

Advisor/Agency Tracking
User Guide

SmartOffice®



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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.

The screenshot shows the 'Advisor/Agency Search Option' dialog box within the SmartOffice application. The window title is 'SmartOffice'. The dialog has a blue header bar with the title. Below the header, there are three radio button options: 'Advisors Only', 'Agencies Only', and 'Both Advisors and Agencies'. The 'Both Advisors and Agencies' option is selected. Below these options is a section titled 'Search Advisors/Agencies' containing four input fields: 'Name', 'Source' (with a dropdown arrow), 'SS# (Tax ID)', and 'Contract No.'. Below the input fields is a button labeled 'Click here for Advanced Search Options'. Below this button is a 'Filter' section with a text input field. Below the filter is a 'Set' section with a text input field. At the bottom of the dialog are two buttons: 'Search' and 'Close'. The status bar at the bottom of the window shows an Internet icon and the text 'Internet'.

- 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.

Advisor/Agency Search Option

Advisors Only Agencies Only
 Both Advisors and Agencies

Search Advisors

Last Name, First Name
Agency
Supervisor
SS #
Type
Status
Contract No.
Source
Code

[Click here for Advanced Search Options](#)

Advanced Search Information

City
State/ZIP Code
Phone #
E-mail Address
Alphakey - Customized

Filter

Filter

Set

Set

Internet

- 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.

Advisor/Agency Search Option

Advisors Only Agencies Only
 Both Advisors and Agencies

Search Agencies

Agency Name
Abbreviation
DBA
Primary Advisor
Supervisor
Tax ID
Type
Status
Contract No.
Source
Code

[Click here for Advanced Search Options](#)

Advanced Search Information

City
State/ZIP Code
Phone #
E-mail Address
Alphakey - Customized

Filter

Filter

Set

Set

Search **Add** **Close**

Internet

- 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	Job Title	Agency	SS #	Advisor Status	Supervisor
<input type="checkbox"/> Able, Christian Adam	Managing General Agent	Westlake Insurance Group - Corona	232-23-2004	Active	Westlake Insurance Group
<input type="checkbox"/> Adams, Mark	Insurance Agent	Westlake Insurance Services	585-35-1002	Active	Christiansen, Carolina
<input type="checkbox"/> Adv-NI				Active	Best Brokerage Agency
<input type="checkbox"/> Alexander, Sherman	Insurance Agent	Westlake Insurance Services	585-35-1003	Active	Christiansen, Carolina
<input type="checkbox"/> Allred, Jerry	General Agent		585-35-1004		Able, Christian Adam
<input type="checkbox"/> Chaney, Charlotte Celine			676-22-9925	Candidate	
<input type="checkbox"/> Chen, Quan			377-00-1678	Candidate	
<input type="checkbox"/> Chevaur, Henry Jerome	Investment Consultant	Smith, Franklin & Sobers	367-16-2987	Candidate	

Previous Page 1 Next Page Total Records: 51+ (Click here to list all)

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

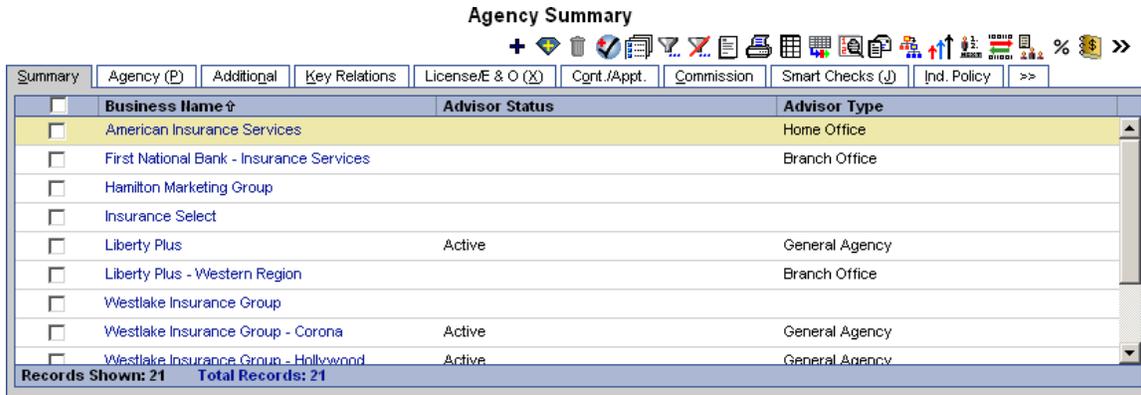
+

Advisor	Type	Agency	Full Phone
<input type="checkbox"/> Able, Christian Adam	Advisor	Westlake Insurance Group - Corona	(909) 875-7222#26541
<input type="checkbox"/> Adams, Mark	Advisor	Westlake Insurance Services	(800) 335-1452#103
<input type="checkbox"/> Adv-NI	Advisor		
<input type="checkbox"/> Alexander, Sherman	Advisor	Westlake Insurance Services	(323) 122-1151
<input type="checkbox"/> Allred, Jerry	Advisor		(323) 862-9288
<input type="checkbox"/> Anderson, Philip	Advisor	Westlake Insurance Services	(909) 874-7222#73
<input type="checkbox"/> Arliss, Jill Eileen	Advisor	Tax Tech, Inc.	(818) 430-9887
<input type="checkbox"/> Dawson, Ted	Advisor		
<input type="checkbox"/> Fillert, Meredith	Advisor		(353) 880-2213

Previous Page 1 Next Page Total Records: 51+ (Click here to list all)

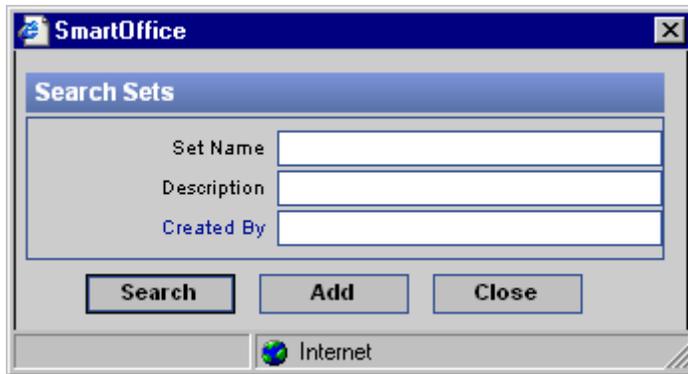
Agency Summary

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).

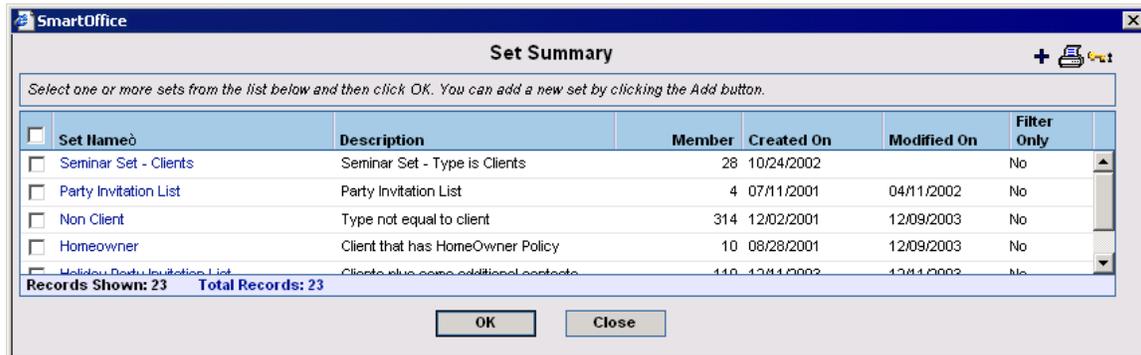


Add to Set Button

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.

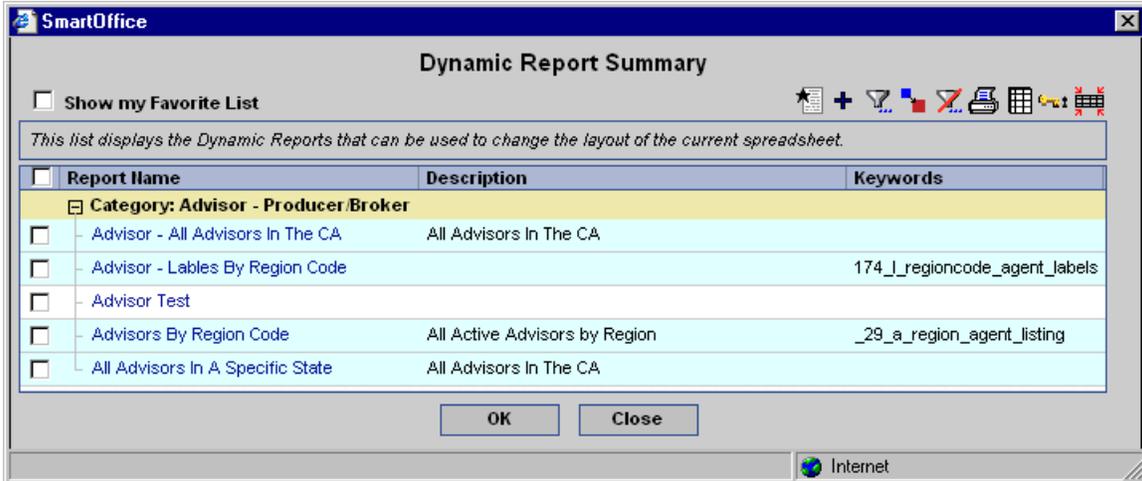


Click the **Search** button and then select the set to which the Advisor(s)/Agency(s) will be added.



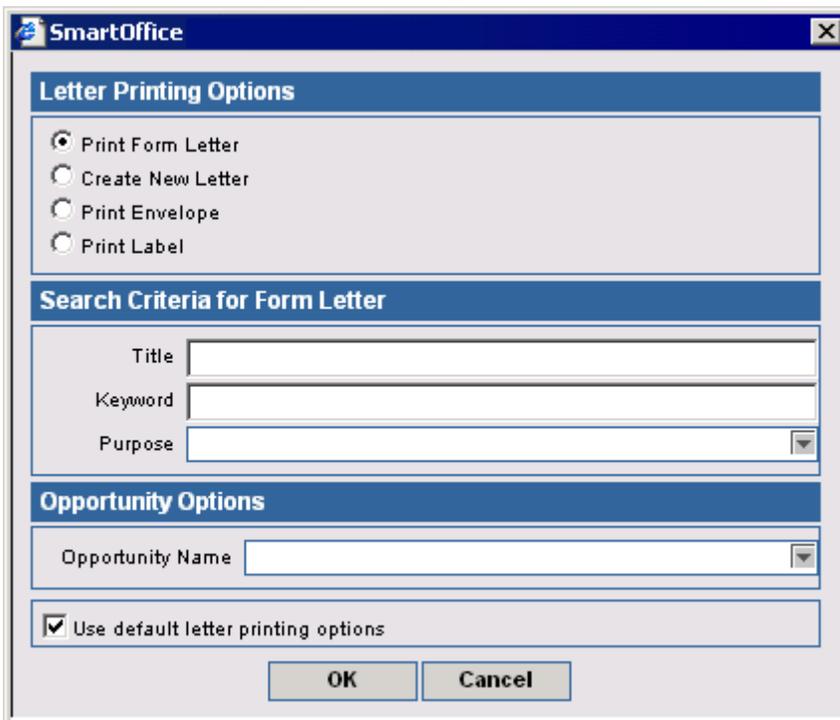
Run Dynamic Report Button

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.



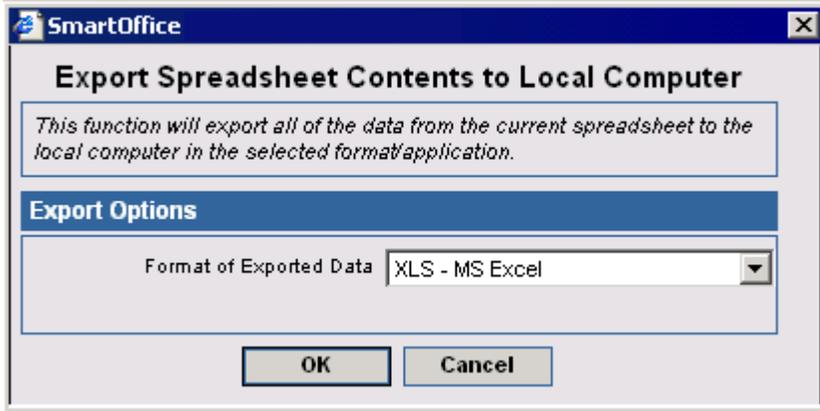
Mass Correspondence Button

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



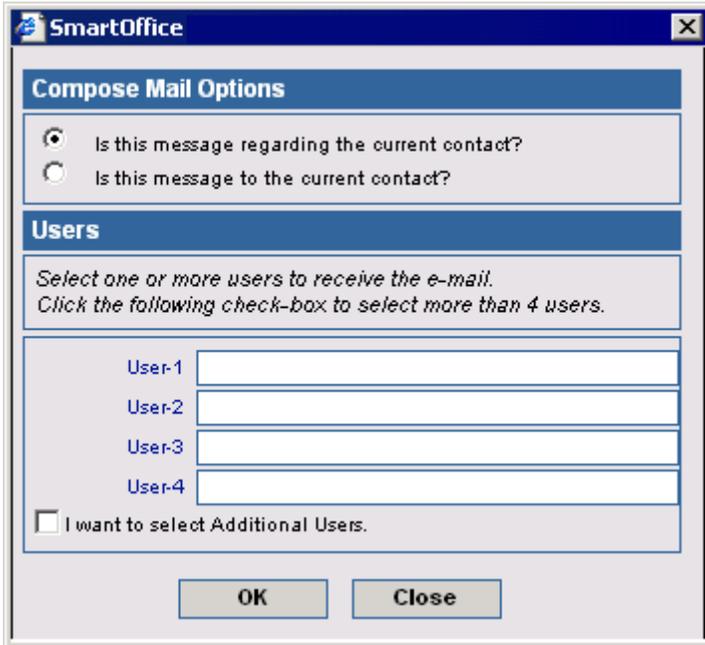
Spreadsheet Export Button

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.

The screenshot shows the 'Advisor Hierarchy' window in SmartOffice. It contains a table with the following data:

Advisor	Advisor Type	Advisor Status	Code
[-] Westlake Insurance Group	General Agency	Active	
[-] Westlake Insurance Group - Hollywood	Advisor	Active	

Records Shown: 1 Total Records: 1 Total children: 3

Below this table is another section titled 'Advisor Hierarchy' with a more detailed table:

First Name, Last Name	Advisor Type	Advisor Status	Reserve Acct	Minimum Check Amt	Advisor	Job Title
[-] Westlake Insurance Group Westlake	General Agency	Active	Yes		Westlake Insurance Group	

Records Shown: 1 Total Records: 1 Total children: 4

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

The screenshot shows the 'Agency Hierarchy' window in SmartOffice. It displays a tree view of agencies with the following structure:

- Insurance Select (Home Office)
 - American Insurance Services (General Agency, Active)
 - Liberty Plus (Branch Office)
 - Liberty Plus - Boston (Branch Office)
 - Liberty Plus - Chicago (Branch Office)
 - Liberty Plus - Northern Region (Branch Office)

Records Shown: 1 Total Records: 1 Total children: 15

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*.

