

SmartWholesaler
User Guide

SmartOffice[®]



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Introduction

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

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

User Types in SmartWholesaler

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

Creating Users

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

Wholesaler Administrator

User Management – User Name - User Roles/Licenses tab

- From User Roles, select **Base SmartOffice**.
- From Modules/Licenses, select **Wholesaler Setup Administrator** and **Wholesaler**.
- From Modules/Licenses, select **Production Dashboard** (under SmartPolicies).
- From Modules/Licenses, select **Fulfillment Administrator**.

User Management – User Name - Detail tab

- User Type: **Wholesaler**

Wholesaler Only

User Management – User Name - User Roles/Licenses tab

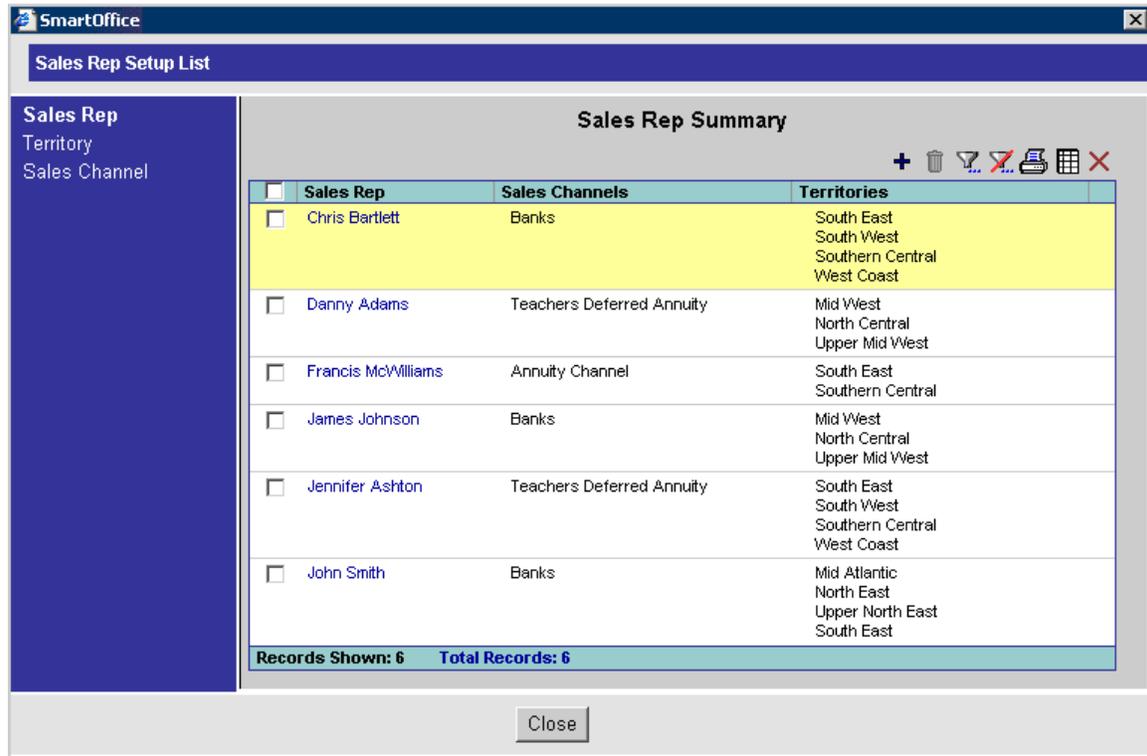
- From User Roles, select **Base SmartOffice**.
- From Modules/Licenses, select **Wholesaler**.
- From Modules/Licenses, select **Production Dashboard** (under SmartPolicies).
- From Modules/Licenses, select **Show Fulfillment Options**.

User Management – User Name - Detail tab

- User Type: **Wholesaler**

Initial Setup

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



Sales Reps

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

Add Sales Reps

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

The screenshot shows the 'New - Sales Rep' dialog box. It has a title bar with 'SmartOffice' and a close button. The main area is divided into four sections:

- User Information:** Contains 'User Name' (with a hyperlink icon) and 'Sales Rep Type' (a drop-down menu).
- Fulfillment User Information:** Contains 'Fulfillment User Name' (with a hyperlink icon).
- Sales Rep Sales Channel Summary:** Includes a toolbar with an 'Add' button and a spreadsheet icon. Below is a table with columns 'Sales Channel' and 'Description'. A note above the table says: 'The following spreadsheet displays a list of all sales channels that are managed by the current sales rep.'
- Sales Rep Territory Summary:** Includes a toolbar with an 'Add' button and a spreadsheet icon. Below is a table with columns 'Territory', 'Description', and 'Territory Border'. A note above the table says: 'The following spreadsheet displays a list of all territories that are managed by the current sales rep.'

At the bottom of the dialog are 'OK' and 'Cancel' buttons.

