's continuing education information such as a description of the class, the number of credits earned, the date that those credits were applied and any other remarks are tracked in the Continuing Education Credit Information section.

E&O Status Section

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

Cont./Appt. Tab (Contract and Appointment)

Contract and appointment information for a Producer/Firm is tracked on the Cont./Appt. tab.



Distributor Contract Information Section

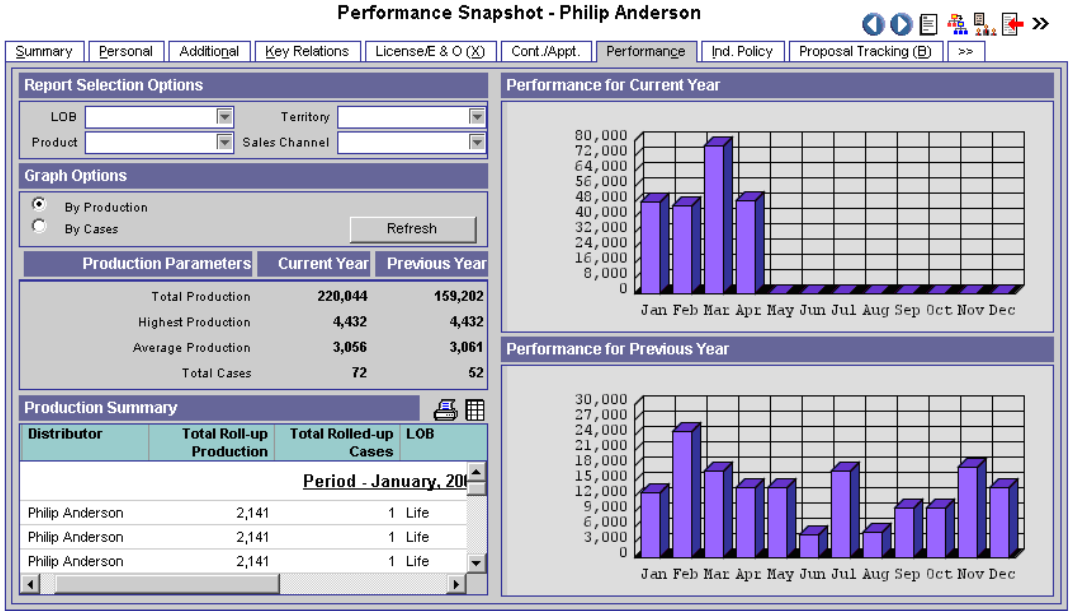
The Distributor Contract Information section tracks the contract that a Producer/Firm has with a Carrier to sell the Carrier's policies. Click the **Add** button to add contract information. The Line of Business refers to insurance types, such as Life, DI, Medical, etc. If a Distributor has an appointment with a Life LOB, then the Distributor is appointed to sell Life insurance in the specified province or provinces.

Appointment Information Section

The Appointment Information spreadsheet tracks the Distributor's appointment information. To add information on an appointment, click the **Add** button. For details, refer to the *Contract Hierarchy* section.

Performance Tab

The Show Production Tab option must be selected in order to see this tab. It is found in the Office Setup Options section in the User Role column found on the User Roles/Licenses tab of User Management. The Performance of the Distributor for Current Year vs. the Performance for the Previous Year can be calculated under the Performance tab.



Report Selection Options

Use this section to calculate the Performance Statistics based on the selected Line of Business (LOB) types, Territory, Product and Sales Channel.

Graph Options Section

The Graph Options section has two options – By Production and By Cases. Select either of these options and then click the **Refresh** button to calculate the Distributor's Performance.

Production Parameters Section

This section is used to display the data for Total Production, Highest Production, Average Production and the Total Cases Count for the Current Year vs. the Previous Year.

Production Summary Section

The Production Summary spreadsheet displays the Total Rolled-up Production, Total Rolled-up Cases, LOB and other details.

Performance for Current Year Section

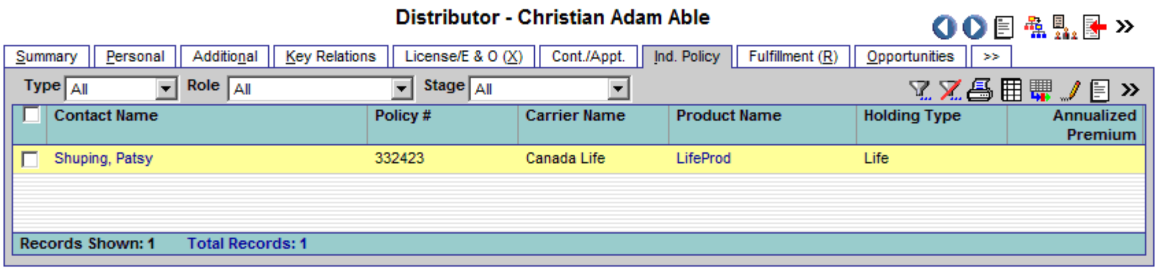
This section displays the graphical representation of the Distributor's Performance for the Current Year.

Performance for Previous Year Section

This section displays the graphical representation of the Distributor's Performance for the Previous Year.

Ind. Policy Tab (Individual Policy)

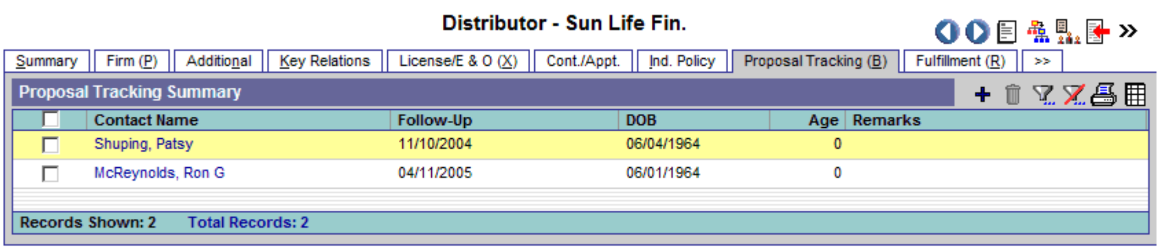
The Individual Policy tab lists all individual policies of the Primary Producer/Firm.



The spreadsheet displays the individual policies for which the selected Distributor is the Primary Producer/Firm. The policies highlighted in pink are in the Underwriting stage. Clicking the first column hyperlink of an inforce policy opens the Basic Information tab. Clicking the first column hyperlink of a policy in underwriting opens the Detail tab for the selected policy.