Manager Type	Advisor Name	Manager Name
<input type="checkbox"/> Appointment	Anderson, Philip	Peter Stevens
<input type="checkbox"/> Licensing	Anderson, Philip	Peter Stevens
<input type="checkbox"/> Contracting	Anderson, Philip	Peter Stevens
<input type="checkbox"/> E & O	Anderson, Philip	Peter Stevens

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.

The following spreadsheets display the contract hierarchy for the current producer's selected contract. Other parts of SmartOffice can be accessed while this window is open. Navigate to another producer record and then click the Refresh button to reflect the contract hierarchy for the selected contract.

Contract Name	Effective Dt	Expiration Dt	Contract No.
A100	01/01/1990		Agency
Agency Cumulative Contract	01/01/2004		Cumulative Contract
MGA	01/01/2004		Agency
Agency	01/01/2000		Agency

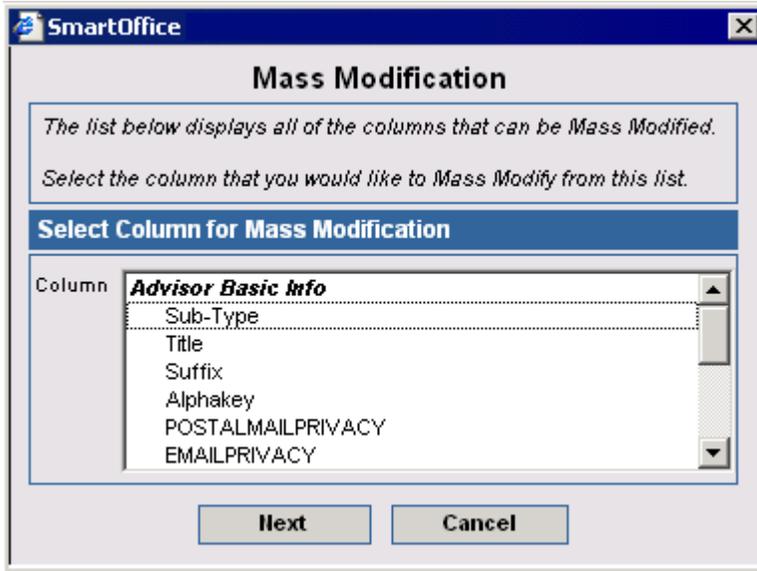
Records Shown: 4 Total Records: 4

First Name, Last Name	Sales Channels	Type	Contract Name	Contract No.
[-] Best Brokerage Agency		General Agent	A100	Agency
[-] Christian Able		Manager	A80	T473202
[-] Daniel Odell		General Agent	A80	supervisor
[-] Phillip Anderson		Advisor	A70	G35634
[-] Fred Lewis		Advisor	A70	L8659
[-] Fred Lewis		Advisor	A70	L977394
[-] Michael Ashcroft		Advisor	A80	ADVC21322

Records Shown: 1 Total Records: 1 Total children: 7

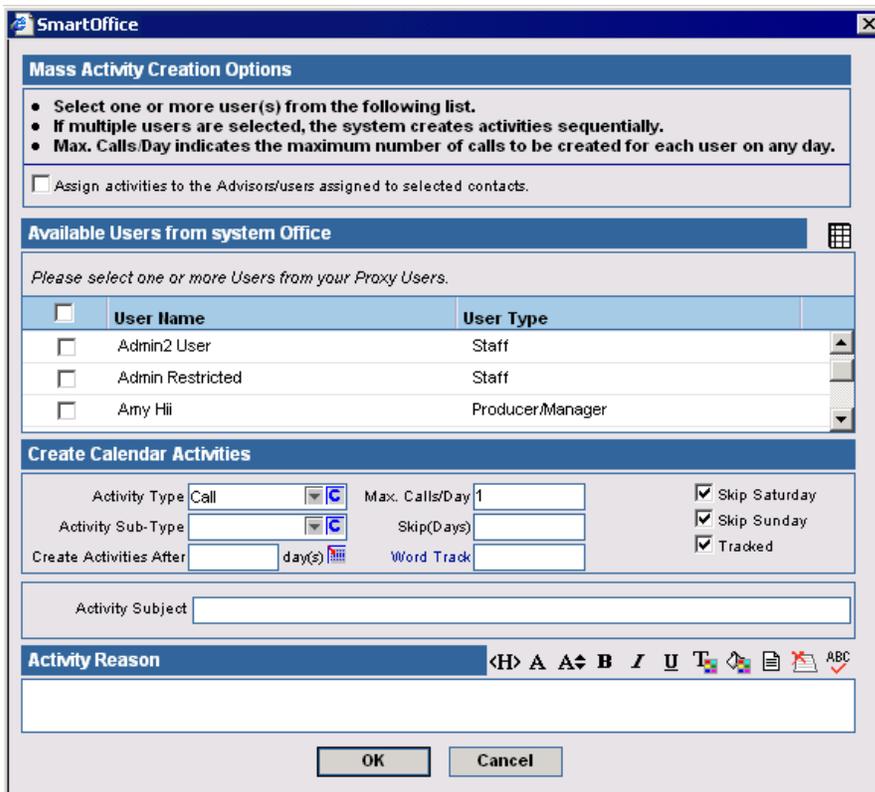
Mass Modify Button

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.



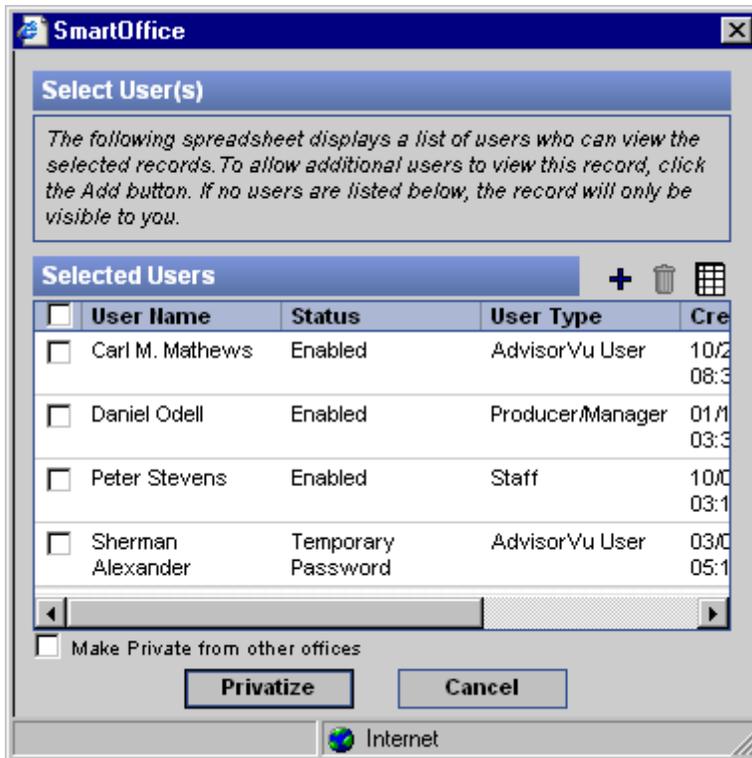
Mass Activity Creation Button

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

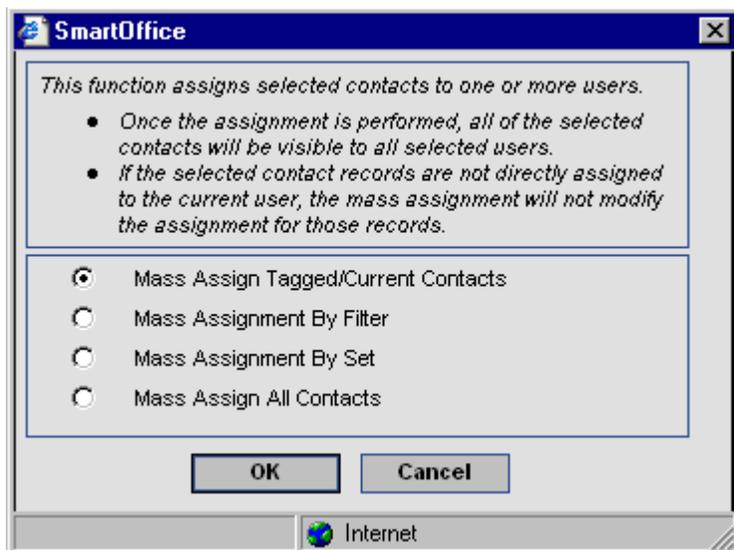
The SmartView for Advisor Management button is used to create SmartView for Advisor users. A SmartView for Advisor user can be shown the status of their Pending Cases and Policies without giving them direct access to modify the data at their level. The SmartView for Advisor User Management button can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

Find Contacts with Matching Profile Button

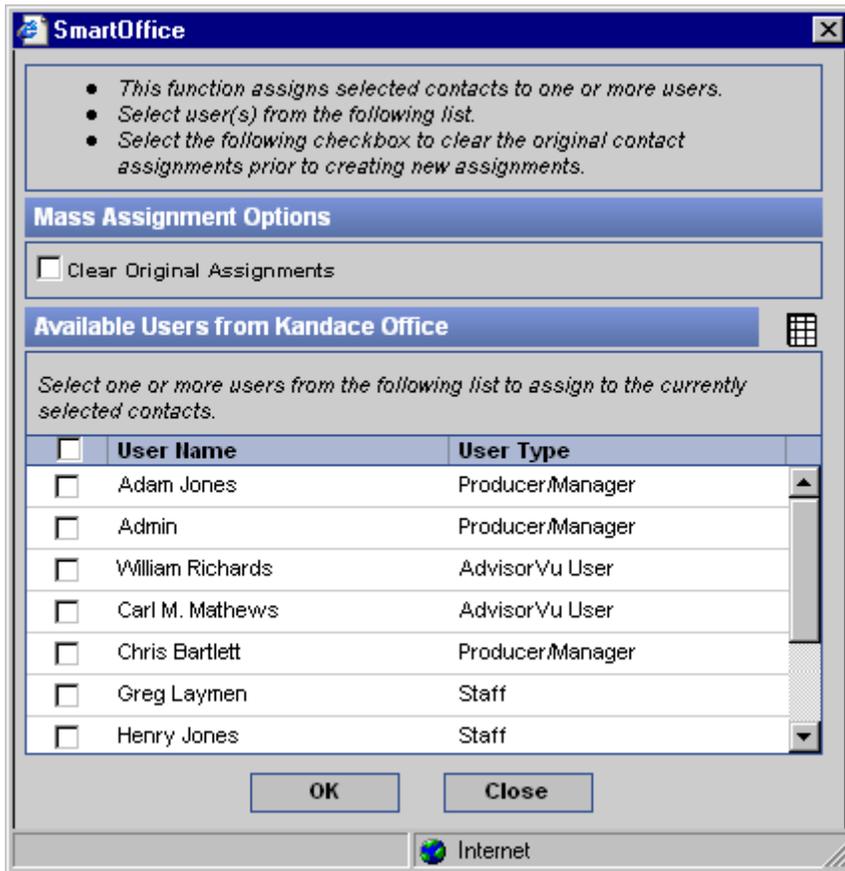
To find Contacts, Advisors, or Agencies with a matching profile, select a record and then click the **Find Contacts with Matching Profile** button. The Matching Profile Summary dialog box opens to display a list of pre-defined profiles in the Profile Name section. The user is able to add, modify, and 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.

Advisor - Philip Anderson															
<div style="text-align: right;"> </div>															
<div style="display: flex; justify-content: space-between;"> Summary Personal Additional Key Relations License/E & O (X) Cont./Appt. Production (Z) Ind. Policy Group Policy >> </div>															
Personal Information		Phone Numbers													
Last Name Anderson Suffix CLU First Name Philip Middle Name Greeting Philip Title Mr. Type Advisor Sub-Type A Source Sub-Source Referred By Birth Date 06/15/1966 Age 38 SS # 118-89-8774 Gender Male		<table border="1"> <thead> <tr> <th>Type</th> <th>Full Phone</th> <th>Remarks</th> </tr> </thead> <tbody> <tr> <td><input type="checkbox"/> Business</td> <td>(909) 874-7222#73</td> <td></td> </tr> <tr> <td><input type="checkbox"/> Business Fax</td> <td>(818) 632-5541</td> <td></td> </tr> <tr> <td><input type="checkbox"/> Pager (beeper)</td> <td>(626) 556-3456</td> <td></td> </tr> </tbody> </table>		Type	Full Phone	Remarks	<input type="checkbox"/> Business	(909) 874-7222#73		<input type="checkbox"/> Business Fax	(818) 632-5541		<input type="checkbox"/> Pager (beeper)	(626) 556-3456	
Type	Full Phone	Remarks													
<input type="checkbox"/> Business	(909) 874-7222#73														
<input type="checkbox"/> Business Fax	(818) 632-5541														
<input type="checkbox"/> Pager (beeper)	(626) 556-3456														
Detail Information		Addresses													
Agency Westlake Insurance Group - Corona Job Title Insurance Agent Hire Date Status Active Code Supervisor Christiansen, Carolina Marketing Mgr Mark Paladian Region Code Western Region Office Code 849-33 AlphaKey AlphaNum1 AlphaNum2		<table border="1"> <thead> <tr> <th>Type</th> <th>Complete Address</th> <th>Map</th> </tr> </thead> <tbody> <tr> <td><input type="checkbox"/> Business</td> <td>1 Main Street Los Angeles, CA 90008</td> <td></td> </tr> </tbody> </table>		Type	Complete Address	Map	<input type="checkbox"/> Business	1 Main Street Los Angeles, CA 90008							
Type	Complete Address	Map													
<input type="checkbox"/> Business	1 Main Street Los Angeles, CA 90008														
Communication Privacy		E-mail/Web Addresses													
Postal Mail <input type="checkbox"/> Phone <input type="checkbox"/> E-mail <input type="checkbox"/>		<table border="1"> <thead> <tr> <th>Type</th> <th>Address</th> </tr> </thead> <tbody> <tr> <td><input type="checkbox"/> E-Mail</td> <td>phildemo@ez-data.com</td> </tr> </tbody> </table>		Type	Address	<input type="checkbox"/> E-Mail	phildemo@ez-data.com								
Type	Address														
<input type="checkbox"/> E-Mail	phildemo@ez-data.com														
Preferred Communication															
Postal Mail <input type="radio"/> Fax <input type="radio"/> E-mail <input checked="" type="radio"/>															

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.

Personal Information			
Last Name	Anderson	Suffix	CLU
First Name	Philip	Middle Name	
Greeting	Philip	Title	Mr.
Type	Advisor	Sub-Type	A
Source		Sub-Source	
Referred By			
Birth Date	06/15/1966	Age	38
SS #	118-89-8774	Gender	Male

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 hierarchical 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.

Detail Information	
Agency	Westlake Insurance Group - Corona
Job Title	Insurance Agent
Hire Date	
Status	Active
Code	
Supervisor	Christiansen, Carolina
Marketing Mgr	Mark Paladian
Region Code	Western Region
Office Code	849-33
AlphaKey	
AlphaNum1	
AlphaNum2	

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.

Communication Privacy	
Postal Mail	<input type="checkbox"/>
Phone	<input type="checkbox"/>
E-mail	<input type="checkbox"/>

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.