User Information Fields

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

Fulfillment User Information

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

Sales Rep Sales Channel Summary

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

The screenshot shows the 'Sales Channel Summary' dialog box. It has a title bar with 'SmartOffice' and a close button. The main area contains:

- A toolbar with an 'Add' button and a spreadsheet icon.
- A table with columns 'Sales Channel' and 'Description'. The 'Annuity Channel' row is highlighted.
- A status bar showing 'Records Shown: 7' and 'Total Records: 7'.

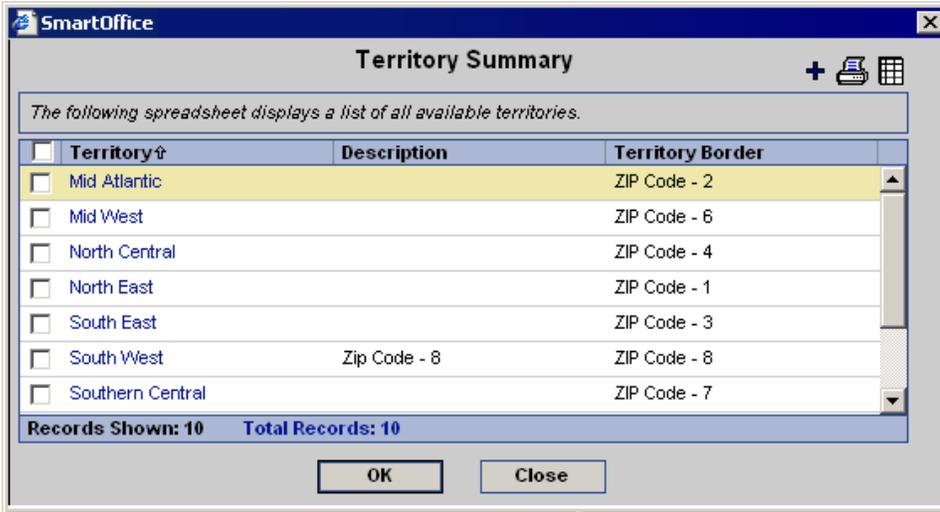
At the bottom of the dialog are 'OK' and 'Close' buttons.

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

Sales Rep Territory Summary

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

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



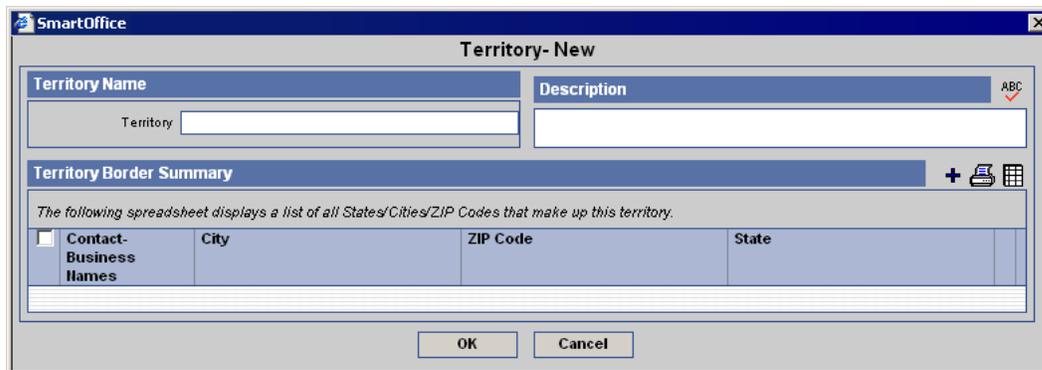
2. Select the appropriate Territory and then click the **OK** button. (The user can add more Territories from this dialog box by clicking the **Add** button.) The newly selected territory displays in the Sales Rep Territory Summary.
3. After entering the appropriate data, click the **OK** button to save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

Territories

A territory is defined by its borders, which can include City, State, ZIP Code, or even a Firm Name. If a ZIP Code is used, it can be as much or as little of the ZIP Code as appropriate. For example, if the number 9 is entered in the ZIP Code field, this would effectively identify the territory as the West Coast. If 91 is entered it would reduce the territory to Southern California. It is possible to enter multiple ZIP Codes to have the territory specifically defined. The use of City, State, or ZIP Code entries are unique Filter conditions that can also be used to define a territory border, exclusively or in combination with a City, State, or ZIP Code.