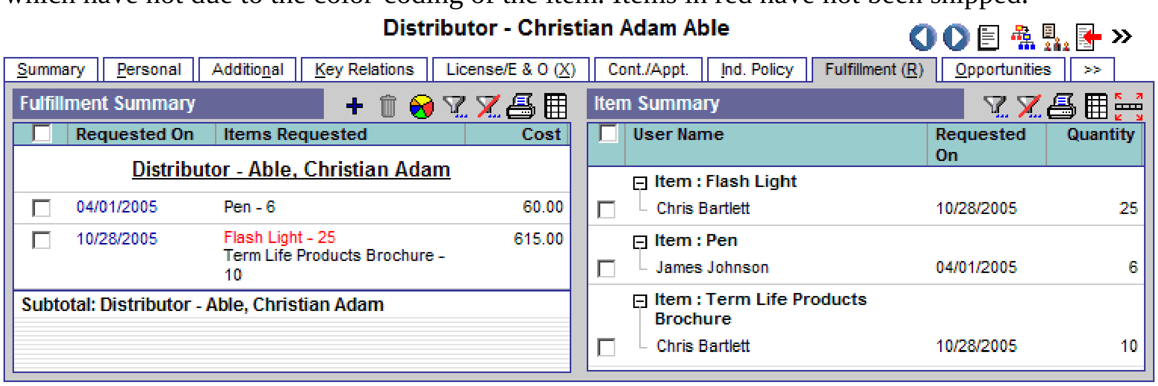
Proposal Tracking Tab

(The Show Proposal Tracking Tab option must be selected in order to see this tab. It is found in the Office Setup Options group in the User Role column found on the User Roles/Licenses tab of User Management.) The Proposal Tracking tab is used to track illustrations that a Producer/Firm has sent to a potential insured. Click the **Add** button to add an Illustration.



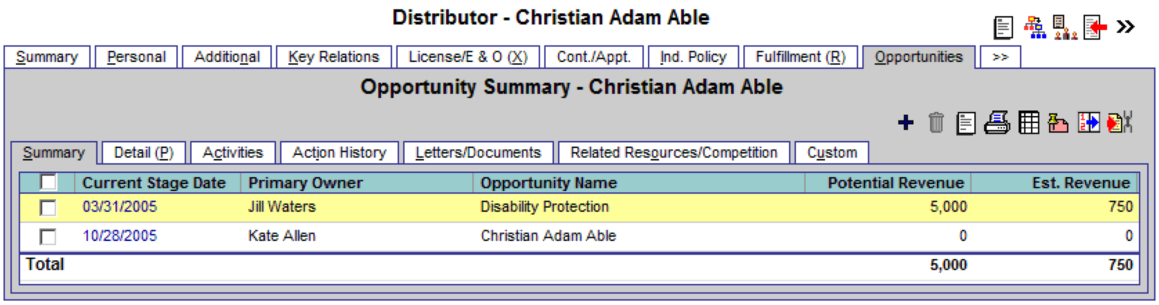
Fulfillment Tab

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 the items requested, sorted by item. When viewing the list of 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.



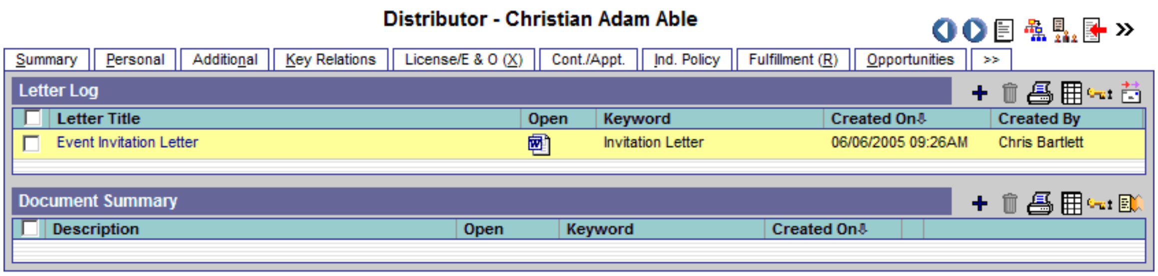
Opportunities Tab

The Opportunities tab provides the user with a powerful and flexible way to automatically identify and follow-up with sales opportunities. The Opportunities module enables users to save time by streamlining processes and promoting efficient organization, leading to cost savings (direct and indirect) while improving customer satisfaction.



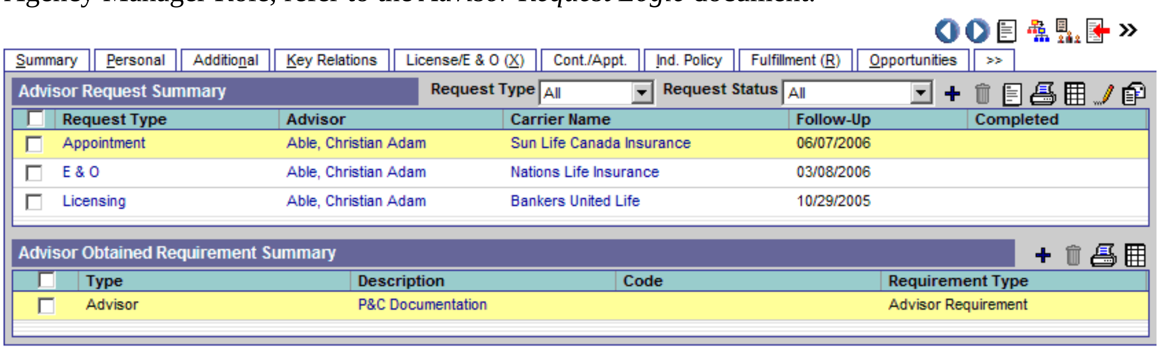
Letters/Document Tab

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



Request/Requirement Tab

The Request/Requirement tab has two sections – the Advisor Request Summary and Advisor Obtained Requirement Summary. For more information on Advisor Request functionality and the Agency Manager Role, refer to the *Advisor Request Logic* document.



Advisor Request Summary

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

Advisor Obtained Requirement Summary

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

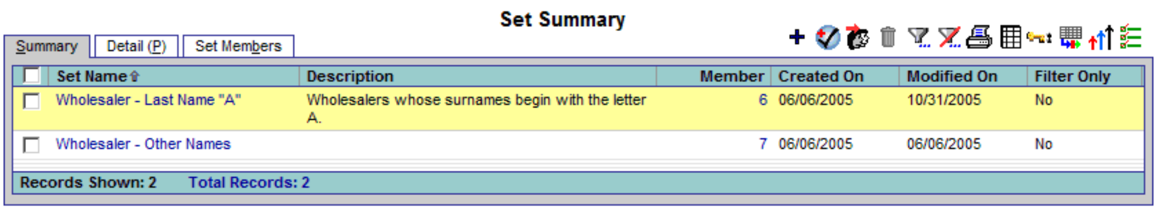
Custom Tab

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.