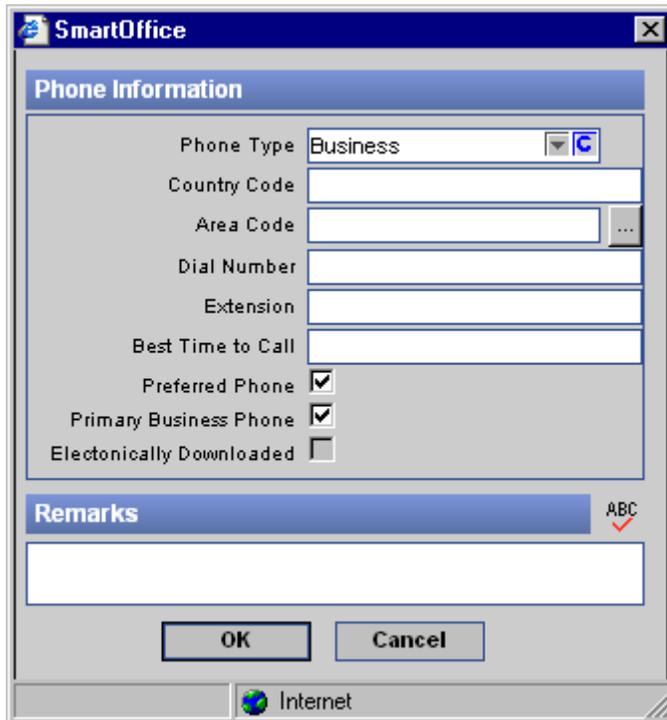
Preferred Communication	
Postal Mail	<input type="radio"/>
Fax	<input type="radio"/>
E-mail	<input checked="" type="radio"/>

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.

Phone Numbers			
<input type="checkbox"/>	Type	Full Phone	Remarks
<input type="checkbox"/>	Business	(323) 876-0987#73	
<input type="checkbox"/>	Business Fax	(818) 632-5541	
<input type="checkbox"/>	Pager (beeper)	(626) 556-3456	

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



The image shows a dialog box titled "SmartOffice" with a "Phone Information" section. It contains several input fields and checkboxes. The "Phone Type" dropdown is set to "Business". The "Country Code", "Area Code", "Dial Number", and "Extension" fields are empty. The "Best Time to Call" field is also empty. The "Preferred Phone" and "Primary Business Phone" checkboxes are checked, while "Electronically Downloaded" is unchecked. Below the "Phone Information" section is a "Remarks" section with a text area and a "Remarks" label. At the bottom of the dialog are "OK" and "Cancel" buttons. The status bar at the bottom shows "Internet".

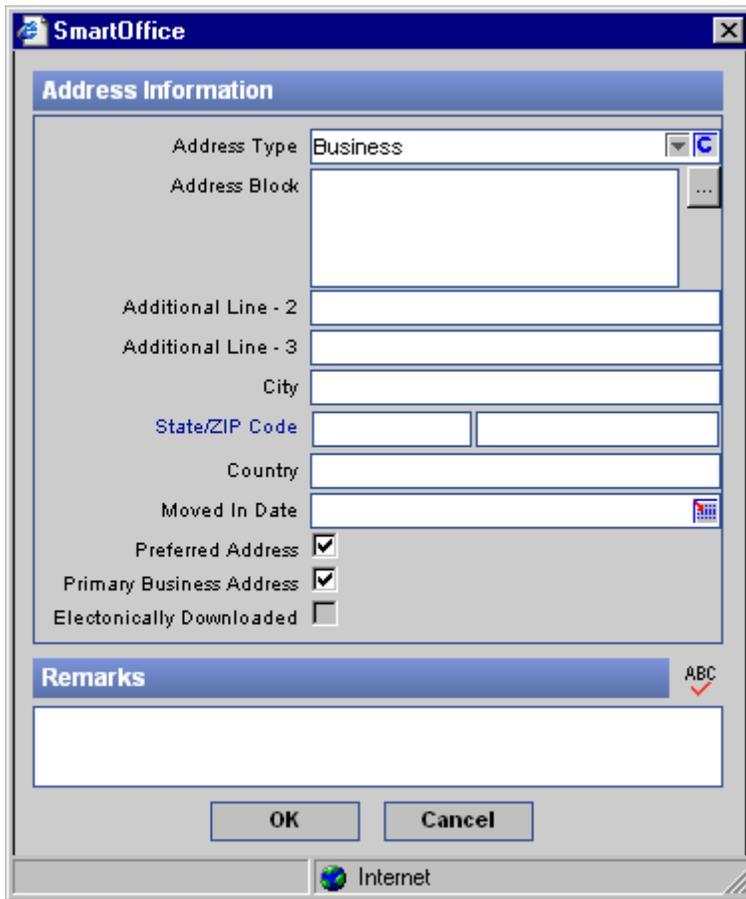
When dialing an Advisor, the program will use the number that has the **Preferred Phone** option selected.

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.

Addresses			
<input type="checkbox"/>	Type	Complete Address	Map
<input type="checkbox"/>	Business	1249 Beverly Glen Dr. Suite 201 Los Angeles, CA 90020 USA	

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.



The image shows a 'SmartOffice' dialog box titled 'Address Information'. It contains several input fields and checkboxes. The 'Address Type' dropdown is set to 'Business'. The 'Address Block' field is empty. Below it are 'Additional Line - 2' and 'Additional Line - 3' fields. The 'City' field is empty. The 'State/ZIP Code' field is split into two parts, both empty. The 'Country' field is empty. The 'Moved In Date' field is empty. There are three checkboxes: 'Preferred Address' (checked), 'Primary Business Address' (checked), and 'Electronically Downloaded' (unchecked). Below the form is a 'Remarks' section with a text area and a small 'ABC' icon with a checkmark. At the bottom are 'OK' and 'Cancel' buttons. The status bar at the bottom shows 'Internet'.

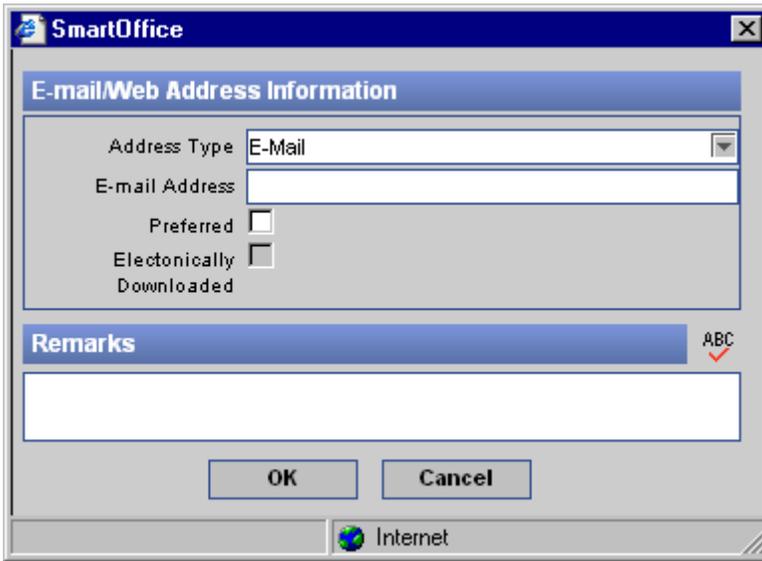
E-mail/Web Address Section

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



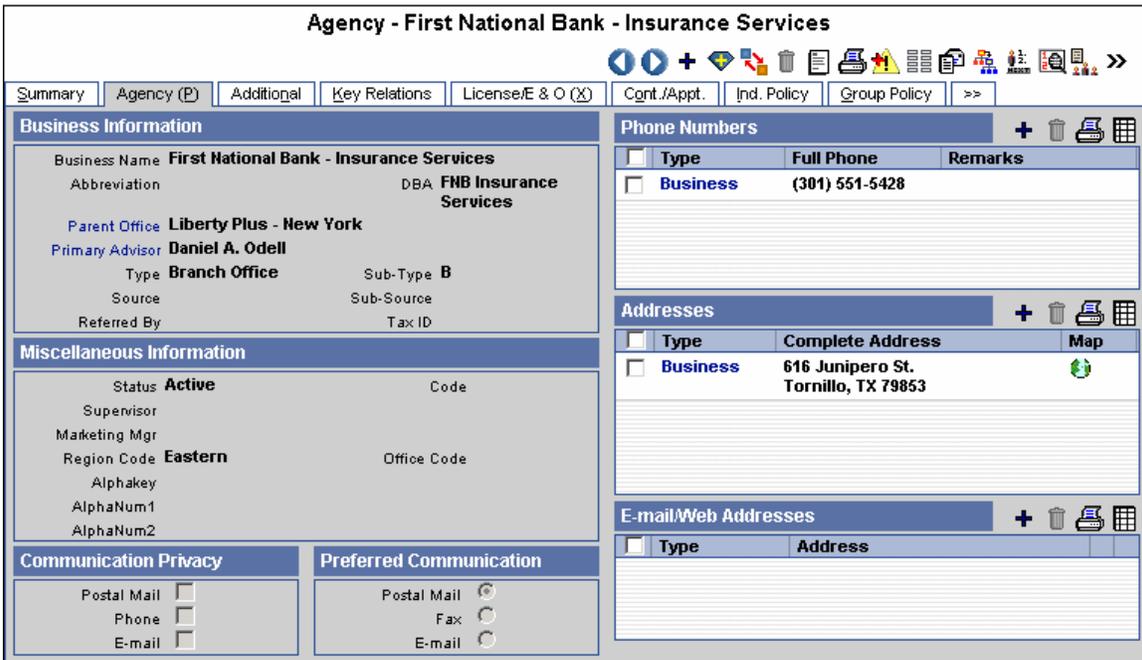
The image shows a list titled 'E-mail/Web Addresses'. The list has a header row with a checkbox and the text 'Address'. Below the header is one entry with a checkbox and the email address 'philip@anderson.com'. To the right of the list are three icons: a plus sign, a trash can, and a printer.

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.

Business Information	
Business Name	First National Bank - Insurance Services
Abbreviation	<input type="text"/>
DBA	FNB Insurance Serv
Parent Office	Liberty Plus - New York
Primary Advisor	Daniel A. Odell
Type	Branch Office <input type="button" value="C"/>
Sub-Type	B <input type="button" value="C"/>
Source	<input type="button" value="C"/>
Sub-Source	<input type="button" value="C"/>
Referred By	<input type="text"/>
Tax ID	<input type="text"/>

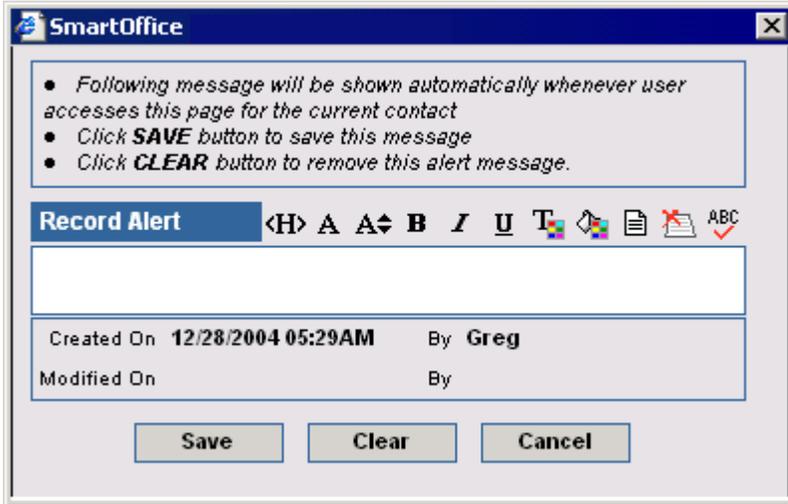
Miscellaneous Information Section

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.

Miscellaneous Information	
Status	Active <input type="button" value="C"/>
Code	<input type="text"/>
Supervisor	<input type="text"/>
Marketing Mgr	<input type="button" value="C"/>
Region Code	Eastern <input type="button" value="C"/>
Office Code	<input type="button" value="C"/>
AlphaKey	<input type="button" value="C"/>
AlphaNum1	<input type="button" value="C"/>
AlphaNum2	<input type="button" value="C"/>

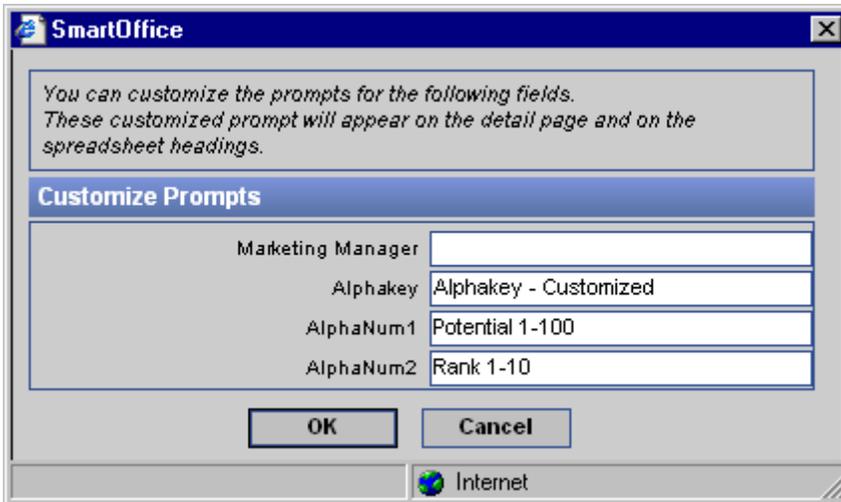
Add Record Alert Button

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.



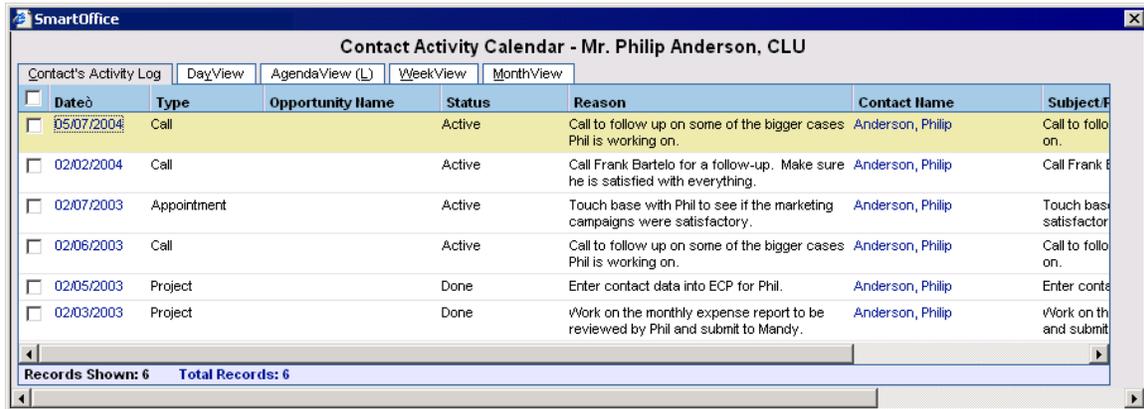
Customize Label Button

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

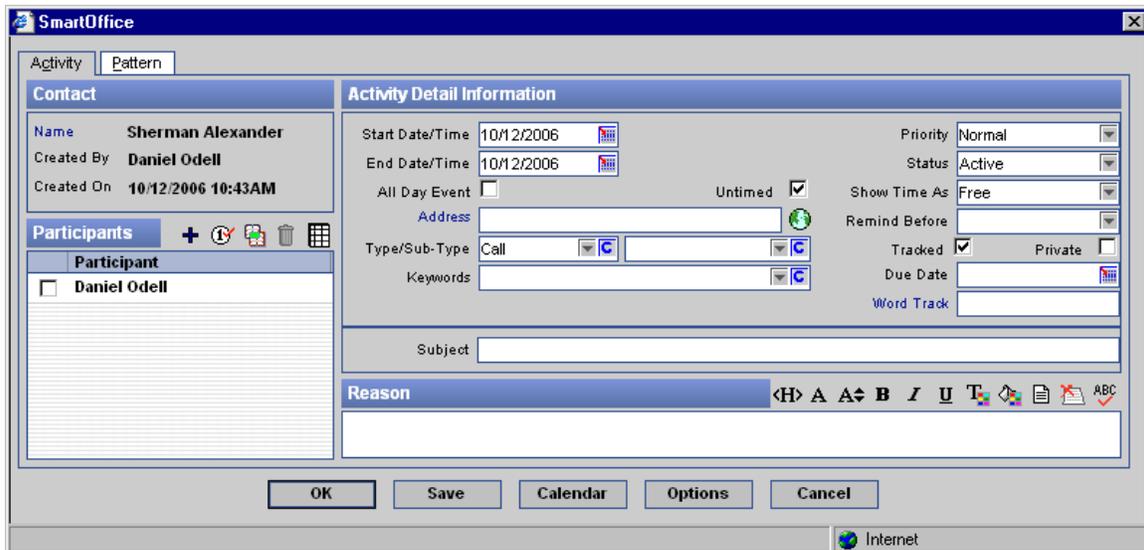


Activity Log Button

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.