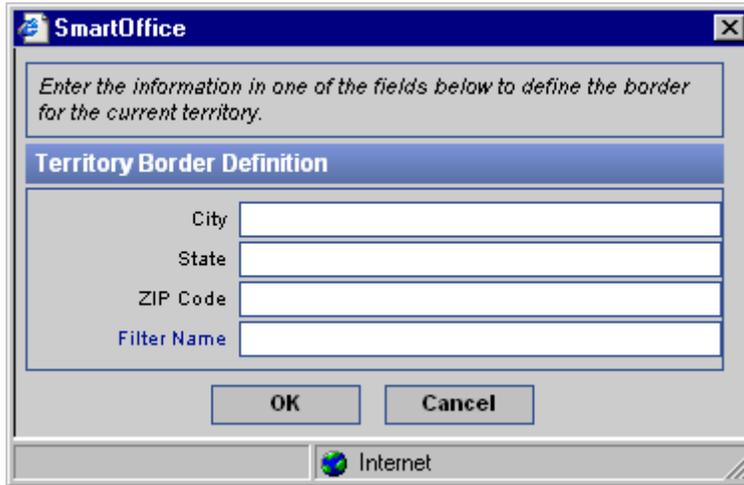
Add a Territory

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



Territory Fields

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



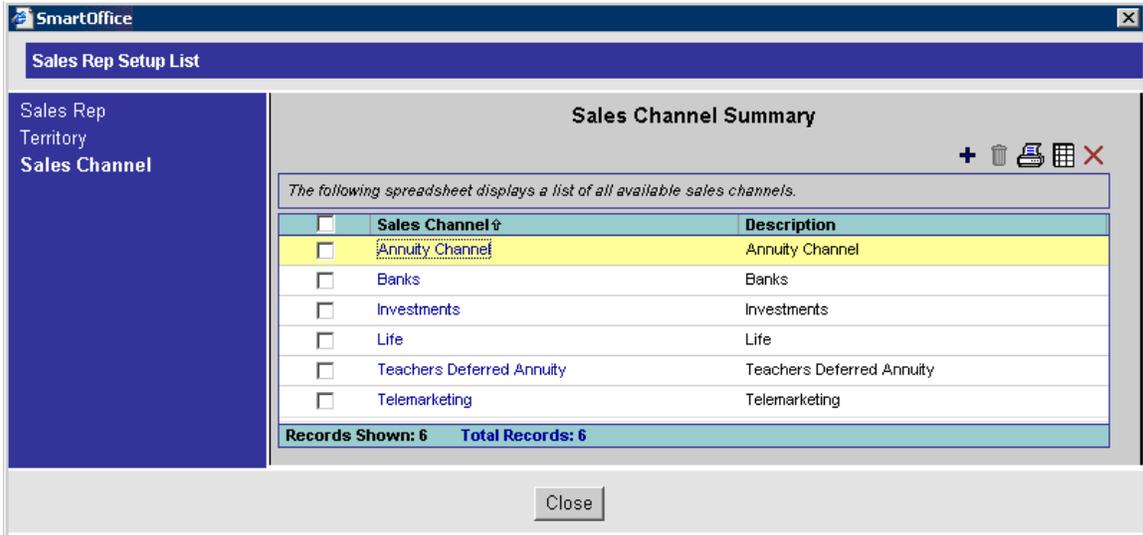
The screenshot shows a dialog box titled "SmartOffice" with a close button (X) in the top right corner. Inside the dialog, there is a text box with the instruction: "Enter the information in one of the fields below to define the border for the current territory." Below this is a section titled "Territory Border Definition" with a blue header. Underneath, there are four input fields: "City", "State", "ZIP Code", and "Filter Name". At the bottom of the dialog are "OK" and "Cancel" buttons. The Windows taskbar at the bottom shows the "Internet" icon.

Territory Border Fields

- **City** - Enter the specific city name for the territory. When the city name is entered, the State and ZIP Code fields no longer display in the dialog box; however, the Filter Name fields are available.
- **State** - Enter the specific state name for the territory. When the state name is entered, the City and ZIP Code fields no longer display in the dialog box; however, the Filter Name fields are available.
- **ZIP Code** - Enter the specific ZIP Code for the territory. When the ZIP Code is entered, the City and State fields no longer display in the dialog box; however, Filter Name fields are available.
- **Filter Name** - Enter the specific filter name for the territory. When the filter name is entered, the user has the option to select another field in the dialog box (if necessary).

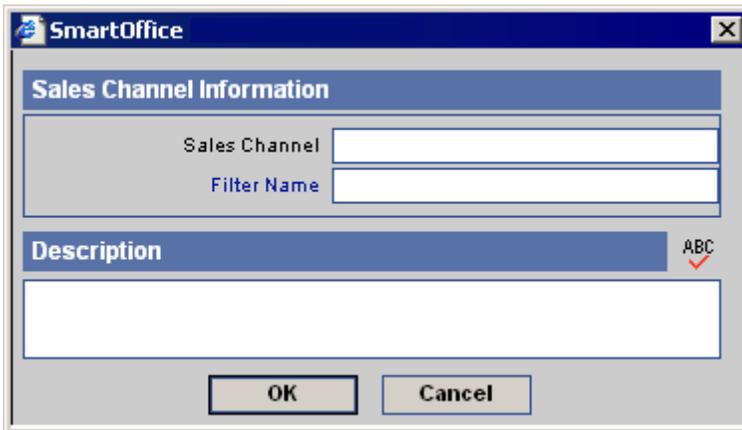
Sales Channels

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



Add Sales Channel

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



Sales Channel Fields

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

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

Policy/PCM Setup – Label Change

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

Distributor - Mark Smith

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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
- 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.