Sets

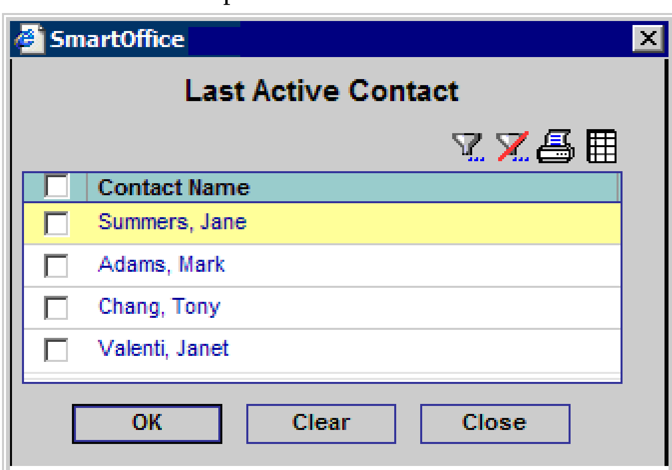
Use sets to group records for target marketing purposes such as pre-approach mailings or seminar invitations. Records can be placed into sets using filters or by individual selection. The usefulness of sets becomes apparent when a set is composed partly by using a filter and partly by ad hoc selection, creating a group of records that could not have been composed by filters alone.

Records can later be added or removed from a set. The set can also be validated manually or automatically. Any of the allowed record types can be a member of any number of different sets. Records are not allowed duplicate membership within a Set.



Last Active Distributor

Use the Last Active Distributor option to display a list of Distributor records in the order that the records were last opened.



Select a record and then click the **OK** button to display the selected Producer/Firm Detail tab. When more than one record is selected, the records are displayed in the Distributor Summary list. Check the appropriate records and then click the **Clear** button to purge selected records from the list (purging records from the list does not delete the records from the database).

Duplicate Distributors

Duplicate Distributors tracking will warn a user trying to add a duplicate Producer/Firm through the new Producer/Firm dialog box. If the Producer/Firm's First and Last Name/Firm Name or Social Security Number matches an existing record, a warning is displayed. Duplicate Distributors is a tool that is used to check for duplicate records by using Record Matching Algorithms (RMA).

Select the appropriate Distributor Type (Producer/Firm) option to display the Duplicate Distributor Summary list. This list can be used to either delete duplicate records or run the Distributor Merge tool.

Deleted Distributors

When contact records are deleted, they are moved from the Distributor Summary list to the Deleted Distributors area of SmartOffice. This enables the user to restore or permanently delete the records from SmartOffice when needed.

Exception Named Account

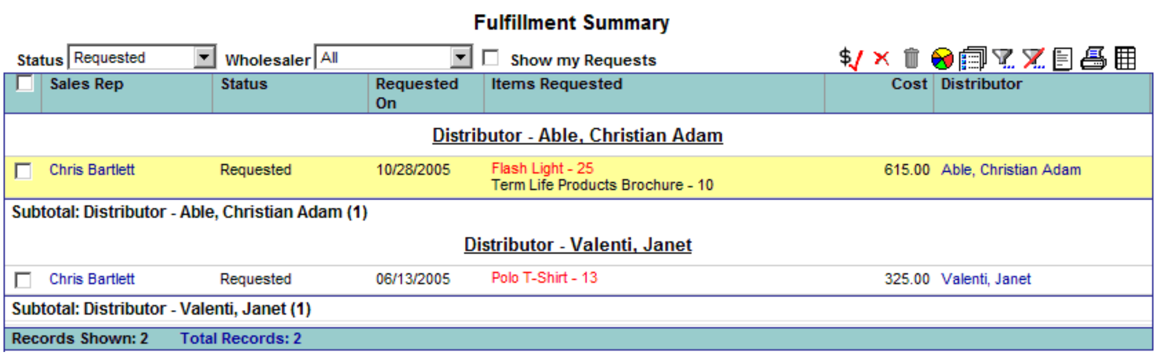
There are chances that many sales reps have some named accounts in their territories. A Named Account is an account where the assigned Sales Rep does not meet the territorial criteria for the producer; however, from a management perspective, these can be difficult to track. This report, which is available from the side menu, shows which sales reps have a named account and which territory and sales channels these are in. This menu option is only available to SmartWholesaler Administrator users.

Fulfillment Center

This menu option displays the material requests to the Fulfillment User who is identified for a Sales Rep. These users access this screen in order to view the list of all open requests (with the status of Requested) and then fulfill or decline those requests.

A request can be partially fulfilled if some of the items in the request are not available in the inventory. On fulfilling or declining a material request, a letter is sent to the Producer, which includes an inventory of items that are being shipped.

If a Fulfillment User is not defined for a Sales Rep, the material requests entered by that Sales Rep are available for all users.



Fulfillment Summary

Status Requested | Wholesaler All | Show my Requests

Sales Rep	Status	Requested On	Items Requested	Cost	Distributor
Distributor - Able, Christian Adam					
Chris Bartlett	Requested	10/28/2005	Flash Light - 25 Term Life Products Brochure - 10	615.00	Able, Christian Adam
Subtotal: Distributor - Able, Christian Adam (1)					
Distributor - Valenti, Janet					
Chris Bartlett	Requested	06/13/2005	Polo T-Shirt - 13	325.00	Valenti, Janet
Subtotal: Distributor - Valenti, Janet (1)					
Records Shown: 2	Total Records: 2				

From the Fulfillment Summary spreadsheet, select a Fulfillment User request and then click the **Fulfill Tagged Request** button from the Fulfillment Summary. The letter sending process runs and a letter is sent to the Distributor upon fulfilling the requested material.

To Decline a request, select a requested record and then click the **Decline Tagged Request** button from the Fulfillment Summary. Enter the reason for declining the request. A letter can be sent to notify the Distributor about the Declined Request status.

Setup

This side menu option is used to define Sales Rep, Fulfillment Users, Sales Channels and Territories, build the Inventory, realign the territories, and assign sales channels and territories to Wholesalers. For more information on Setup functionality, refer to the *Initial Setup* section.

Territory Realignment

Once all the Sales Channels, Territories and Sales Reps are defined by using this Territory Realignment feature, the producers and firms can be automatically assigned to the proper sales rep(s). This is an easy way to maintain a correct current assignment of producers, firms and sales reps at all times.