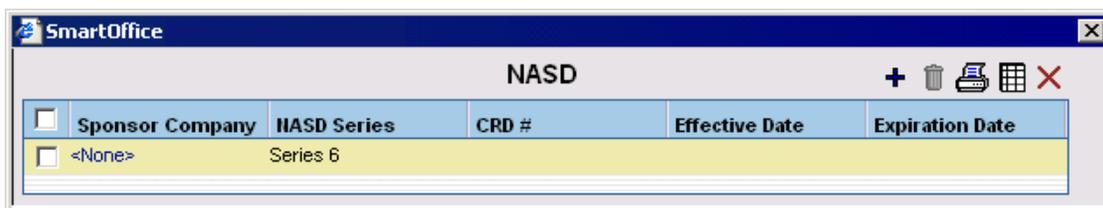


Click the **Add** button to add a new activity.

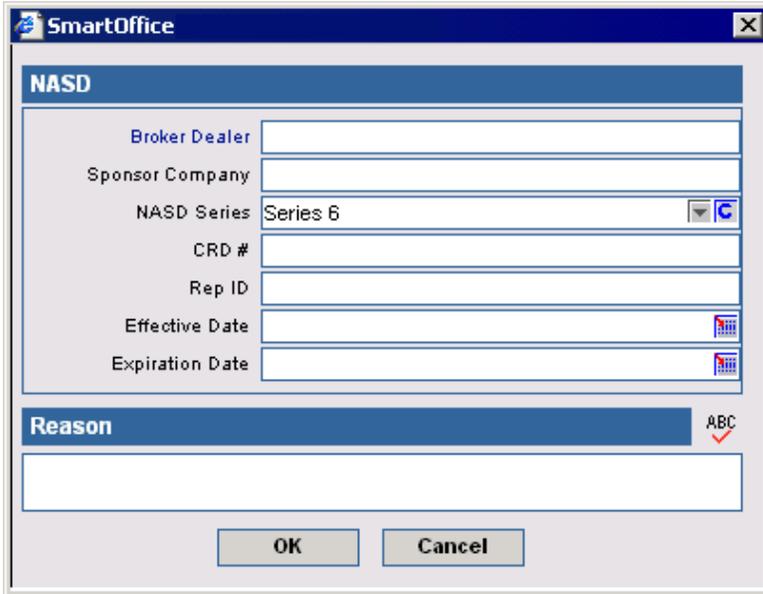


Broker Dealer Button

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.



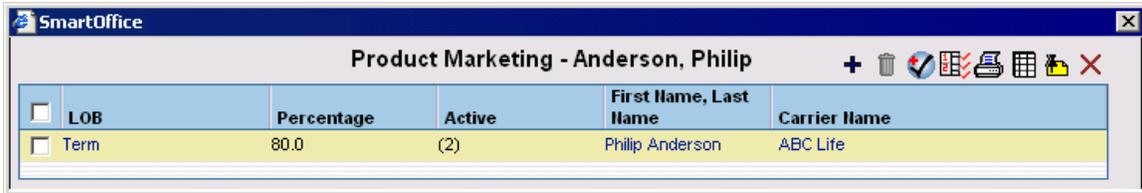
To enter additional NASD information, click the **Add** button. The NASD Series field consists of two choices – Series 6 and Series 7. Series 6 is a test that registers an individual to transact a limited seat of securities. Series 7 is the General Securities Registered Representative License, required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



The image shows a 'SmartOffice' dialog box titled 'NASD'. It contains several input fields: 'Broker Dealer', 'Sponsor Company', 'NASD Series' (a dropdown menu currently showing 'Series 6'), 'CRD #', 'Rep ID', 'Effective Date', and 'Expiration Date'. Below these fields is a 'Reason' section with a text area and a small 'ABC' icon with a checkmark. At the bottom are 'OK' and 'Cancel' buttons.

Product Marketing Button

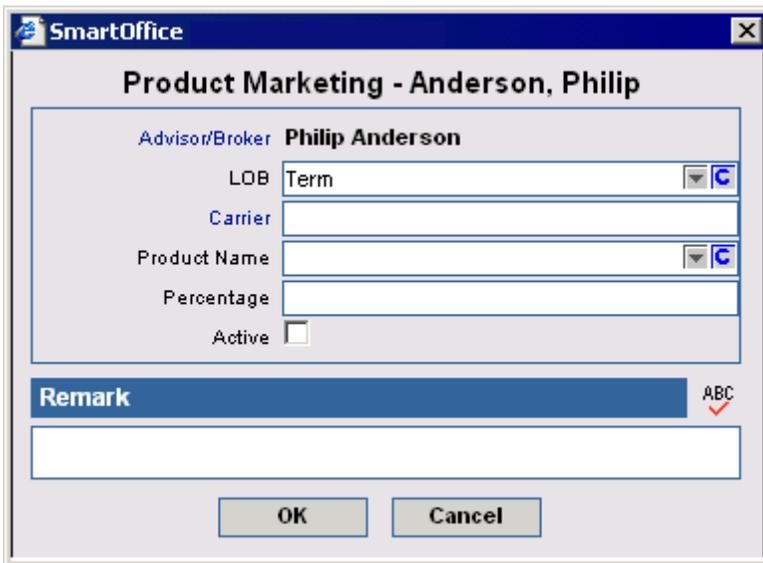
To display Product marketing information from the Personal tab of the Advisor/Agency, select the **More Features** button and then select **Product Marketing** from the expanded list.



The image shows a 'SmartOffice' window titled 'Product Marketing - Anderson, Philip'. It contains a table with the following data:

<input type="checkbox"/>	LOB	Percentage	Active	First Name, Last Name	Carrier Name
<input type="checkbox"/>	Term	80.0	(2)	Philip Anderson	ABC Life

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



The image shows a 'SmartOffice' dialog box titled 'Product Marketing - Anderson, Philip'. It contains several input fields: 'Advisor/Broker' (set to 'Philip Anderson'), 'LOB' (a dropdown menu showing 'Term'), 'Carrier', 'Product Name' (a dropdown menu), 'Percentage', and 'Active' (a checkbox). Below these fields is a 'Remark' section with a text area and a small 'ABC' icon with a checkmark. At the bottom are 'OK' and 'Cancel' buttons.

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.

Policy Count	Policy Type	Max Premium	Max Benefit	Average Premium	Average Benefit	Total Premium
26	Life - Term(Inforce)	9,600.00	1,000,000	1,660.86	445,000	43,182.26
1	Life - Term(Pending)	1,800.00	100,000	1,800.00	100,000	1,800.00
2	Umbrella(Inforce)	450.00	0	410.00	0	820.00
2	Other(Inforce)	240.00	0	226.50	0	453.00

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.

Advisor - Mr. Christian Adam Able

Personal Information		Pending	Cases	Production	Last Submitted	Days
Name Mr. Christian Adam Able		Annuity	0	0	02/08/2006	6
Supervisor Westlake Insurance Group		Life	2	2,075	02/08/2006	6
Marketing Mgr		LTC	0	0	02/06/2006	8
Agency Westlake Insurance Group - Corona		DI	0	0	02/06/2006	8
Job Title Managing General Agent		Medical	1	750	02/08/2006	6
Type Advisor		Combined	3	2,825	02/08/2006	6
Sub-Type A						
Source						
Sub-Source						
Region Code California						
Office Code Westlake Insurance Group - Corona						
Address/Phone/e-Mail		Inforce	Cases	Production	Trend	Rank
Business: 1 Main Street		Annuity	2	115,000	Increasing	0
Corona, CA 92877		Life	4	7,000	Increasing	0
Business: (909) 875-7222#26541		LTC	1	2,000	Increasing	0
Residence: (909) 562-4895		DI	1	1,250	Increasing	0
joe@ez-data.com		Medical	3	12,750	Increasing	0
chrisable@wig.com		Combined	11	138,000	Increasing	0
Remarks		Inforce	Curr Cases/Prod	Prev-Yr Cases/Prod		
Chris competes in triathlons		Month	2	66,500	6	63,000
		YTD	8	129,500	1	75,000
		First Quarter	8	129,500	2	77,500
		Second Quarter	1	4,500	0	0
		Third Quarter	0	0	0	0
		Fourth Quarter	1	1,500	0	0

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.

Advisor - Mr. Christian Adam Able

Summary	Personal	Additional	Key Relations	License/E & O (X)	Cont./Appt.	Ind. Policy	Group Policy	Letters/Documents	>>
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<p>Personal Information</p> <table style="width: 100%;"> <tr> <td>Last Name: <input type="text" value="Able"/></td> <td>Suffix: <input type="text"/></td> </tr> <tr> <td>First Name: <input type="text" value="Christian"/></td> <td>Middle Name: <input type="text" value="Adam"/></td> </tr> <tr> <td>Greeting: <input type="text" value="Christian"/></td> <td>Title: <input type="text" value="Mr."/></td> </tr> <tr> <td>Type: <input type="text" value="Advisor"/></td> <td>Sub-Type: <input type="text" value="A"/></td> </tr> <tr> <td>Source: <input type="text"/></td> <td>Sub-Source: <input type="text"/></td> </tr> <tr> <td colspan="2">Referred By: <input type="text"/></td> </tr> <tr> <td>Birth Date: <input type="text"/></td> <td>Age: <input type="text"/></td> </tr> <tr> <td>SS #: <input type="text" value="222-56-9546"/></td> <td>Gender: <input type="text"/></td> </tr> </table> <p>Detail Information</p> <table style="width: 100%;"> <tr> <td>Agency: <input type="text" value="Westlake Insurance Group - Corona"/></td> </tr> <tr> <td>Job Title: <input type="text" value="Managing General Agt"/></td> <td>Hire Date: <input type="text"/></td> </tr> <tr> <td>Status: <input type="text"/></td> <td>Code: <input type="text"/></td> </tr> <tr> <td>Supervisor: <input type="text" value="Westlake Insurance Group"/></td> </tr> <tr> <td>Marketing Mgr: <input type="text"/></td> </tr> <tr> <td>Region Code: <input type="text" value="California"/></td> <td>Office Code: <input type="text" value="Westlake Insuranc"/></td> </tr> <tr> <td>AlphaKey: <input type="text"/></td> </tr> <tr> <td>AlphaNum1: <input type="text"/></td> </tr> <tr> <td>AlphaNum2: <input type="text"/></td> </tr> </table> <table style="width: 100%;"> <tr> <td style="width: 50%;">Communication Privacy</td> <td style="width: 50%;">Preferred Communication</td> </tr> <tr> <td>Postal Mail: <input type="checkbox"/></td> <td>Postal Mail: <input checked="" type="radio"/></td> </tr> <tr> <td>Phone: <input type="checkbox"/></td> <td>Fax: <input type="radio"/></td> </tr> <tr> <td>E-mail: <input type="checkbox"/></td> <td>E-mail: <input type="radio"/></td> </tr> </table>	Last Name: <input type="text" value="Able"/>	Suffix: <input type="text"/>	First Name: <input type="text" value="Christian"/>	Middle Name: <input type="text" value="Adam"/>	Greeting: <input type="text" value="Christian"/>	Title: <input type="text" value="Mr."/>	Type: <input type="text" value="Advisor"/>	Sub-Type: <input type="text" value="A"/>	Source: <input type="text"/>	Sub-Source: <input type="text"/>	Referred By: <input type="text"/>		Birth Date: <input type="text"/>	Age: <input type="text"/>	SS #: <input type="text" value="222-56-9546"/>	Gender: <input type="text"/>	Agency: <input type="text" value="Westlake Insurance Group - Corona"/>	Job Title: <input type="text" value="Managing General Agt"/>	Hire Date: <input type="text"/>	Status: <input type="text"/>	Code: <input type="text"/>	Supervisor: <input type="text" value="Westlake Insurance Group"/>	Marketing Mgr: <input type="text"/>	Region Code: <input type="text" value="California"/>	Office Code: <input type="text" value="Westlake Insuranc"/>	AlphaKey: <input type="text"/>	AlphaNum1: <input type="text"/>	AlphaNum2: <input type="text"/>	Communication Privacy	Preferred Communication	Postal Mail: <input type="checkbox"/>	Postal Mail: <input checked="" type="radio"/>	Phone: <input type="checkbox"/>	Fax: <input type="radio"/>	E-mail: <input type="checkbox"/>	E-mail: <input type="radio"/>	<p>Phone Numbers</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Type</th> <th>Full Phone</th> <th>Remarks</th> </tr> </thead> <tbody> <tr> <td><input type="checkbox"/> Business</td> <td>(909) 875-7222#26541</td> <td>Availabe 8 - 3 on Mon.</td> </tr> <tr> <td><input type="checkbox"/> Residence</td> <td>(909) 562-4895</td> <td></td> </tr> </tbody> </table> <p>Addresses</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Type</th> <th>Complete Address</th> <th>Map</th> </tr> </thead> <tbody> <tr> <td><input type="checkbox"/> Business</td> <td>1 Main Street Corona, CA 92877</td> <td></td> </tr> </tbody> </table> <p>E-mail/Web Addresses</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Type</th> <th>Address</th> </tr> </thead> <tbody> <tr> <td><input type="checkbox"/> E-Mail</td> <td>joe@ez-data.com</td> </tr> <tr> <td><input type="checkbox"/> E-Mail</td> <td>chrisable@wig.com</td> </tr> </tbody> </table>	Type	Full Phone	Remarks	<input type="checkbox"/> Business	(909) 875-7222#26541	Availabe 8 - 3 on Mon.	<input type="checkbox"/> Residence	(909) 562-4895		Type	Complete Address	Map	<input type="checkbox"/> Business	1 Main Street Corona, CA 92877		Type	Address	<input type="checkbox"/> E-Mail	joe@ez-data.com	<input type="checkbox"/> E-Mail	chrisable@wig.com
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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.

Agency - Westlake Insurance Group

Summary	Agency (P)	Additional	Key Relations	License/E & O (X)	Cgnt./Appt.	Ind. Policy	Group Policy	Letters/Documents	>>																																			
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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.