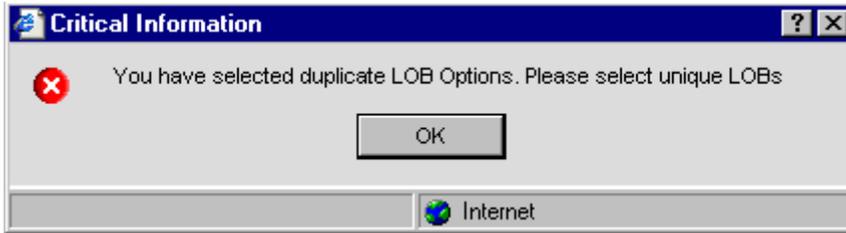
- Option 1 **Homeowner**
- Option 2 **Life**
- Option 3 **LTC**
- Option 4 **DI**
- Option 5 **Umbrella**

Close

Internet

3. Click the **Modify** 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.

Distributor - Mark Smith

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Fourth Quarter	3 100,204	0 0																																																																										
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SmartWholesaler Administrative View

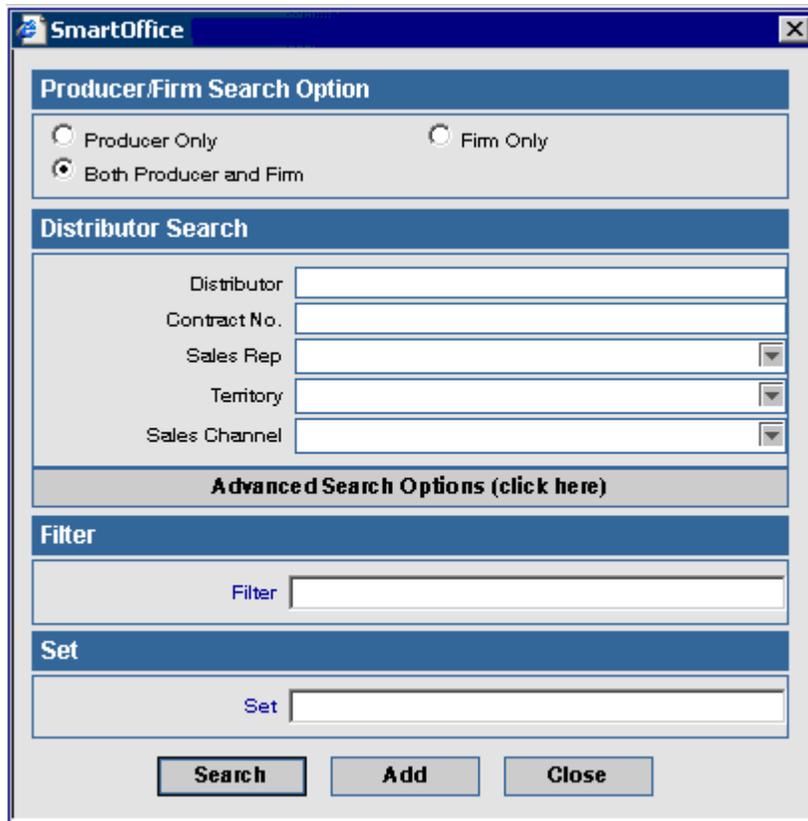
The menu for the Wholesaler Setup Administrative User is shown below.



- **Distributor Search** - Display the Distributor Summary.
- **Sets** - Use sets to group records for target marketing purposes.
- **Last Active Distributor** - Display a list of most recent active Distributors.
- **Duplicate Distributors** - The Duplicate Distributors list is used to delete, print or merge duplicate distributor records.
- **Deleted Distributors** - The deleted distributors can be restored or permanently deleted.
- **Exception Named Account** - Display a Summary of the Named Account.
- **Setup** - Define the Sales Rep, Territory, Sales Channel, and Inventory.
- **Territory Realignment** - This feature can be used to automatically assign Producers and Firms to the appropriate sales representative.