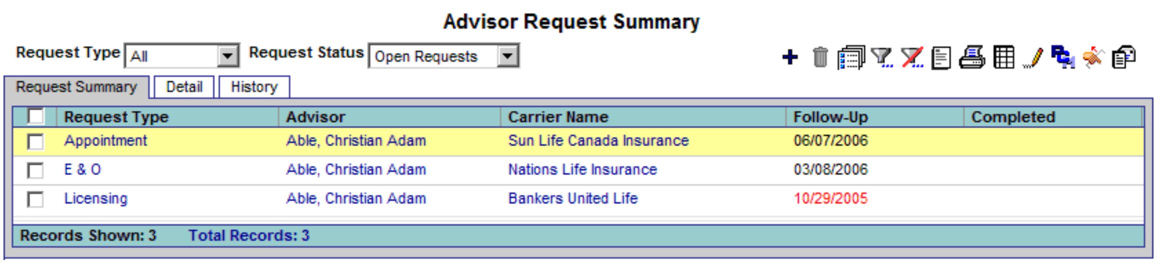
Advisor Request

A Wholesaler/Sales Rep user can display all requests assigned to them by selecting **Wholesaler** and then selecting **Advisor Request** from the expanded menu. The Advisor Request Summary displays all advisor requests that a specific Wholesaler/Sales Rep user is responsible for.

Advisor requests are specific tasks for which a Wholesaler/Sales Rep user is responsible. For example, Wholesaler user Jones is responsible for seeing that the Advisor - Ronald Odell receives any necessary contracts. Ronald Odell needs a contract with ABC Life Insurance Carrier; therefore, an advisor request is entered into Jones's Advisor Request spreadsheet. The Advisor Request section consists of a Request Summary tab, a Detail tab and a History tab.

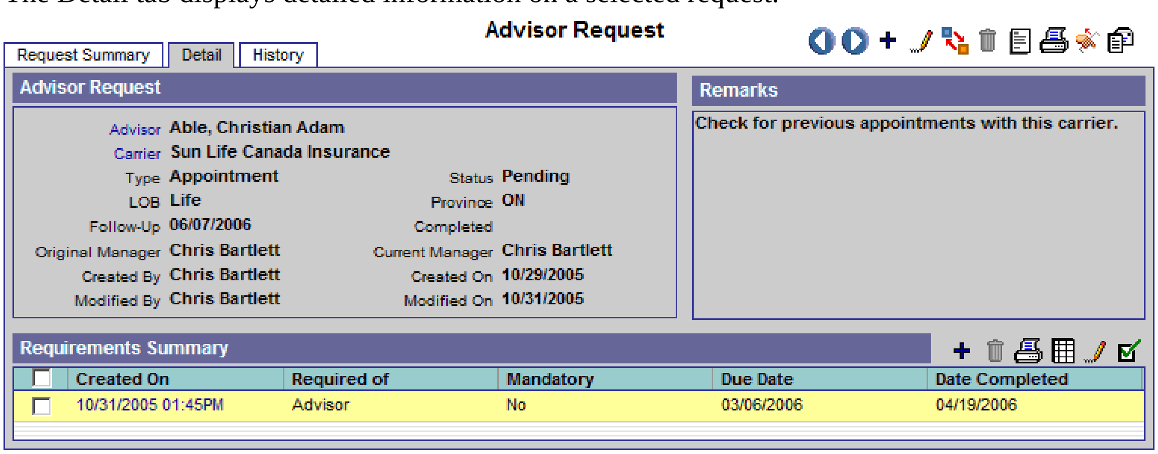
Request Summary Tab

The Request Summary tab displays an overview of all requests for the Wholesaler/Sales Rep user.



Detail Tab

The Detail tab displays detailed information on a selected request.



Advisor Request Section

Not all fields apply to the type of request you are viewing. The Follow-Up field allows the User to follow up in a timely matter on the outstanding request. If the carrier requires that the request be completed within a certain number of days, it is noted in the carrier module; however, the date is calculated on the Detail tab. The Original Manager, Current Manager, Created By, Created On, Modified By and Modified On fields are read-only.

Remarks Section

Any notes that apply specifically to this request are tracked in the Remarks section.

Requirements Summary Section

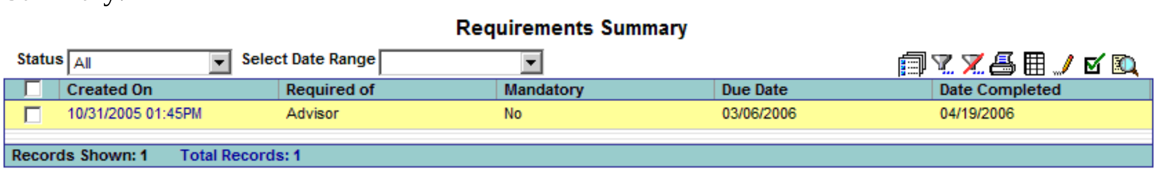
The Requirements Summary section is used to display and/or add the Advisor requirement details.

History Tab

The History tab tracks changes in the statuses and dates on the selected request.

Follow-Up

This side menu option is used to follow-up on Advisor Request Requirements. The Requirements Summary displays the request of the Carrier, Home Office, Advisor or GA as specified in Advisor Requests. After fulfilling the requirement, the open requirements can be changed to a status of complete by clicking the **Complete Requirement** button from the Requirements Summary.



SmartWholesaler Only View

The side menu for the Wholesaler Only User is shown below.

- **Production Dashboard -** Analyze the Wholesaler data.
- **Distributor Search -** Display the Distributor Summary.
- **Sets -** Use Sets to group records for target marketing purposes.
- **Last Active Distributor -** Display a list of most recent active Distributors.
- **Duplicate Distributors -** The Duplicate Distributors list is used to delete, print or merge duplicate distributor records.
- **Deleted Distributors -** The deleted distributors can be restored or permanently deleted.
- **Advisor Request -** Track the Advisor requests and requirements.
- **Follow-Up -** Used to follow-up on the Advisor requirements.

Contract Hierarchy

Initial Setup

The following is the initial setup information for adding a Contract Hierarchy to the SmartWholesaler module.

Adding a Contract Hierarchy

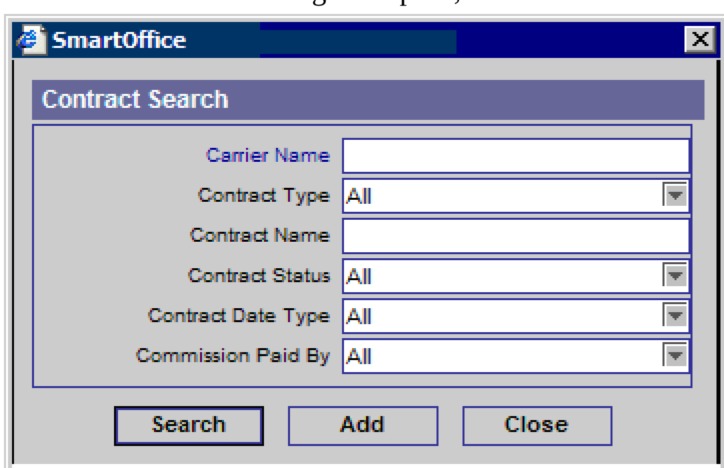
Setup

- The user must have Wholesaler rights.
- Identify and/or create the relationship between the records (e.g., Firm to Firm, Firm to Producer).
- Create the Firm and Producer records.
- Identify the Contracts (e.g., company names).