Agency - Westlake Insurance Group

Summary	Agency (P)	Additional	Key Relations	License/E & O (X)	Cgnt./Appt.	Ind. Policy	Group Policy	>>									
Business Information					Phone Numbers												
Business Name <input type="text" value="Westlake Insurance Group"/> Abbreviation <input type="text" value="WIG"/> DBA <input type="text" value="WIG"/> Parent Office Primary Advisor Type <input type="text" value="Home Office"/> Sub-Type <input type="text" value="A"/> Source <input type="text"/> Sub-Source <input type="text"/> Referred By <input type="text"/> Tax ID <input type="text" value="777-77-7777"/>					<table border="1"> <thead> <tr> <th>Type</th> <th>Full Phone</th> <th>Remarks</th> </tr> </thead> <tbody> <tr> <td><input type="checkbox"/> Business</td> <td>(888) 552-7653</td> <td></td> </tr> <tr> <td><input type="checkbox"/> Business Fax</td> <td>(866) 777-0912</td> <td></td> </tr> </tbody> </table>				Type	Full Phone	Remarks	<input type="checkbox"/> Business	(888) 552-7653		<input type="checkbox"/> Business Fax	(866) 777-0912	
Type	Full Phone	Remarks															
<input type="checkbox"/> Business	(888) 552-7653																
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Miscellaneous Information					Addresses												
Status <input type="text"/> Code <input type="text"/> Supervisor Marketing Mgr Region Code <input type="text" value="California"/> Office Code <input type="text" value="Westlake Insu"/> AlphaKey <input type="text"/> AlphaNum1 <input type="text"/> AlphaNum2 <input type="text"/>					<table border="1"> <thead> <tr> <th>Type</th> <th>Complete Address</th> <th>Map</th> </tr> </thead> <tbody> <tr> <td><input type="checkbox"/> Business</td> <td>83742 W. Valley Blvd. Thousand Oaks, CA 93210</td> <td></td> </tr> </tbody> </table>				Type	Complete Address	Map	<input type="checkbox"/> Business	83742 W. Valley Blvd. Thousand Oaks, CA 93210				
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Policy/PCM Setup – Label Change

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

Advisor - Mr. Christian Adam Able

Personal Information		Pending	Cases	Production	Last Submitted	Days
Name	Mr. Christian Adam Able	Annuity	0	0	02/08/2006	6
Supervisor	Westlake Insurance Group	Life	2	2,075	02/08/2006	6
Marketing Mgr		LTC	0	0	02/06/2006	8
Agency	Westlake Insurance Group - Corona	DI	0	0	02/06/2006	8
Job Title	Managing General Agent	Medical	1	750	02/08/2006	6
Hire Date		Combined	3	2,825	02/08/2006	6
Type	Advisor					
Sub-Type	A					
Source						
Sub-Source						
Region Code	California					
Office Code	Westlake Insurance Group - Corona					
Address/Phone/e-Mail		Inforce	Cases	Production	Trend	Rank
Business:	1 Main Street Corona, CA 92877	Annuity	2	115,000	Increasing	0
Business:	(909) 875-7222#26541	Life	4	7,000	Increasing	0
Residence:	(909) 562-4895	LTC	1	2,000	Increasing	0
	joe@ez-data.com	DI	1	1,250	Increasing	0
	chrisable@wig.com	Medical	3	12,750	Increasing	0
		Combined	11	138,000	Increasing	0
Remarks		Inforce	Curr Cases/Prod	Prev-Yr Cases/Prod		
Chris competes in triathlons		Month	2	66,500	6	63,000
		YTD	8	129,500	1	75,000
		First Quarter	8	129,500	2	77,500
		Second Quarter	1	4,500	0	0
		Third Quarter	0	0	0	0
		Fourth Quarter	1	1,500	0	0

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.

SmartOffice

Master Setup List

- Requirements
- Follow-Up Requirements
- Status Setup
- Agency Manager Setup
- PCM Workflows
- Informal PCM Workflows
- DataXchange Setup
- NAILBA/ACORD Codes
- SmartView for Advisor
- Privacy
- PCM Status Merge Code Definition
- Production Dashboard Setup - LOB Options

LOB Options for Production Dashboard

Select up to 5 LOBs to be used for the Production Dashboard. The calculation of the selected LOBs can take up to 24 hours before displaying the data. The Production amount displayed is the Annual Premium.

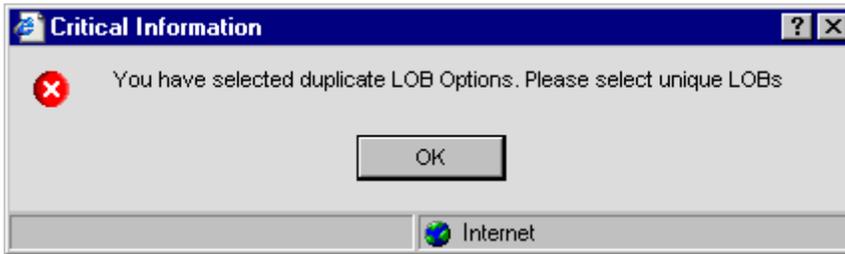
- Option 1 **Life**
- Option 2 **Annuity**
- Option 3 **DI**
- Option 4 **LTC**
- Option 5

Close

Internet

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 than 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 - Mr. Christian Adam Able

Personal Information	Pending																																																			
<table style="width: 100%; border-collapse: collapse;"> <tr><td colspan="2">Name Mr. Christian Adam Able</td></tr> <tr><td>Supervisor Westlake Insurance Group</td><td></td></tr> <tr><td>Marketing Mgr</td><td></td></tr> <tr><td>Agency Westlake Insurance Group - Corona</td><td></td></tr> <tr><td>Job Title Managing General Agent</td><td>Hire Date</td></tr> <tr><td>Type Advisor</td><td>Sub-Type A</td></tr> <tr><td>Source</td><td>Sub-Source</td></tr> <tr><td>Region Code California</td><td>Office Code Westlake Insurance Group - Corona</td></tr> </table>	Name Mr. Christian Adam Able		Supervisor Westlake Insurance Group		Marketing Mgr		Agency Westlake Insurance Group - Corona		Job Title Managing General Agent	Hire Date	Type Advisor	Sub-Type A	Source	Sub-Source	Region Code California	Office Code Westlake Insurance Group - Corona	<table style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 15%;">Annuity</th> <th style="width: 15%;">Cases</th> <th style="width: 15%;">Production</th> <th style="width: 15%;">Last Submitted</th> <th style="width: 15%;">Days</th> </tr> <tr><td>Annuity</td><td>0</td><td>0</td><td>02/08/2006</td><td>6</td></tr> <tr><td>Life</td><td>2</td><td>2,075</td><td>02/08/2006</td><td>6</td></tr> <tr><td>LTC</td><td>0</td><td>0</td><td>02/06/2006</td><td>8</td></tr> <tr><td>DI</td><td>0</td><td>0</td><td>02/06/2006</td><td>8</td></tr> <tr><td>Umbrella</td><td>1</td><td>750</td><td>02/08/2006</td><td>6</td></tr> <tr><td>Combined</td><td>3</td><td>2,825</td><td>02/08/2006</td><td>6</td></tr> </table>	Annuity	Cases	Production	Last Submitted	Days	Annuity	0	0	02/08/2006	6	Life	2	2,075	02/08/2006	6	LTC	0	0	02/06/2006	8	DI	0	0	02/06/2006	8	Umbrella	1	750	02/08/2006	6	Combined	3	2,825	02/08/2006	6
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Advisor Additional Tab

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

Advisor - Philip Anderson

[Summary](#) | [Personal](#) | [Additional](#) | [Key Relations](#) | [License/E & O \(X\)](#) | [Cont./Appt.](#) | [Production \(Z\)](#) | [Ind. Policy](#) | [Group Policy](#) | [>>](#)

Miscellaneous Information		Important Dates											
Marital Married # Child 2 Nationality American Language English Min. Check Amt.(\$) MDRT Goal	House Account <input type="checkbox"/> Salaried <input type="checkbox"/>	Created On 01/11/2002 By Admin Modified On 09/08/2005 By Admin Last Letter On 05/26/2005 By Admin Last Action On 04/18/2005 By Admin Next Action On	By										
Remarks		Set Membership											
[Empty Remarks Field]		<table border="1"> <thead> <tr> <th><input type="checkbox"/> Set Name</th> <th>Description</th> </tr> </thead> <tbody> <tr> <td><input type="checkbox"/> Advisor Mailing List</td> <td>All Advisors in the system</td> </tr> <tr> <td><input type="checkbox"/> Non Client</td> <td>Type not equal to client</td> </tr> <tr> <td><input type="checkbox"/> A-H</td> <td>Last Name Starts with A - H</td> </tr> <tr> <td><input type="checkbox"/> Annuity - Marketing Brochure</td> <td>Annuity Marketing Brochures for D</td> </tr> </tbody> </table>		<input type="checkbox"/> Set Name	Description	<input type="checkbox"/> Advisor Mailing List	All Advisors in the system	<input type="checkbox"/> Non Client	Type not equal to client	<input type="checkbox"/> A-H	Last Name Starts with A - H	<input type="checkbox"/> Annuity - Marketing Brochure	Annuity Marketing Brochures for D
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<input type="checkbox"/> Peter Stevens	Staff												
<input type="checkbox"/> Phillip Anderson	Producer/Manager												

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.

Miscellaneous Information			
Marital	Married	# Child	2
Nationality	American	Language	English
Min. Check Amt.(\$)		House Account	<input type="checkbox"/>
MDRT Goal		Salaried	<input type="checkbox"/>

Remarks Section

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

Remarks	ABC ✓
[Empty Remarks Field]	

User Assignments

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

User Assignments		+ [Icons]
<input type="checkbox"/> User Name	User Type	
<input type="checkbox"/> Daniel Odell	Producer/Manager	
<input type="checkbox"/> Peter Stevens	Staff	
<input type="checkbox"/> Phillip Anderson	Producer/Manager	

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.

Important Dates	
Created On	01/10/2002 By admin
Modified On	02/23/2004 By admin
Last Letter On	02/04/2004 By Peter Stevens
Last Action On	By
Next Action On	By

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.

Set Membership		
<input type="checkbox"/>	Set Name	Description
<input type="checkbox"/>	A-H	Last Name Starts with A - H
<input type="checkbox"/>	Non Client	Type not equal to client
<input type="checkbox"/>	Advisor Mailing List	All Advisors in the system

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.

Agency - First National Bank - Insurance Services

<p>Miscellaneous Information</p> <p>MDRT Goal</p> <p>Min. Check Amt.(%)</p> <p>House Account <input type="checkbox"/></p> <p>Alphakey</p> <p>Remarks</p> <p style="height: 40px;"></p> <p>User Assignments</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th><input type="checkbox"/></th> <th>User Name</th> <th>User Type</th> </tr> </thead> <tbody> <tr> <td><input type="checkbox"/></td> <td>Chris Bartlett</td> <td>Producer/Manager</td> </tr> <tr> <td><input type="checkbox"/></td> <td>Danny Adams</td> <td>Producer/Manager</td> </tr> <tr> <td><input type="checkbox"/></td> <td>James Johnson</td> <td>Producer/Manager</td> </tr> <tr> <td><input type="checkbox"/></td> <td>Mike Black</td> <td>Producer/Manager</td> </tr> </tbody> </table>	<input type="checkbox"/>	User Name	User Type	<input type="checkbox"/>	Chris Bartlett	Producer/Manager	<input type="checkbox"/>	Danny Adams	Producer/Manager	<input type="checkbox"/>	James Johnson	Producer/Manager	<input type="checkbox"/>	Mike Black	Producer/Manager	<p>Important Dates</p> <p>Created On 03/24/2005 By Chris Bartlett</p> <p>Modified On 09/08/2005 By Admin</p> <p>Last Letter On By</p> <p>Last Action On By</p> <p>Next Action On By</p> <p>Set Membership</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th><input type="checkbox"/></th> <th>Set Name</th> <th>Description</th> </tr> </thead> <tbody> <tr> <td colspan="3" style="height: 100px;"></td> </tr> </tbody> </table>	<input type="checkbox"/>	Set Name	Description			
<input type="checkbox"/>	User Name	User Type																				
<input type="checkbox"/>	Chris Bartlett	Producer/Manager																				
<input type="checkbox"/>	Danny Adams	Producer/Manager																				
<input type="checkbox"/>	James Johnson	Producer/Manager																				
<input type="checkbox"/>	Mike Black	Producer/Manager																				
<input type="checkbox"/>	Set Name	Description																				

Miscellaneous Information Section

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

Miscellaneous Information	
MDRT Goal	<input type="text"/>
Min. Check Amt.(\$)	<input type="text"/>
House Account	<input type="checkbox"/>
Alphakey	<input type="text"/>  

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.

Advisor - Philip Anderson



Summary	Personal	Additional	Key Relations	License/E & O (X)	Cont./Appt.	Production (Z)	Commission	>>
Key Relations								
<input type="checkbox"/>	Relationship With Female	Contact Name	Employer	Job Title	Relationship			
<input type="checkbox"/>	Cousin	Anderson, Mike	Bottomline Advertising Agency	Sales	Cousin			
<input type="checkbox"/>	Partner	Anthony, Brian K.	Instinct	Account Representative	Partner			
Business Relations								
<input type="checkbox"/>	Role	Business Name						
<input type="checkbox"/>	Financial Advisor	Anderson & Anderson						
Referred Contacts								
<input type="checkbox"/>	Contact Name	Employer	Review Date					
<input type="checkbox"/>	Cunningham, John	BWN Financial	11/01/2004					
<input type="checkbox"/>	Jenkins, Thomas		10/12/2004					

Key Relations Spreadsheet

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

Key Relations					
<input type="checkbox"/>	Relationship With Female	Contact Name	Employer	Job Title	Relationship
<input type="checkbox"/>	Cousin	Anderson, Mike	Bottomline Advertising Agency	Sales	Cousin
<input type="checkbox"/>	Partner	Anthony, Brian K.	Instinct	Account Representative	Partner

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

The dialog box is titled "SmartOffice" and "Key Relationship Detail". It contains the following fields:

- Text: "Select relation of Joseph M. Ackerman (Joseph M. Ackerman, M.D., Inc.) with Philip Anderson"
- Relation Type: Business (dropdown menu)
- Select Relationship Below:
 - Joseph M. Ackerman is Partner (dropdown menu) of Philip Anderson
 - Philip Anderson is Partner (dropdown menu) of Joseph M. Ackerman
- Remarks: (text area with ABC icon)
- Buttons: OK, Cancel

List Family Relations Button

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

Family Relations				
<input type="checkbox"/> Relationship With Female	Contact Name	Employer	Job Title	Relationship
<input type="checkbox"/> 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				
<input type="checkbox"/> Relationship With Female	Contact Name	Employer	Job Title	Relationship
<input type="checkbox"/> 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				
<input type="checkbox"/> Relationship With Female	Contact Name	Employer	Job Title	Relationship
<input type="checkbox"/> Cousin	Anderson, Mike	Bottomline Advertising Agency	Sales	Cousin
<input type="checkbox"/> 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	
<input type="checkbox"/> Role	Business Name
<input type="checkbox"/> Financial Advisor	Anderson & Anderson

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

The dialog box titled "SmartOffice" contains a section "Business Key Relationship Details". It has the following fields:

- Business Name: [Empty text box]
- Related Contact/Business: **Anderson, Philip**
- Contact Role: [Dropdown menu]
- Primary Business

Buttons: OK, Cancel

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.