Distributor Search

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



Summary

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

Distributor Summary

<input type="checkbox"/> Distributor ↑	Complete Address	Sales Rep	Sales Channels
<input type="checkbox"/> Able, Christian Adam	1 Main Street Corona, CA 92877	Mike Black	Banks
<input type="checkbox"/> Adams, Mark	773 W. Colorado Blvd Los Angeles, CA 90025	Chris Bartlett	Banks
<input type="checkbox"/> Alexander, Sherman	1 Main Street Corona, CA 92877	Danny Adams	Banks
<input type="checkbox"/> Anderson, Philip	1 Main Street Corona, CA 92877	James Johnson	Banks
<input type="checkbox"/> Brand Insurance Services	West Fields Center 2920 Brand Blvd Glendale, CA 91504	Jennifer Ashton	Teachers Deferred Annuity
<input type="checkbox"/> Chang, Tony	3287 W. Sky Des Plaines, IL 61001	James Johnson Danny Adams	Banks Teachers Deferred Annuity
<input type="checkbox"/> Jacobs, Susan	2709 4th Street 10th Floor	Jennifer Ashton	Teachers Deferred

Records Shown: 38 Total Records: 38

Distributor Summary Toolbar Buttons

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

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

Distributor - Detail Tab

The Detail tab contains details regarding the specified Distributor.

Producer - Personal Tab

Advisor-specific information such as Personal, Production Dashboard, Distributor Owner Summary, Phone List, Address List, and E-mail/Web Address information displays on this tab.

Distributor - Mr. Christian Adam Able

Summary	Personal	Additional	Key Relations	License/E & O (X)	Cont./Appt.	Performance	Ind. Policy	Proposal Tracking (E)	>>																																																							
Personal Information																																																																
Last Name: Able Suffix: _____ First Name: Christian Middle Name: Adam Greeting: Christian Title: Mr. Firm: _____ Job Title: Managing General Agent Supervisor: Valenti, Janet Type: Advisor Sub-Type: A Service Level: Platinum Status: _____					<table border="1"> <thead> <tr> <th>Pending</th> <th>Cases</th> <th>Production</th> <th>Last Submitted</th> <th>Days</th> </tr> </thead> <tbody> <tr> <td colspan="5">Combined</td> </tr> <tr> <td>Inforce</td> <td>Cases</td> <td>Production</td> <td>Trend</td> <td>Rank</td> </tr> <tr> <td>Combined</td> <td>10</td> <td>218,575</td> <td>Increasing</td> <td>1</td> </tr> <tr> <td>Inforce</td> <td colspan="2">Curr Cases/Prod</td> <td colspan="2">Prev-Yr Cases/Prod</td> </tr> <tr> <td>Month</td> <td>12</td> <td>223,575</td> <td>0</td> <td>0</td> </tr> <tr> <td>YTD</td> <td>12</td> <td>223,575</td> <td>0</td> <td>0</td> </tr> <tr> <td>First Quarter</td> <td>0</td> <td>0</td> <td>0</td> <td>0</td> </tr> <tr> <td>Second Quarter</td> <td>0</td> <td>0</td> <td>0</td> <td>0</td> </tr> <tr> <td>Third Quarter</td> <td>0</td> <td>0</td> <td>0</td> <td>0</td> </tr> <tr> <td>Fourth Quarter</td> <td>0</td> <td>0</td> <td>0</td> <td>0</td> </tr> </tbody> </table>					Pending	Cases	Production	Last Submitted	Days	Combined					Inforce	Cases	Production	Trend	Rank	Combined	10	218,575	Increasing	1	Inforce	Curr Cases/Prod		Prev-Yr Cases/Prod		Month	12	223,575	0	0	YTD	12	223,575	0	0	First Quarter	0	0	0	0	Second Quarter	0	0	0	0	Third Quarter	0	0	0	0	Fourth Quarter	0	0	0	0
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Fourth Quarter	0	0	0	0																																																												
Address/Phone/e-Mail																																																																
Business: 1 Main Street Corona, CA 92877 Business: (909) 875-7222#26541 Residence: (909) 562-4895 joe@ez-data.com chrisable@wig.com																																																																
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Personal Information Section

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

Distributor Owner Summary Section

This section displays all of the Sales Reps that are responsible for the distributor record. To change the Distributor Owner, select a Sales Rep record that needs to be changed and then click the **Producer Owner Transfer** button. When the Producer Owner Detail dialog box opens, select the appropriate Sales Rep from the drop-down list and then click the **OK** button. The newly selected Sales Rep will replace the previous Sales Rep.

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-months 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 is a rolling 12-months of Pending Case and Policy records segmented by the Policy Date.

The following stages 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 stages 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 one 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.