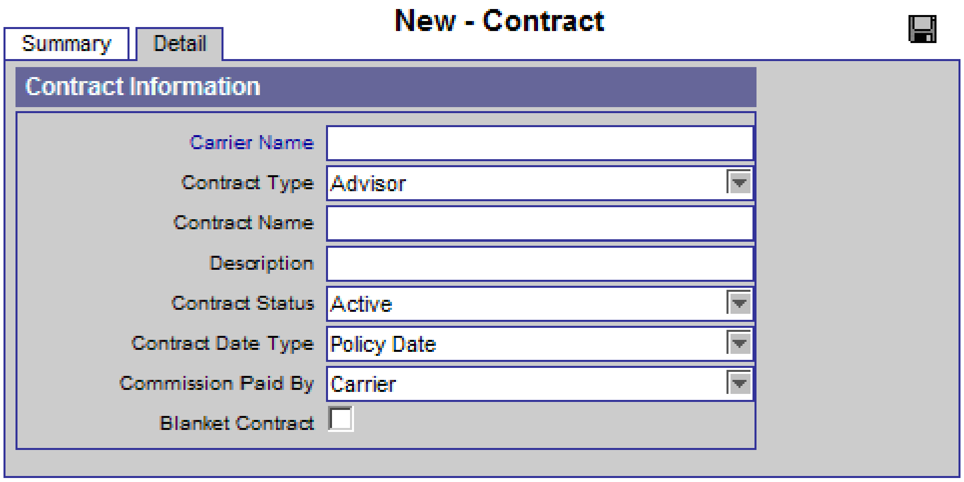
Steps to Create a Contract

1. From the Home Page, click the **Policy/PCM Setup** menu item and then select **Contract Search** from the expanded list.

2. The Contract Search dialog box opens; click the **Add** button.



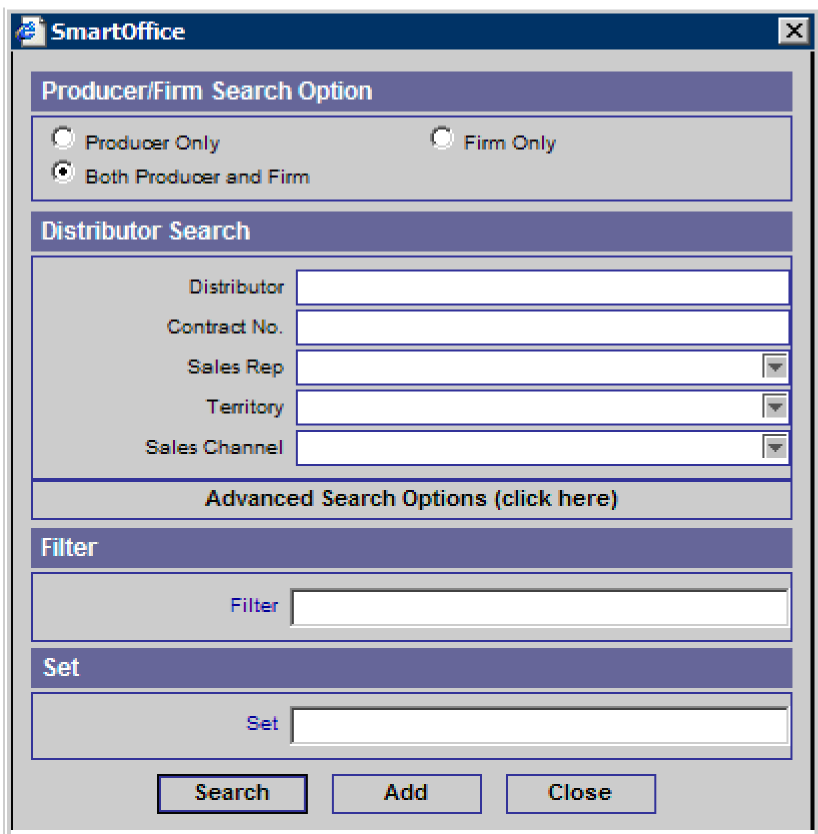
3. The New Contract Detail page displays. Enter the contract name into the Contract Name field (e.g., Company Name) and then click the **Save** button.



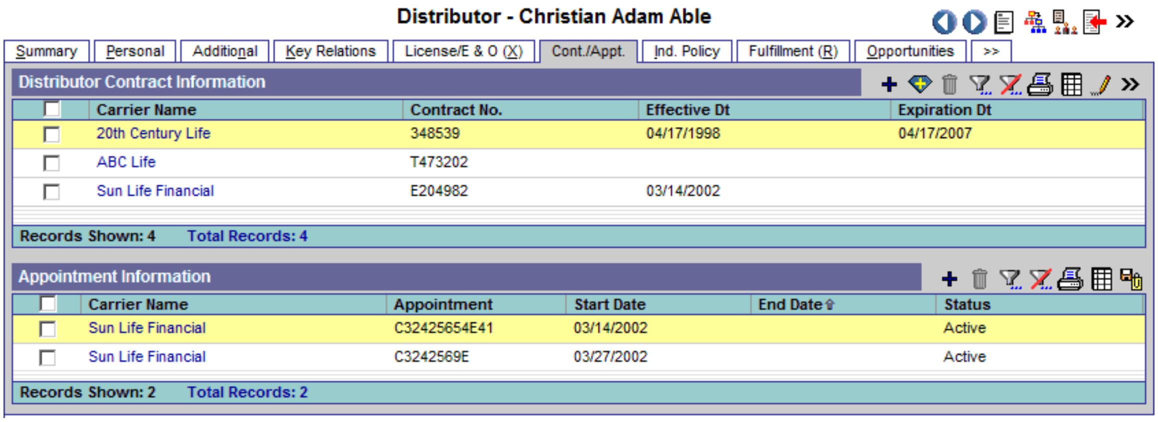
Steps to Create a Contract Hierarchy

Parent Office (Home Office record)