Referred Contacts			
<input type="checkbox"/>	Contact Name	Employer	Review Date
<input type="checkbox"/>	Cunningham, John	BWV Financial	11/01/2004
<input type="checkbox"/>	Jenkins, Thomas		10/12/2004

Agency Key Relations Tab

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

The screenshot shows the "Agency - First National Bank - Insurance Services" window. It has several tabs: Summary, Agency (P), Additional, Key Relations, License/E & O (X), Cont./Appt., Ind. Policy, and Group Policy. The "Key Relations" tab is active.

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

<input type="checkbox"/>	Contact Name ↑	Employer	Review Date
<input type="checkbox"/>	Angular, Rina	20th Century Life Insurance	

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
<input type="checkbox"/> American Insurance Services	General Agency	Active	
<input type="checkbox"/> Liberty Plus	Branch Office		
<input type="checkbox"/> Liberty Plus - New York	Branch Office		
<input type="checkbox"/> First National Bank - Insurance Services	Branch Office	Active	
<input type="checkbox"/> 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
<input type="checkbox"/> 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

License Information						Continuing Education Credit Information				
License #	State	Status	Expiration Dt	Effective Dt		Date From	Date To	Credits Req.	Status	State
<input type="checkbox"/> C7739038	CA	Active	05/24/2004	05/24/1990		<input type="checkbox"/> 01/01/2002	12/31/2002	20	Active	
<input type="checkbox"/> W837482	AZ	Active	02/17/2007	02/17/1997		<input type="checkbox"/> 01/16/2003	09/16/2007	80	Active	All State
<input type="checkbox"/> O478398	NV	Active	03/12/2006	03/12/1996		<input type="checkbox"/> 01/16/2005	03/16/2007	90	Active	All State
<input type="checkbox"/> N7393847	VT	Active	02/11/2008	02/11/1998		<input type="checkbox"/> 05/24/1990	05/24/1992	50	Active	CA
						<input type="checkbox"/> 05/24/1990	05/24/1992	50	Active	CA

Records Shown: 4 Total Records: 4

Records Shown: 5 Total Records: 5

E&O Status			
Carrier Name	Policy #	Effective Dt	Expiration Dt
<input type="checkbox"/> Errors, Inc.	D397498J24378	03/18/1999	03/18/2005

Records Shown: 1 Total Records: 1

License/E&O Tab – Agency

Agency - WIG Westlake Insurance Group - Hollywood (WIG-H)

License Information						
License #	State	Status	Expiration Dt	Effective Dt		
<input type="checkbox"/> L419105	CA	Active	01/01/2008	01/01/2006		

Records Shown: 1 Total Records: 1

E&O Status				
Carrier Name	Policy #	Effective Dt	Expiration Dt	
<input type="checkbox"/> New York Life	P498117	01/01/2005	01/31/2007	

Records Shown: 1 Total Records: 1

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.

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

Records Shown: 4 Total Records: 4

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

SmartOffice License Information

Advisor/Broker: **Sherman Alexander**

Broker Dealer:

License #:

State: Resident:

Status:

Effective:

Expiration:

Termination:

License Type: Corporation

Advisor/Broker: Advisor

Remarks: ABC

Selected LOB:

LOB Type:

OK Cancel

Internet

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.

Continuing Education Credit Information				
<input type="checkbox"/>	Date From	Date To	Credits Req.	Status
<input type="checkbox"/>	01/01/2002	12/31/2002	20	Active
Records Shown: 1		Total Records: 1		

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.

The dialog box titled "Continuing Education Credit Information" contains the following fields:

- Advisor: Anderson, Philip
- Credits Required: [Text Field]
- Date From: [Text Field]
- Date To: [Text Field]
- Status: Active
- State: [Text Field]

On the right, there is a "Detailed CE Information" section with a table:

Description	CEDate	CECred

Buttons: OK, Cancel

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

The dialog box titled "Continuing Education" contains the following fields:

- Advisor: Philip Anderson
- CEDate: [Text Field]
- CECredits: [Text Field]
- Description: [Text Field] (with a red checkmark and "ABC" label)
- Remarks: [Text Field] (with a red checkmark and "ABC" label)

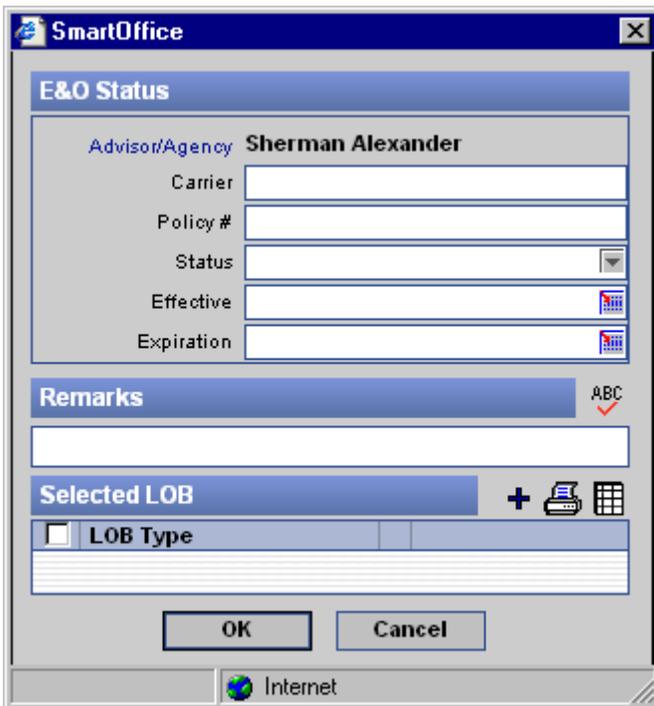
Buttons: OK, Cancel

E&O Status Spreadsheet

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

E&O Status				
<input type="checkbox"/>	Carrier Name	Policy #	Effective Dt	Expiration Dt
<input type="checkbox"/>	Errors, Inc.	D397498J24378	03/18/1999	03/18/2005
Records Shown: 1 Total Records: 1				

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



The dialog box is titled "SmartOffice" and "E&O Status". It contains the following fields and sections:

- Advisor/Agency:** Sherman Alexander
- Carrier:** [Text Field]
- Policy #:** [Text Field]
- Status:** [Dropdown Menu]
- Effective:** [Text Field] with a calendar icon
- Expiration:** [Text Field] with a calendar icon
- Remarks:** [Text Area] with a "ABC" icon and a checkmark
- Selected LOB:** [Section Header] with a "+" icon, a printer icon, and a grid icon
- LOB Type:** [Table with columns and rows]
- Buttons:** OK and Cancel
- Footer:** Internet icon

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 - Mr. Philip M Anderson, CLU

>>

Advisor Contract Information

<input type="checkbox"/>	Carrier Name	Contract No.	Contract Type	Contract Name	Effective Dt	Expiration Dt
<input type="checkbox"/>	Nations Life Insurance	A428	Advisor	Level 4	07/07/2001	07/07/2004
<input type="checkbox"/>	Blue Sky Mutual	2307	Advisor	BSM - 80	09/20/2002	09/20/2004
<input type="checkbox"/>	Maccabees Mutual	B4521	Advisor	Level 3	01/15/2000	01/15/2003
<input type="checkbox"/>	Colony Life	Agent	Advisor	Agent Level 1	01/18/2000	
<input type="checkbox"/>	ABC Life	G35634	Advisor	A70	08/01/1990	
<input type="checkbox"/>	<None>	K93784	Advisor	5% O/R Blanket	05/17/2005	

Records Shown: 10 Total Records: 10

Appointment Information

<input type="checkbox"/>	Carrier Name	Appointment	Contract No.	Start Date	End Date ↑	Status
<input type="checkbox"/>	ABC Life	AB6699	C23566	07/10/2006	07/11/2008	Active

Records Shown: 1 Total Records: 1

Advisor Contract Information Spreadsheet

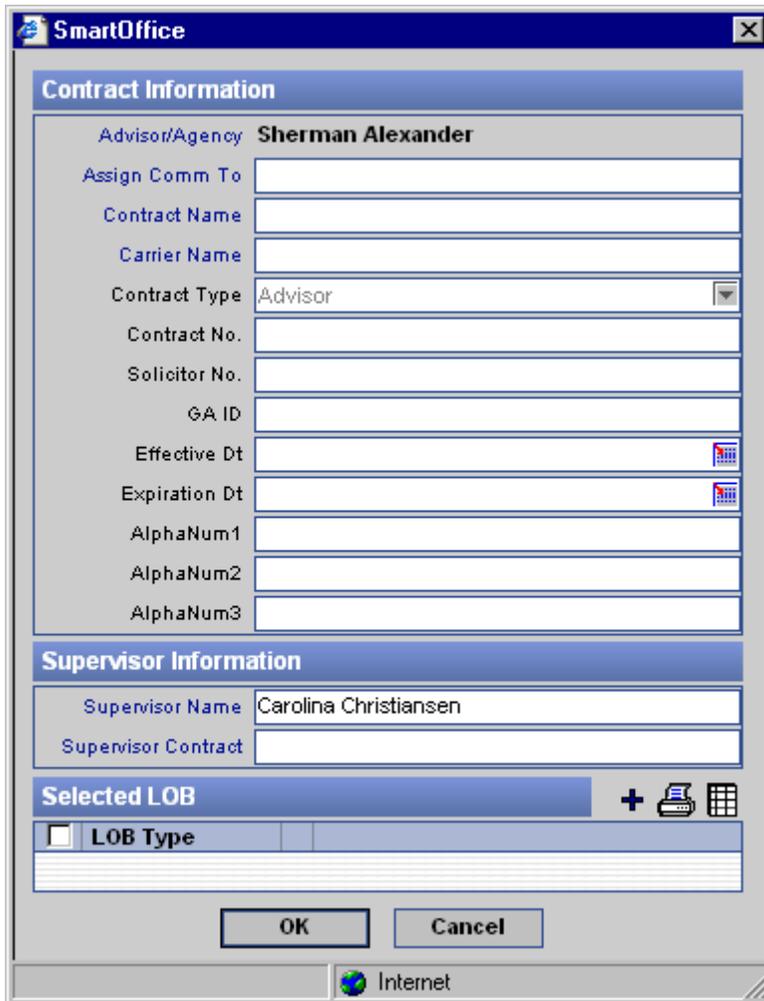
The Advisor contract information section tracks the contract that an Advisor has with a Carrier to sell the Carrier's Products.

Advisor Contract Information

<input type="checkbox"/>	Carrier Name	Contract No.	Contract Type	Contract Name	Effective Dt	Expiration Dt
<input type="checkbox"/>	Nations Life Insurance	A428	Advisor	Level 4	07/07/2001	07/07/2004
<input type="checkbox"/>	Blue Sky Mutual	2307	Advisor	BSM - 80	09/20/2002	09/20/2004
<input type="checkbox"/>	Maccabees Mutual	B4521	Advisor	Level 3	01/15/2000	01/15/2003
<input type="checkbox"/>	Colony Life	Agent	Advisor	Agent Level 1	01/18/2000	
<input type="checkbox"/>	ABC Life	G35634	Advisor	A70	08/01/1990	
<input type="checkbox"/>	<None>	K93784	Advisor	5% O/R Blanket	05/17/2005	

Records Shown: 10 Total Records: 10

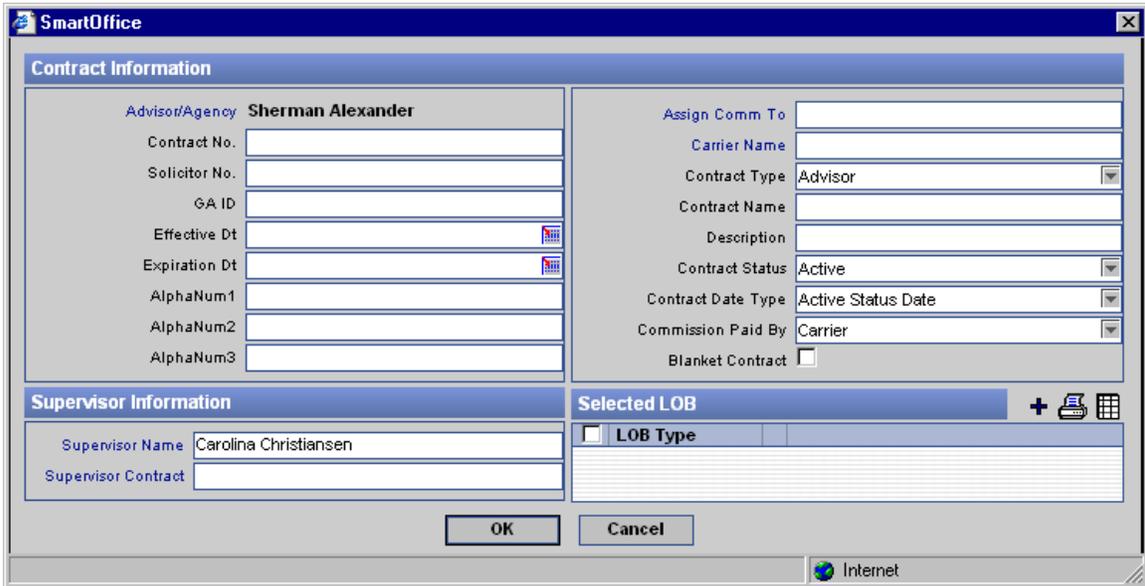
To add an Advisor Contract click the **Add** button to open the Contract Information dialog box.



The image shows a screenshot of the SmartOffice application window titled "SmartOffice". The main content area is a "Contract Information" dialog box. It has a blue header bar with the text "Contract Information". Below the header, there are several input fields and a dropdown menu. The "Advisor/Agency" field is populated with "Sherman Alexander". The "Assign Comm To" field is empty. The "Contract Name" field is empty. The "Carrier Name" field is empty. The "Contract Type" dropdown menu is set to "Advisor". The "Contract No.", "Solicitor No.", "GA ID", "Effective Dt", "Expiration Dt", "AlphaNum1", "AlphaNum2", and "AlphaNum3" fields are all empty. Below the "Contract Information" section is a "Supervisor Information" section with a blue header bar. It contains two input fields: "Supervisor Name" populated with "Carolina Christiansen" and "Supervisor Contract" which is empty. Below that is a "Selected LOB" section with a blue header bar and a table with one column labeled "LOB Type". The table is currently empty. At the bottom of the dialog box are "OK" and "Cancel" buttons. The bottom of the SmartOffice window shows an "Internet" icon.

- 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.



The dialog box is titled "SmartOffice" and "Contract Information". It contains several input fields and dropdown menus:

- Advisor/Agency:** Sherman Alexander
- Contract No.:** [Empty]
- Solicitor No.:** [Empty]
- GA ID:** [Empty]
- Effective Dt:** [Date Picker]
- Expiration Dt:** [Date Picker]
- AlphaNum1:** [Empty]
- AlphaNum2:** [Empty]
- AlphaNum3:** [Empty]
- Assign Comm To:** [Empty]
- Carrier Name:** [Empty]
- Contract Type:** Advisor
- Contract Name:** [Empty]
- Description:** [Empty]
- Contract Status:** Active
- Contract Date Type:** Active Status Date
- Commission Paid By:** Carrier
- Blanket Contract:**

Below the main fields are sections for "Supervisor Information" (Supervisor Name: Carolina Christiansen, Supervisor Contract: [Empty]) and "Selected LOB" (LOB Type: [Empty]). At the bottom are "OK" and "Cancel" buttons.