Distributor - Mr. Christian Adam Able

Summary	Personal	Additional	Key Relations	License/E & O (X)	Cont./Appt.	Performance	Ind. Policy	Proposal Tracking (E)	>>
---------	----------	------------	---------------	-------------------	-------------	-------------	-------------	-----------------------	----

Personal Information

Last Name	Able	Suffix	
First Name	Christian	Middle Name	Adam
Greeting	Christian	Title	Mr.
Firm			
Job Title	Managing General Agent		
Supervisor	Valenti, Janet		
Type	Advisor	Sub-Type	A
Service Level	Platinum	Status	

Remarks

Chris competes in triathlons

Phone Numbers

Type	Full Phone	Remarks	Best Call
<input type="checkbox"/> Business	(909) 875-7222#26541	Availabe 8 - 3 on	<input checked="" type="checkbox"/>
<input type="checkbox"/> Residence	(909) 562-4895		<input type="checkbox"/>

Addresses

Type	Complete Address	Map
<input type="checkbox"/> Business	1 Main Street Corona, CA 92877	

E-mail/Web Addresses

Type	Address	Remarks
<input type="checkbox"/> E-Mail	joe@ez-data.com	

Distributor Owner Summary

Sales Rep	Territory	Sales Channel
Sales Rep - Mike Black		
<input type="checkbox"/> Mike Black	Mid West	Banks
Subtotal: Sales Rep - Mike Black (1)		

Phone Numbers Section (Available in edit mode)

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

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

Addresses Section (Available in edit mode)

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

Click the **Add** button to enter the Address. Enter the Address Type, Street, City, State/ZIP, etc.

E-mail/Web Addresses Section (Available in edit mode)

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

Remarks Section (Available in edit mode)

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

Firm – Firm (P) Tab

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

Firm/Agency - Westlake Insurance Group - Corona

Summary Firm (P) Additional Key Relations License/E & O (X) Cont./Appt. Performance Ind. Policy Proposal Tracking (E) >>

Personal Information		Pending	Cases	Production	Last Submitted	Days
Firm Westlake Insurance Group - Corona Abbreviation WIG DBA WIG Parent Firm Westlake Insurance Group Firm Code 849-33 Primary Advisor Anderson, Philip Type Home Office Sub-Type A Service Level Platinum Status		Combined Inforce Cases Production Trend Rank Combined 10 218,575 1				
Address/Phone/e-Mail Business: 1 Main Street Corona, CA 92012 Business: (909) 874-8965 Business Fax: (909) 874-1222 carolina.christiansen@wig.com		Inforce Curr Cases/Prod Prev-Yr Cases/Prod Month 12 223,575 0 0 YTD 12 223,575 0 0 First Quarter 0 0 0 0 Second Quarter 0 0 0 0 Third Quarter 0 0 0 0 Fourth Quarter 0 0 0 0				
Distributor Owner Summary <input type="checkbox"/> Sales Rep ↑ Territory Sales Channel <u>Sales Rep - Chris Bartlett</u> <input type="checkbox"/> Chris Bartlett West Coast Banks Subtotal: Sales Rep - Chris Bartlett						

Personal Information Section

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

Distributor Owner Summary Section

This section displays all of the Sales Reps that are responsible for the distributor record. To change the Distributor Owner, select a Sales Rep record that needs to be changed and then click the **Producer Owner Transfer** button. When the Producer Owner Detail dialog box opens, select the appropriate Sales Rep from the drop-down list and then click the **OK** button. The newly selected Sales Rep will replace the previous Sales Rep.

Production Dashboard Section

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

Phone Numbers Section (Available in edit mode)

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

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

Firm/Agency - Westlake Insurance Group - Corona

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Summary	Firm (P)	Additional	Key Relations	License/E & O (X)	Cont./Appt.	Performance	Ind. Policy	Proposal Tracking (B)	>>
----------------	-----------------	-------------------	----------------------	------------------------------	--------------------	--------------------	--------------------	------------------------------	-----------------

Personal Information

Firm	Westlake Insurance Group - Corona		
Abbreviation	WIG	DBA	WIG
Parent Firm	Westlake Insurance Group		
Firm Code	849-33		
Primary Advisor	Anderson, Philip		
Type	Home Office	Sub-Type	A
Service Level	Platinum	Status	

Remarks ABC

Phone Numbers

Type	Full Phone	Remarks	Best Call
<input type="checkbox"/> Business	(909) 874-8965		
<input type="checkbox"/> Business	(909) 874-1222		

Addresses

Type	Complete Address	Map
<input type="checkbox"/> Business	1 Main Street Corona, CA 92012	

E-mail/Web Addresses

Type	Address	Remarks
<input type="checkbox"/> E-Mail	carolina.christiansen@wig.com	

Distributor Owner Summary

Sales Rep	Territory	Sales Channel
Sales Rep - Chris Bartlett		
<input type="checkbox"/> Chris Bartlett	West Coast	Banks
Subtotal: Sales Rep - Chris Bartlett (1)		

Addresses Section (Available in edit mode)

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

Click the **Add** button to enter the Address. Enter the Address Type, Street, City, State/ZIP, etc.