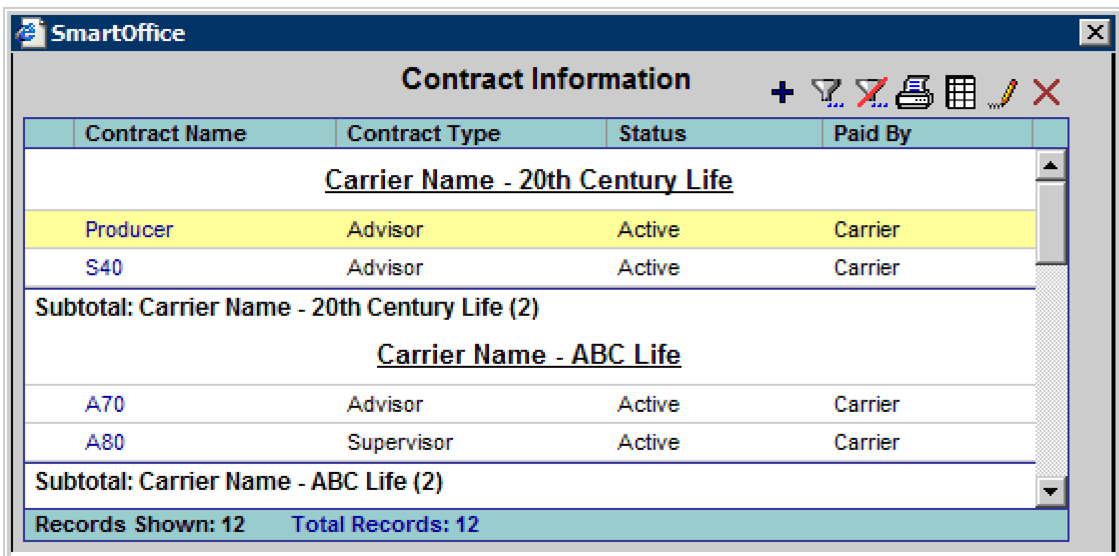
1. From the Home Page, select the **Wholesaler** menu item and then select **Distributor Search** from the expanded list.
2. The Producer/Firm Search Option dialog box opens; in the Distributor field, enter the name of the Parent Office (Firm Name) and then click the **Search** button.



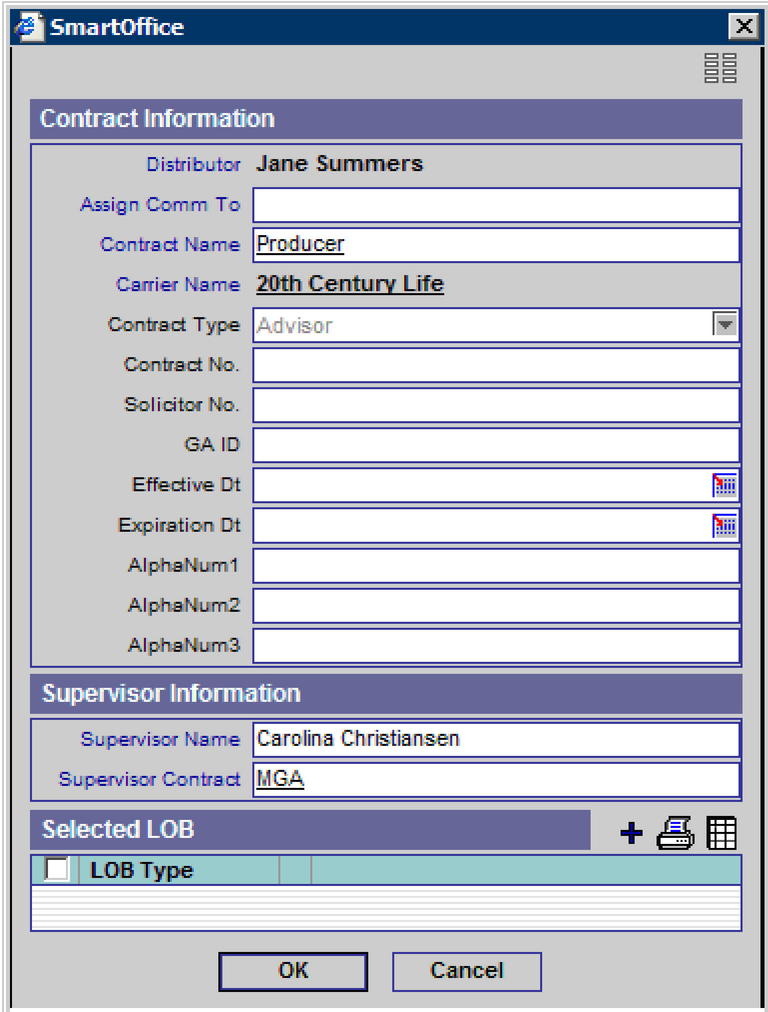
3. The Distributor Summary displays with the appropriate matches from the search (if only one record resulted in a match, then the detail record will display). Click the **Cont./Appt**. tab to display the Distributor Contract Information and Appointment Information sections.



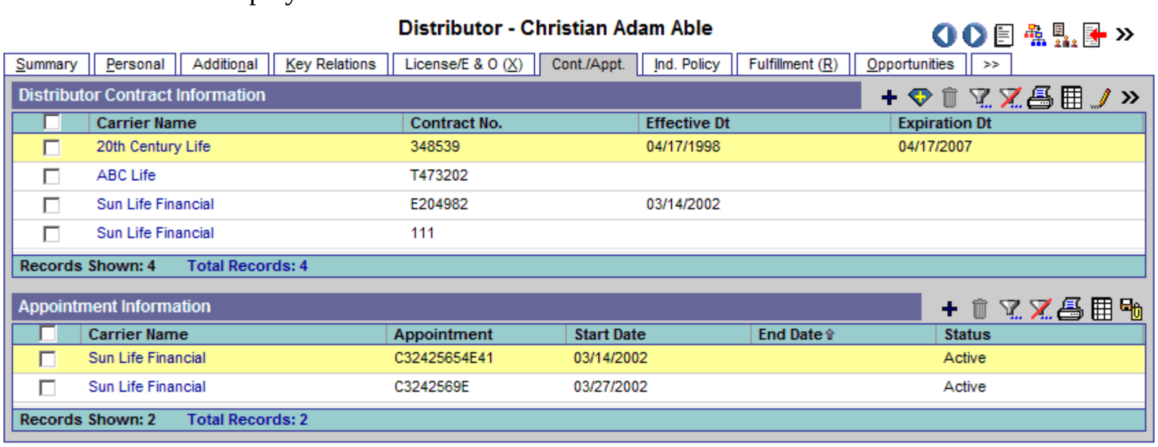
4. From the Distributor Contract Information section, click the **Add** button to open the Contract Information dialog box. Enter the contract name in the Contract Name field and then click the **Contract Name** hyperlink.
5. When the Contract Information dialog box opens; select the appropriate Contract Name.



6. The Contract Information dialog box displays again with the Contract Name displayed. Enter the number of the contract in the Contract No. Field and then click the **OK** button.