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.



The dialog box is titled "SmartOffice" and "Record Notes for Advisor Contract Information". It features a toolbar with icons for adding, deleting, filtering, and printing. Below the toolbar is a table with the following columns:

AppUserID	Created On	User Name	Status	User Type
Records Shown: 0 Total Records: 0				

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.



The dialog box is titled "SmartOffice" and "Contract Hierarchy". It displays a table showing the hierarchy of contracts:

First Name, Last Name	Advisor Type	Contract Name	Minimum Check Amt	Reserve Acct	Contract No.
Best Brokerage Agency	General Agent	Agency		Yes	Agency
Philip Anderson		Agent Level 1			Agent

A "Close" button is located at the bottom of the 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.

Advisor - Mr. Philip M Anderson, CLU							
Summary Personal Additional Key Relations License/E & O (X) Cmnt./Appt. Production (Z) Commission Smart Checks (J) >>							
Type	Role	Stage					
All	Primary Advisor	All					
<input type="checkbox"/>	Contact Name	Policy #	Carrier Name	Product Name	Holding Type	Annualized Premium	Role
<input type="checkbox"/>	Ackerman, Joseph M.		A1 Insurance Carriers.		Life		Primary A
<input type="checkbox"/>	Walker, Peter	08185931	ABC Life	Convertible Plus	Life	1,320.00	Primary A
<input type="checkbox"/>	Christiansen, Carolina	090	20th Century Life Insurance	Preferred Life	Life	1,500.00	Primary A
<input type="checkbox"/>	Ansong, Judy A.	092342091	ABC Life	ARTerm	Life	2,000.00	Primary A
<input type="checkbox"/>	Ackerman, Joseph M.	1115552	20th Century Life Insurance	Preferred Life	Life		Primary A
<input type="checkbox"/>	Hwang, Julie	12036Y	ABC Life	Convertible Plus	Life	60.00	Primary A
<input type="checkbox"/>	Walker, Peter	15834942891	ABC Life	Single Pay Life	Life	1,500.00	Primary A
<input type="checkbox"/>	Hallston, Shirley	212663	ABC Life	Assurable Life 5	Life	11,400.00	Primary A
<input type="checkbox"/>	Chung, Harold	230659	ABC Life	American Level 10	Life	100.00	Primary A
<input type="checkbox"/>	Anthony, Brian Test	2416925	ABC Life	American Level 20	Life	1,080.00	Primary A
<input type="checkbox"/>	Ansong, David M.	29347-2	ABC Life	Market Rate Annuity	Annuity	13,000.00	Primary A
<input type="checkbox"/>	Bartelo, Frank J.	40050991	ABC Life	American Level 20	Life	750.00	Primary A

Previous Page 2 Next Page Total Records: 101+ (Click here to list all)

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.

Delivered - A56842 - Life - Margaret Adams - American Level 10 - ABC Life

[Detail \(P\)](#) | [Underwriting](#) | [Delivery \(G\)](#) | [Advisor Requests](#) | [Riders/Reinsurance](#) | [Activity/Mail \(Z\)](#) | [Letters/Documents](#) | [>>](#)

Status and Dates		Premium Information	
Status/Status Date	Delivered 06/22/2006	Modal Premium	150.00
Signed	<input type="checkbox"/>	Pay Method	PAC
All Req In	11/01/2005 <input checked="" type="checkbox"/>	Target	100.00
Submitted	09/04/2005 <input checked="" type="checkbox"/>	Comm Modal	50.00
Approved	06/09/2006 <input checked="" type="checkbox"/>	Lump Sum	0.00
Delivered	06/22/2006 <input checked="" type="checkbox"/>	Flat Extra Prem	100.00
Issued	<input type="checkbox"/>	FYC	
Inforce	<input type="checkbox"/>	Do Not Calculate	<input type="checkbox"/>
		Renewal	
		List Bill #	

Basic Policy Information		Policy Advisor Summary	
Policy #	A56842	Case#	
Case Unique ID	Case-66054-1182	Role	Advisor
Carrier	ABC Life	Primary Advisor	Philip Anderson
Plan Name	American Level 10	Interest	100.00
Plan Type	Term		
Sub-Type	10YRT		
State	CA		
Cash Received	150.00		
Inforce Request			
Priority			
Show Parent			
Face Amount	150,000		
Underwritten Amt	150,000		

Important Contacts		Policy Insured Summary	
Underwriter	Jessica Lee	Role	Contact Name
HO Rep	Pricilla Parkinson	Primary Insured	Adams, Margaret
Team		Proposed Class	Preferred Non-Smoker
Case Manager	Peter Stevens	Contact	Margare
Contact	Margaret Adams		

Policy Relationships		Policy Insured Summary	
Role	Contact Name	Role	Contact Name
Primary Contact	Adams, Margaret	Primary Insured	Adams, Margaret
Owner	Adams, Margaret	Proposed Class	Preferred Non-Smoker
		Contact	Margare

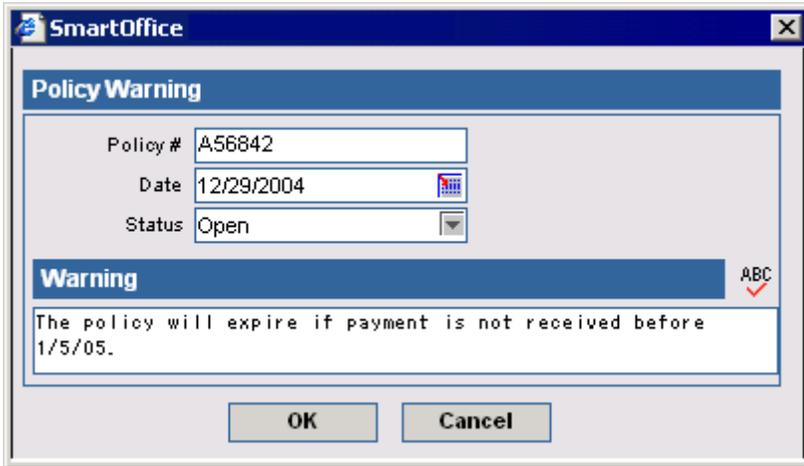
Policy Warnings Button

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.

SmartOffice Policy Warning Summary +

Warning Date	Warning Message	Status
12/29/2004	The policy will expire if payment is not received before 1/5/05.	Open

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.

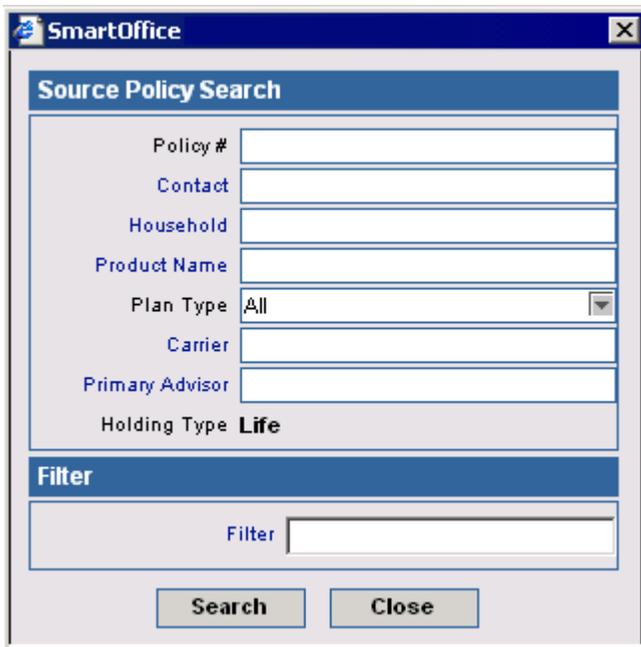


The screenshot shows a dialog box titled "SmartOffice" with a sub-header "Policy Warning". It contains the following fields: "Policy #" with the value "A56842", "Date" with the value "12/29/2004" and a calendar icon, and "Status" with a dropdown menu showing "Open". Below these fields is a section titled "Warning" with a red checkmark icon and the text "ABC". The warning message reads: "The policy will expire if payment is not received before 1/5/05." At the bottom of the dialog are "OK" and "Cancel" buttons.

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.

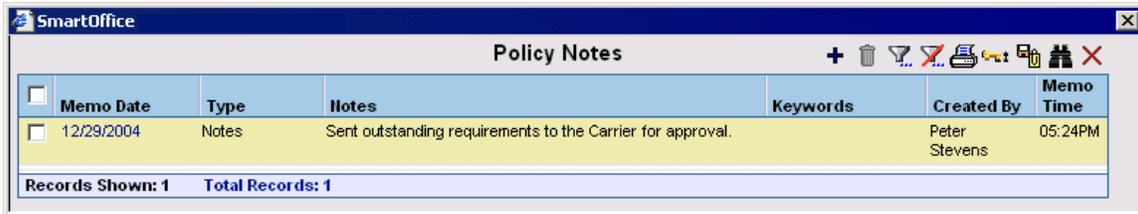


The screenshot shows a dialog box titled "SmartOffice" with a sub-header "Source Policy Search". It contains the following fields: "Policy #", "Contact", "Household", "Product Name", "Plan Type" with a dropdown menu showing "All", "Carrier", "Primary Advisor", and "Holding Type" with the value "Life". Below these fields is a section titled "Filter" with a text input field labeled "Filter". At the bottom of the dialog are "Search" and "Close" buttons.

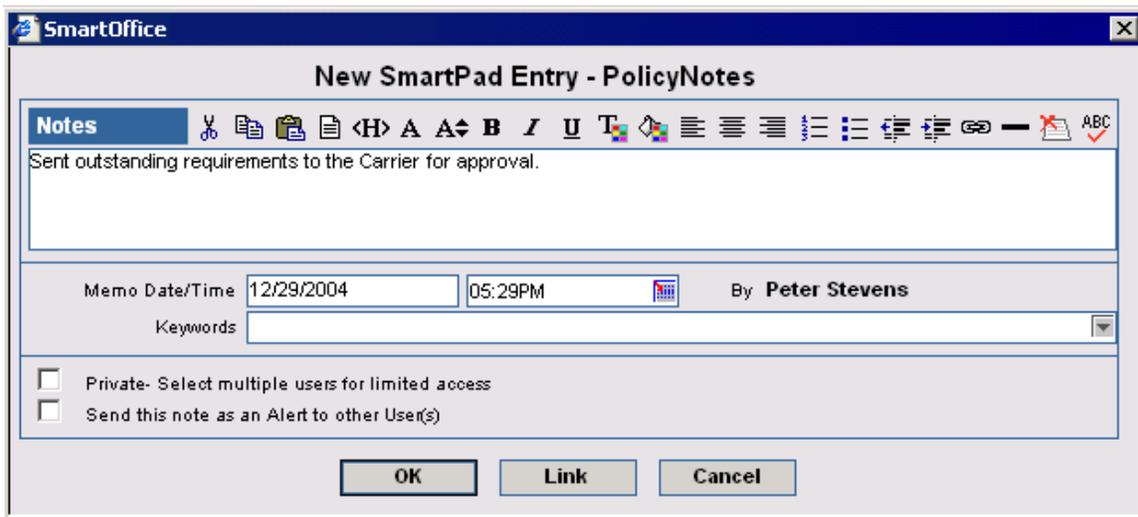
The Policy Merge dialog box opens to confirm the source and target policies. Click the **OK** button to extract the data from the source policy record and enter it into the target policy record. The program prompts before deleting the source record. All information is replaced except the data in the 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.

Advisor - Philip Anderson

Summary Personal Additional Key Relations License/E & O (X) Cntr./Appt. Production (Z) Ind. Policy **Group Policy** >>

Insurance Type: All Policy Stage: All

<input type="checkbox"/> Type	As Of Date	Carrier Name	Product Name	Renewal Date	ER Contribution
<input type="checkbox"/> Group Medical	10/05/2001	Blue Medical	Prudent Buyer	02/22/2002	100%
<input type="checkbox"/> Group Medical	09/10/2001	Blue Health Care	Primary Care Medical Plus	08/22/2002	100%
<input type="checkbox"/> LTD		Blue Medical	Maximum Shield		100%
<input type="checkbox"/> STD	10/06/2001	California Life & Health	Work Companion	02/24/2002	100%
<input type="checkbox"/> Retirement	09/10/2001	Nations Life Insurance	New Horizon 60	02/09/2002	100%
<input type="checkbox"/> Group Life	10/06/2001	ABC Life	Value 90	01/06/2002	100%
<input type="checkbox"/> 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 Log + [Icons]

All Investment Insurance Personal Taxes Legal Estate Miscellaneous

<input type="checkbox"/> Letter Title	Open	Keyword	Created On	Created By
<input type="checkbox"/> Beneficiary Endorsement to Policy Holder		Policy Beneficiary Endorsements	02/04/2004 11:56PM	Peter Stevens
<input type="checkbox"/> Introduction Letter		Marketing	02/02/2003 02:43AM	Peter Stevens
<input type="checkbox"/> Appointment Confirmation Letter		confirmation	10/14/2002 11:48PM	Peter Stevens
<input type="checkbox"/> 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

Noma Peterson
946 Dunford St
Jacksonville, FL 32201

Dear Noma,

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?

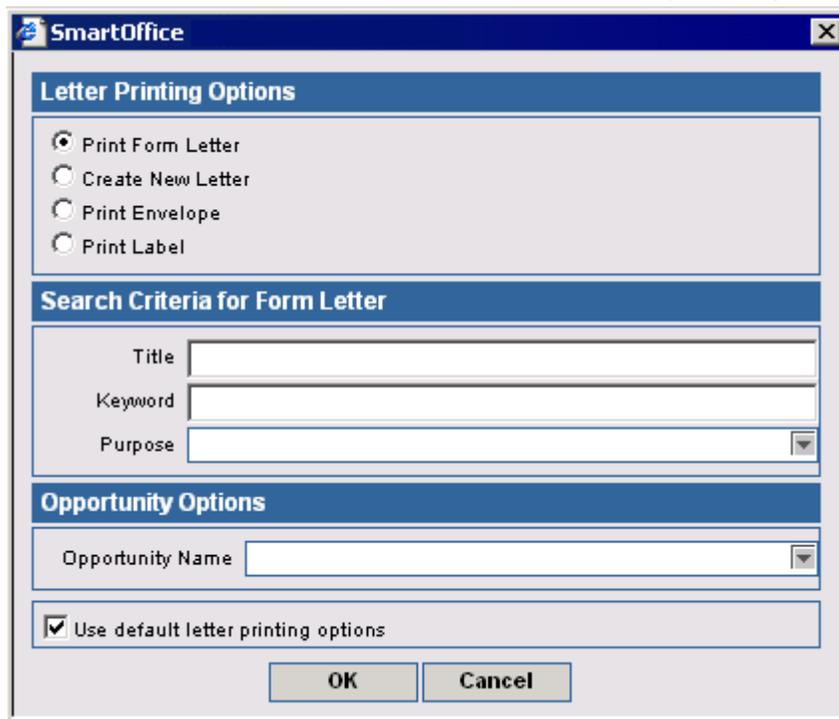
It's been a tough and lonely year for me at the insurance agency. Hopefully you will brighten up my year by inviting me to your home perhaps for dinner and some birthday cake?