E-mail/Web Addresses Section (Available in edit mode)

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

Remarks Section (Available in edit mode)

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

Additional Tab

On the Additional tab, more information about the Producer/Firm can be listed, such as Miscellaneous Information, Producer/Firm Personal Information, Line of Business, etc.

Distributor - Christian Adam Able

Miscellaneous Information	
Marketing Mgr	Min. Check Amt(\$)
House Account <input type="checkbox"/>	Salaried <input type="checkbox"/>
Nationality	Primary Language
AlphaNum1	AlphaNum4
AlphaNum2	AlphaNum5
AlphaNum3	

Personal Information	
Source	Sub-Source
Referred By	
Birth Date	Age
SS # 222-56-9546	Gender
Marital	# Child

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

User Name	User Type
<input type="checkbox"/> Chris Bartlett	Wholesaler
<input type="checkbox"/> Francis McWilliams	Wholesaler
<input type="checkbox"/> Jennifer Ashton	Wholesaler
<input type="checkbox"/> Mike Black	Wholesaler

Important Dates	
Created On	03/31/2005 By Chris Bartlett
Modified On	04/02/2005 By Chris Bartlett
Last Letter On	06/06/2005 By Chris Bartlett
Last Action On	By
Next Action On	By

Line Of Business		
Fixed Life <input type="checkbox"/>	Retail Banking <input type="checkbox"/>	Fixed Annuity <input type="checkbox"/>
Variable Life <input type="checkbox"/>	Wirehouse <input type="checkbox"/>	Variable Annuity <input type="checkbox"/>
COLI <input type="checkbox"/>	DI <input type="checkbox"/>	Immediate Variable Annuity <input type="checkbox"/>
Mutual Funds <input type="checkbox"/>	WRAP <input type="checkbox"/>	Other <input type="checkbox"/>
Group <input type="checkbox"/>	Long Term Care <input type="checkbox"/>	

Set Name	Description
<input type="checkbox"/> Wholesaler - Last Name "A"	

Miscellaneous Information Section

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

Personal Information Section

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

Communication Privacy Section

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

Preferred Communication Section

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

User Assignment Section

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

Important Dates Section

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

Line of Business Section

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

Remarks Section

This section contains remarks for the Producers/Firm.

Set Membership Section

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

Key Relations Tab

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

Firm – Key Relations

Firm/Agency - WIG Westlake Insurance Group Westlake Insurance Group (WIG)

Contact Name	Role	Job Title
Westlake Insurance Group		
Able, Christian Adam	Agent	Managing General Agent

Contact Name	Employer	Review Date
--------------	----------	-------------

Producer – Key Relations

Distributor - Mr. Christian Adam Able (Chris)

Relationship	Related To Contact Name	Job Title	Remarks
Friend	Yim, Kellie		
Brother	Test, Record 1208		
Referree	Smith, Douglas V.		

Contact Name	Employer	Review Date
American Insurance Services		
Christiansen, Carolina	Westlake Insurance Group - Corona	

Key Relations Section

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

Referred Contacts Section

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

License/E&O (Error and Omissions) Tab

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

Distributor - Janet Valenti

Summary Personal Additional Key Relations License/E & O (X) Cont./Appt. Performance Ind. Policy Proposal Tracking (E) >>

License Information						
License #	State	Status	Expiration Dt	Effective Dt	Term R	
<input type="checkbox"/> 4567898	CA		10/19/2007	06/06/2005		
<input type="checkbox"/> 99987654	IA		11/04/2005	10/03/2005		

Records Shown: 2 Total Records: 2

Continuing Education Credit Information					
Date From	Date To	Credits Req.	Status	State	
<input type="checkbox"/> 03/10/2005	11/20/2005	500	Active		

Records Shown: 1 Total Records: 1

E&O Status					
Carrier Name	Policy #	Effective Dt	Expiration Dt	Term R	
<input type="checkbox"/> <None>	9876567	03/10/2005	10/31/2005		

Records Shown: 1 Total Records: 1

License Information Section

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

Continuing Education Credit Information Section

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

E&O Status Section

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

Cont./Appt. Tab (Contract and Appointment)

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

Distributor - Mr. Christian Adam Able

Summary Personal Additional Key Relations License/E & O (X) Cont./Appt. Performance Ind. Policy Proposal Tracking (E) >>

Distributor Contract Information					
Carrier Name	Contract No.	Effective Dt	Expiration Dt	Contract Type	
<input type="checkbox"/> ABC Life	T473202			Supervisor	
<input type="checkbox"/> American Life	1234			Advisor	
<input type="checkbox"/> ING Fixed Annuities	250AB	03/03/2003	12/03/2005	Advisor	
<input type="checkbox"/> Sun Life Financial	E204982	03/14/2002		Supervisor	