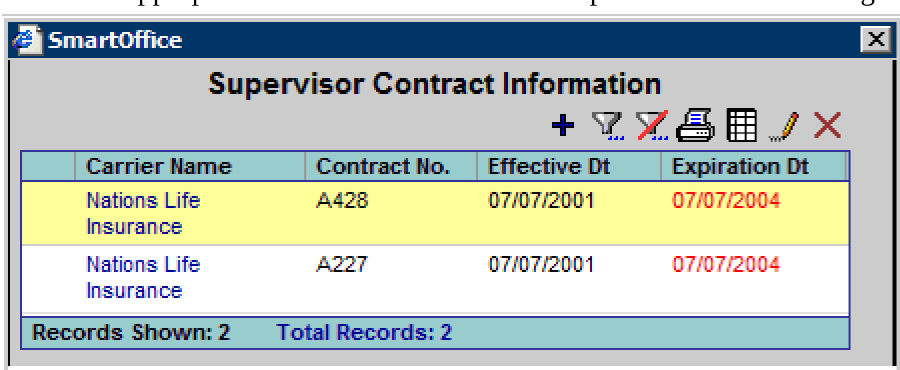
7. The new contract displays in the Distributor Contract Information section.



Branch Office

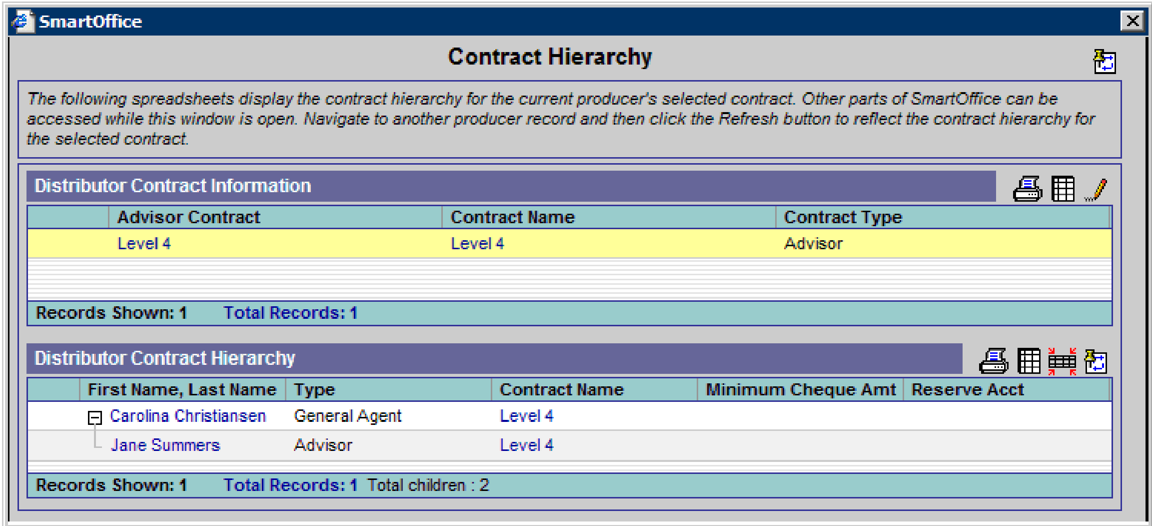
1. Repeat Steps 1 thru 6 from above (Parent Office).
2. From the Contract Information dialog box, type the contract name in the Contract Name field and then click the **Contract Name** hyperlink to open the Contract Information dialog box.
3. From the Contract Information dialog box, select the appropriate contract name.
4. The Contract Information dialog box displays again with the Contract Name displayed. Type the contract number in the Contract No. field.
5. In the Supervisor Information section, enter the Parent Office name and then click the **Supervisor Name** hyperlink.
6. The Advisor/Agency Summary displays.

7. Select the appropriate Office name.
8. Select the appropriate Contract Name from the Supervisor Contract dialog box.



9. Both the Supervisor Name and Supervisor Contract fields are populated. Click the **OK** button to save the information.

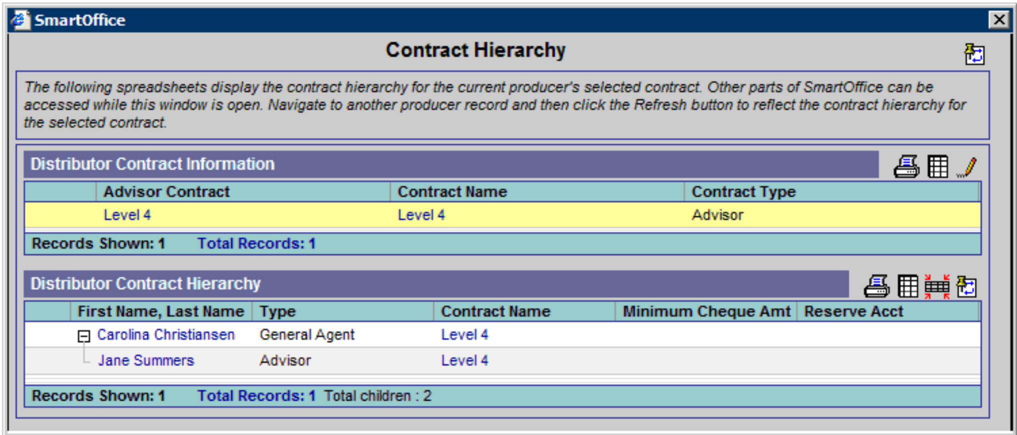
10. From the toolbar, click the **Contract Hierarchy** button.



Brokers

1. From the Home Page, select the **Wholesaler** menu item and then select **Distributor Search** from the expanded list.
2. When the Producer/Firm Search Option dialog box opens, in the Distributor field, enter the name of a Producer (e.g., Broker Name) and then click the **Search** button.
3. The Distributor Summary displays with the appropriate matches from the search (if only one record resulted in a match, then the Detail tab will display).
4. From the Distributor Summary, click the **Cont./Appt**. tab to display the Distributor Contact Information and Appointment Information sections.
5. From the Distributor Contact Information section, click the **Add** button.
6. The Contract Information dialog box displays. From the Contract Information dialog box, type the contract name in the Contract Name field and then click the **Contract Name** hyperlink to open the Contract Information dialog box.
7. Select the appropriate Contract Name.
8. The Contract Information dialog box displays again with the Contract Name displayed. Type the contract number in the Contract No. field.
9. In the Supervisor Information section, type the Parent Office name and then click the **Supervisor Name** hyperlink.
10. The Advisor/Agency Summary dialog box opens. Select the appropriate Office Name.
11. Select the appropriate Contract Name from the Supervisor Contract dialog box.
12. Both the Supervisor Name and Supervisor Contract fields are populated. Type the contract number in the Contract No field and then click the **OK** button to save the information.