Best wishes, Noma, 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.

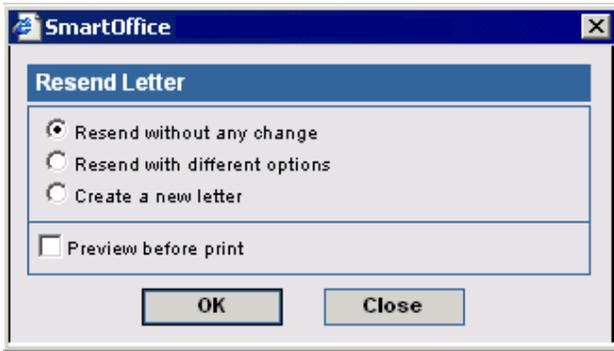


The image shows a dialog box titled "SmartOffice" with a close button (X) in the top right corner. The dialog box is divided into several sections:

- Letter Printing Options:** This section contains four radio button options:
 - Print Form Letter
 - Create New Letter
 - Print Envelope
 - Print Label
- Search Criteria for Form Letter:** This section contains three input fields:
 - Title: [Text Input Field]
 - Keyword: [Text Input Field]
 - Purpose: [Dropdown Menu]
- Opportunity Options:** This section contains one dropdown menu:
 - Opportunity Name: [Dropdown Menu]
- Use default letter printing options:** This section contains a checked checkbox.

At the bottom of the dialog box, there are two buttons: "OK" and "Cancel".

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

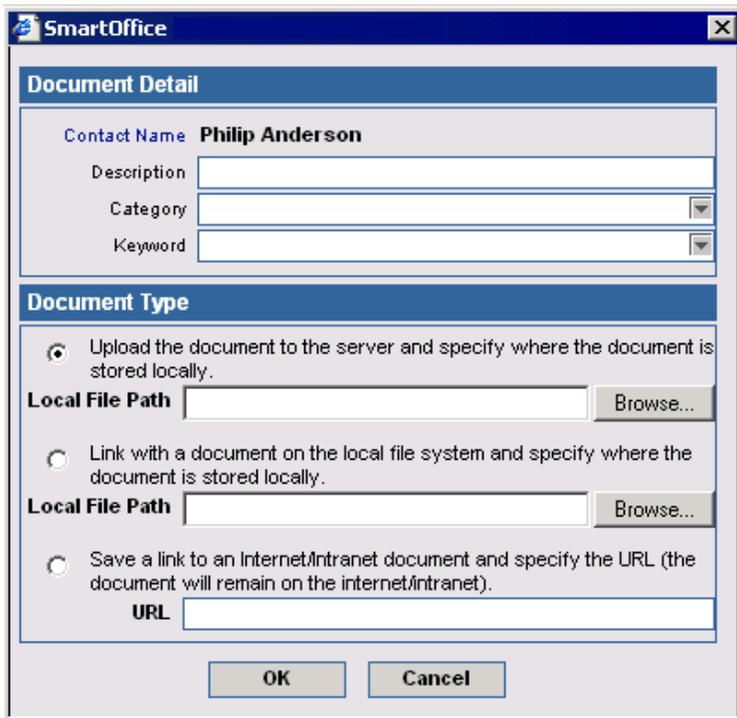


Document Summary

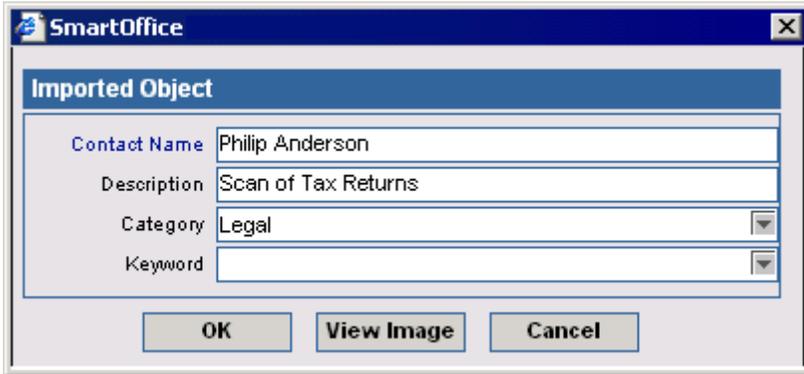
The user can attach a file to an Advisor record. This file can be a document, a picture, or any other type of file. To add a file, click the Document Summary **Add** button to open the Document Detail dialog box.



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.



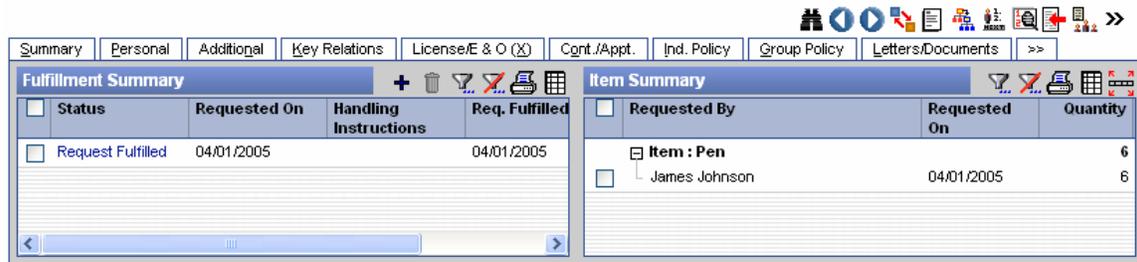
A saved document can be viewed in detail by clicking the application icon, located in the Open column, or by clicking the first column hyperlink of a document. Click the **View Image** button in the Imported Object dialog box to view the detail information.



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.

Advisor - Mr. Christian Adam Able



Request/Requirement Tab

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

Advisor - Mr. Philip M Anderson, CLU

Summary
 Personal
 Additional
 Key Relations
 License/E & O (X)
 Cgnt./Appt.
 Production (Z)
 Commission
 Smart Checks (J)
 >>

Advisor Request Summary Request Type: All Request Status: All

<input type="checkbox"/>	Request Type	Status	Request Remarks	Carrier Name	Follow-Up	Completed
<input type="checkbox"/>	Licensing	PCM Add	Added by PCM case			
<input type="checkbox"/>	Contracting	PCM Add	Added by PCM case	Carrier-A9	07/27/2006	
<input type="checkbox"/>	Appointment	PCM Add	Added by PCM case	Carrier-A9	07/26/2006	
<input type="checkbox"/>	E & O	PCM Add	Added by PCM case			
<input type="checkbox"/>	Licensing	PCM Add	Added by PCM case			
<input type="checkbox"/>	Contracting	PCM Add	Added by PCM case	Carrier-A9	07/27/2006	
<input type="checkbox"/>	Appointment	PCM Add	Added by PCM case	Carrier-A9	07/26/2006	
<input type="checkbox"/>	Licensing	PCM Add	Added by PCM case			
<input type="checkbox"/>	Appointment	PCM Add	Added by PCM case	Carrier-A9	07/26/2006	

Advisor Obtained Requirement Summary

<input type="checkbox"/>	Type	Description	Code	Requirement Type
<input type="checkbox"/>	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.

Advisor Request Summary Request Type: All Request Status: All

<input type="checkbox"/>	Request Type	Status	Request Remarks	Carrier Name	Follow-Up	Completed
<input type="checkbox"/>	Licensing	PCM Add	Added by PCM case			
<input type="checkbox"/>	Contracting	PCM Add	Added by PCM case	Carrier-A9	07/27/2006	
<input type="checkbox"/>	Appointment	PCM Add	Added by PCM case	Carrier-A9	07/26/2006	
<input type="checkbox"/>	E & O	PCM Add	Added by PCM case			
<input type="checkbox"/>	Licensing	PCM Add	Added by PCM case			
<input type="checkbox"/>	Contracting	PCM Add	Added by PCM case	Carrier-A9	07/27/2006	
<input type="checkbox"/>	Appointment	PCM Add	Added by PCM case	Carrier-A9	07/26/2006	
<input type="checkbox"/>	Licensing	PCM Add	Added by PCM case			

Advisor Obtained Requirement Summary

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

Advisor Obtained Requirement Summary			
Advisor Type	Description	Code	Requirement Type
<input type="checkbox"/> Advisor	CRD Form - copy		Advisor Requirement

Proposal Tracking Tab

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

Advisor - Philip Anderson

Summary | Personal | Additional | Key Relations | License/E & O (X) | Cntr./Appt. | Production (Z) | Ind. Policy | Group Policy | >>

Proposal Tracking Summary								
Contact Name	Agency	Follow-Up	DOB	Age	Created On	Modified On	Remarks	
<input type="checkbox"/> <None>		12/03/2003	02/27/1950	53	12/12/2003	12/29/2003	Estate Planning option #1	
<input type="checkbox"/> Cross, Grant			01/08/1985	19	04/26/2004	04/26/2004		
<input type="checkbox"/> Ackerman, Joseph			02/27/1950	54	06/09/2004	06/09/2004		

Records Shown: 3 Total Records: 3

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.

SmartOffice

Proposal Tracking

Primary Insured:

Primary Advisor: Philip Anderson

Status:

Follow-Up: Gender:

Birth Date: Age:

Tobacco:

User: Peter Stevens

Created On: Created By:

Modified On: Modified By:

Remarks:

Illustration Information

Carrier Name	Product Name	Basic Face	Premium

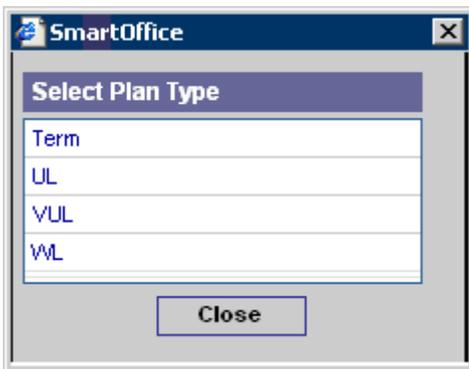
OK Cancel

Illustration Information

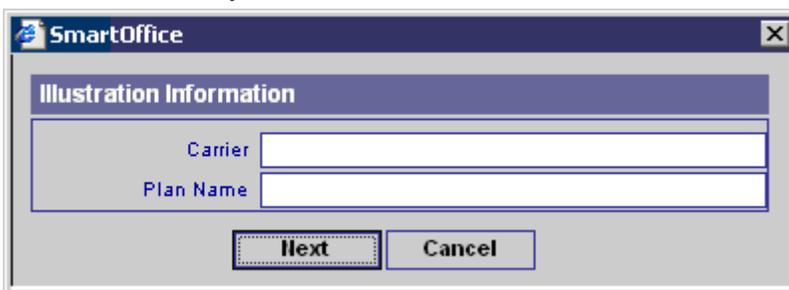
Multiple Illustrations can be attached with a proposal. To add an Illustration, click the **Add** button to open the **Select Insurance Type** dialog box.



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 dialog box is titled "SmartOffice" and "Illustration Information". It contains several input fields: "Date App Received", "Closed", "Linked Case", "Sent To PCM", and "Image". Below these is a section for "Term Illustration Detail" with fields for "Carrier" (ABC Life), "Plan Name" (American Level 10), "Modal Premium", "Mode", "Class", and "Face Amount". At the bottom, there is a "Notes" section with a red checkmark and "ABC" next to it, and two buttons: "Finish" and "Cancel".

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.

The dialog box is titled "SmartOffice" and "Pending Case Add". It is divided into several sections: "Basic Policy Information" (Policy #, Case #, Carrier: ABC Life, Plan Name: American Level 10, Status: Pending, Status Date: 09/19/2005, State, Cash Received: 0.00, Inforce Request, Alternate Policy #, Priority, Replacement), "Premium Information" (Modal Premium, Pay Method, Target, Lump Sum, FYC, Prem Mode, Annlzd Prem, Excess Prem, 1035, Renewal), "Advisor Information" (Advisor: Daniel A. Odell, Role: Primary Advisor, %: 100; other advisors with Referral Advisor role), "Important Contacts" (Case Manager: Daniel Odell, Team, Underwriter, HO Rep), "Insured - 1" (Last Name: Ackerman, First Name: Joseph, DOB: 02/27/1950, Age: 55, Gender: Male, Lic#: DL5663, State, SS #: 559-65-8750, Risk Class, Rate), "Insured - 2" (Last Name, First Name, DOB, Age, Gender, Lic#, State, SS #, Risk Class, Rate), and a table for "Roles".

Roles	Last Name	First Name	Lookup	Gender	DOB	Age	Relation	Perc
Primary Contact	Ackerman	Joseph	Clear	Male	02/27/1950	55		
Owner	Ackerman	Joseph	Clear	Male	02/27/1950	55		Edit
Payor	Ackerman	Joseph	Clear	Male	02/27/1950	55		Edit
Beneficiary			Lookup					Add
			Lookup					Add
			Lookup					Add

At the bottom are "Finish" and "Cancel" buttons.

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.

The image shows a 'SmartOffice' dialog box titled 'Illustration Information'. It contains three main sections: 'Illustration Information', 'Term Illustration Detail', and 'Notes'. The 'Illustration Information' section shows 'Date App Recieved' as 'Closed' and 'Linked Case' as '242-2091', with a 'Sent To PCM' status and an 'Image' field. The 'Term Illustration Detail' section shows 'Carrier' as 'ABC Life', 'Plan Name' as 'American Level 10', and fields for 'Modal Premium', 'Class', 'Face Amount', and 'Mode'. A 'Notes' section is present but empty. A 'Cancel' button is at the bottom.

Custom Tab

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

The image shows a 'SmartOffice' form titled 'Advisor - Philip Anderson'. It has a navigation bar with tabs: Summary, Personal, Additional, Key Relations, License/E & O (X), Cgnt./Appt., Production (Z), Commission, and >>. The form is divided into several sections: 'Alphanumeric Fields' (Wife's Name: Jessica, Hobby: Knitting), 'Numeric Fields' (Monthly Sales Goal: 200,000.00, Yearly Sales Goal: 1,000,000.00), 'Integer Fields' (Number Of Pets: 2), 'Lookup Fields' (Primary Carrier, Marketing Manager, Region Code, Office Code), 'Date Fields' (Date First Contacted: 09/09/1997), and 'Check Boxes' (1099? checked).

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.

The image shows a 'SmartOffice' window titled 'Custom Information'. It contains several panels for editing field labels:

- Alphanumeric Field Labels:** A list of 20 fields labeled AlphaNum1 through AlphaNum20. AlphaNum1 is 'Wife's Name' and AlphaNum2 is 'Hobby'. The others are empty.
- Numeric Field Labels:** A list of 6 fields labeled Num1 through Num6. Num1 is 'Monthly Sales Goal' and Num2 is 'Yearly Sales Goal'. The others are empty.
- Integer Field Labels:** A list of 5 fields labeled Int1 through Int5. Int1 is 'Number Of Pets'. The others are empty.
- Lookup Field Labels:** A list of 5 fields labeled Lookup1 through Lookup5. Lookup1 is 'Primary Carrier', Lookup2 is 'Marketing Manager', and Lookup4 is 'Office Code'. The others are empty.
- Date Field Labels:** A list of 11 fields labeled Date1 through Date11. Date1 is 'Date First Contacted'. The others are empty.
- Check Box Field Labels:** A list of 8 fields labeled YesNo1 through YesNo8. YesNo1 is '1099?'. The others are empty.

At the bottom of the window are 'OK' and 'Close' buttons.