13. Click the **Contract Hierarchy** button.



Distributor Hierarchy

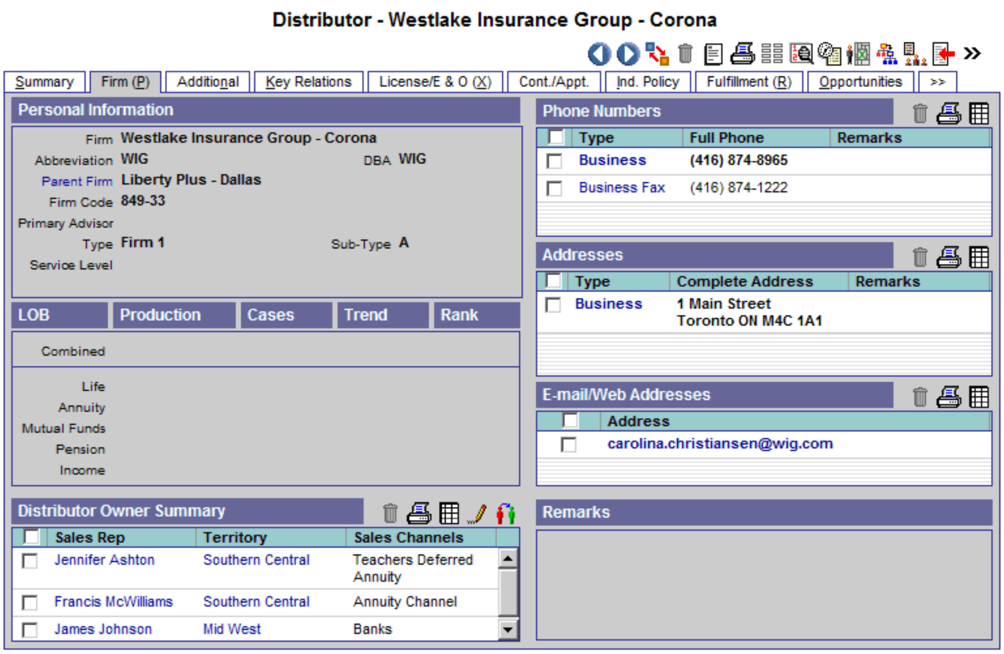
With the help of Distributor Hierarchy, the relationship between Producer/Firms can be seen clearly.

Setup

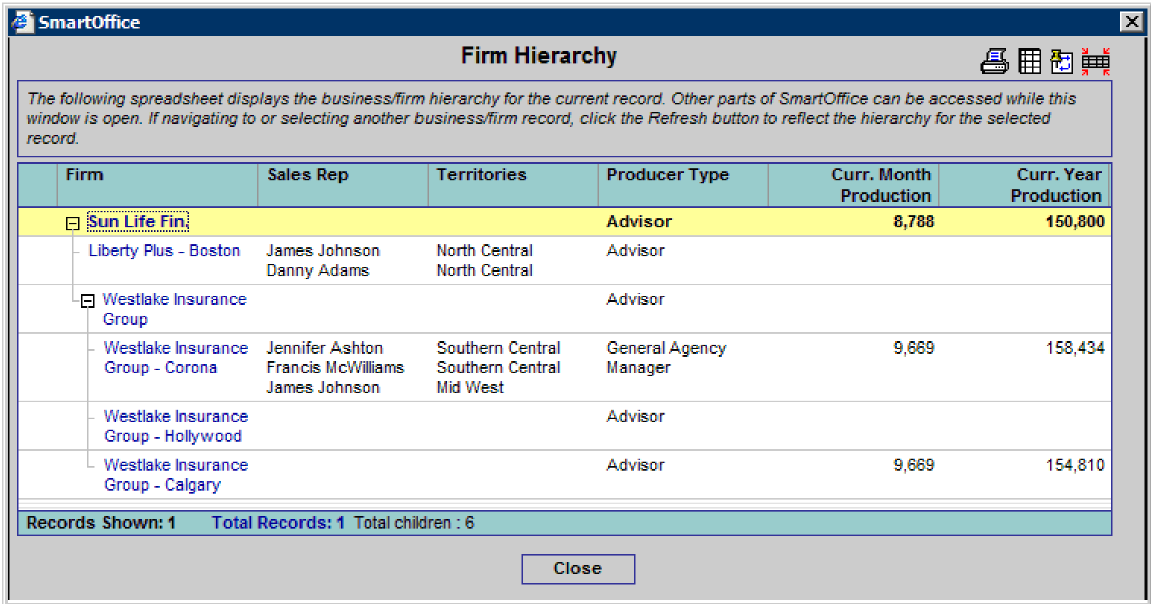
The hierarchy can be set up or modified at any time, however, it is strongly recommended that the hierarchy be in mind when records are added to the Firm Hierarchy.

Adding a Firm with a Parent Firm and Primary Advisor

1. Select the **Wholesaler** menu item and then select **Distributor Search** from the expanded list.
2. The Producer/Firm Search Option dialog box opens. Click the **Search** button.
3. The Distributor Summary spreadsheet displays.
4. Click the **Add** button and then select the **Firm** type of distributor.
5. Add the Firm Name and Primary Advisor (Producer) along with other details for the Firm. Specifying the Parent Firm (Firm) places the firm being added in a hierarchy under another.
6. Click the **Save & Close** button after the data has been entered.



7. Check the hierarchy by opening the parent firm record and clicking the **Distributor Hierarchy** button. The Firm Hierarchy spreadsheet dialog box opens. The spreadsheet displays the complete Firm hierarchy for the current firm record with all the parent and child Firm records. The current Firm name is highlighted in the hierarchy of firms. The spreadsheet displays the position of the current Firm in the hierarchy.



Producer Hierarchy

Adding a Producer with a Supervisor and Firm

1. Select the **Wholesaler** menu item and then select **Distributor Search** from the expanded list.
2. The Producer/Firm Search Option dialog box opens. Click the **Search** button.
3. The Distributor Summary spreadsheet displays.
4. Click the **Add** button and then select the **Producer** type of distributor.
5. Add the Producer Name (Last Name, First Name), Supervisor (Producer) and Firm along with other details for the Producer and then click the **Save & Close** button.

6. The Firm & Producer Hierarchy spreadsheet displays. The spreadsheet displays the complete Firm & Producer hierarchy for the current Producer record. All the parent and child Producer records are displayed under the Distributor Hierarchy section and all the Parent Firm records for the current Producer are displayed in the Firm Hierarchy section. The current Producer name is highlighted in the Firm/Producer hierarchy. The spreadsheet displays the position of the current Producer in the hierarchy.