Records Shown: 4 Total Records: 4

Appointment Information						
Carrier Name	Appointment	Contract No	Start Date	End Date	Status	
<input type="checkbox"/> Sun Life Financial	C32425654E41	E204982	03/14/2002		Active	
<input type="checkbox"/> Sun Life Financial	C3242569E	E204982	03/27/2002		Active	
<input type="checkbox"/> ING Fixed Annuities	798A2	250AB	02/03/2005	03/29/2005		

Records Shown: 3 Total Records: 3

Distributor Contract Information Section

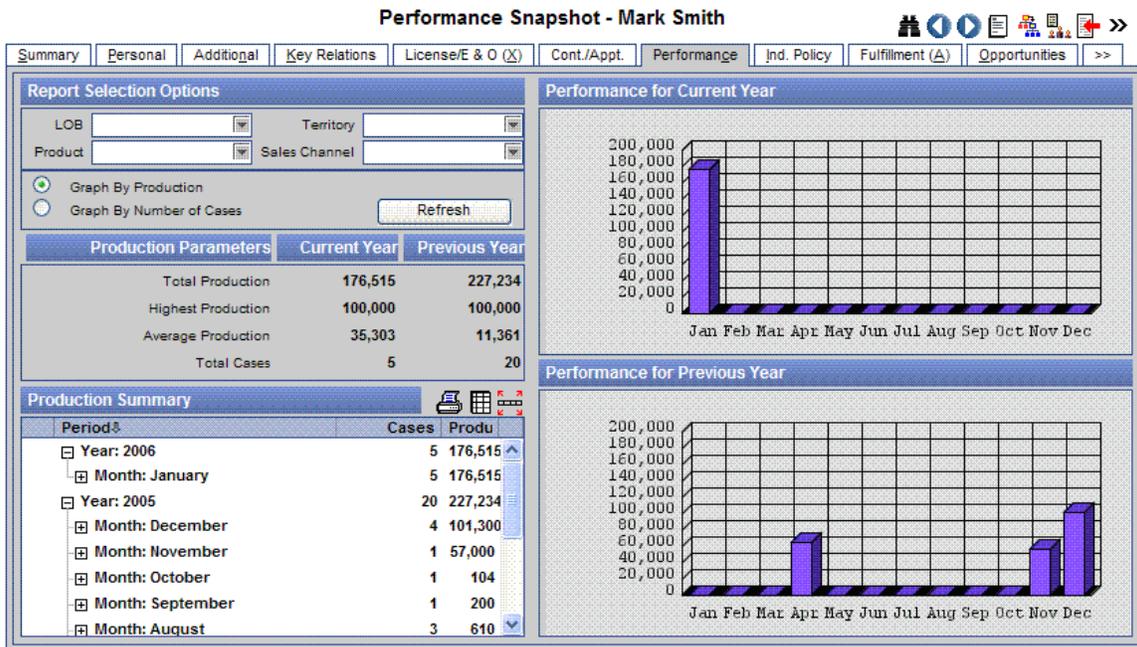
The Distributor Contract Information section tracks the contract that a Producer/Firm has with a Carrier to sell the Carrier's policies. Click the **Add** button to add contract information. The Line of Business refers to insurance types, such as Life, DI, Medical, etc. If a Distributor has an appointment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

Appointment Information Section

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

Performance Tab

The Performance tab displays the Production data by various options (LOB, Product, Territory, and Sales Channel). A night process will update the current month's production data.



Report Selection Option Section

The Report Selection Option section enables the user to view Production Data by LOB, Product, Territory, and Sales Channel. The Graph By Production and Graph By Number Cases options change the side graph to the specified graph.

After the appropriate options are selected, click the **Refresh** button. This will change the Production Parameters, Productions Summary, and the Graphics accordingly.

Production Parameters Section

Displays the Total Production, Highest Production, Average Production, and Total Cases for the Current Year and Previous Year.

Production Summary Section

Depending on the column description, the Production Summary section displays the data from a high overview of the production to the detail level of how the numbers are rolling up.

Performance for Current Year and Performance for Previous Year Sections

The Performance for Current Year and Performance for Previous Year sections display the Graph of the Production or Cases specified from the options.

Ind. Policy Tab (Individual Policy)

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

Distributor - Mr. Christian Adam Able (Chris)

Policy Date	Contact Name	Status	Policy #	Carrier Name	Product Name	Holding Type
Holding Type - Life						
<input type="checkbox"/> 03/26/1990	Henderson, Kay L.	Inforce	88937584	20th Century Life Insurance	Preferred Life	Life
<input type="checkbox"/> 03/26/1990	Henderson, Gary R.	Inforce	88937585	20th Century Life Insurance	Preferred Life	Life
<input type="checkbox"/> 08/13/2002	Thorenton, Richard L.	Inforce	A9483048	ABC Life	American Level 30	Life
<input type="checkbox"/> 08/13/2002	Thorenton, Kathy	Inforce	A9483050	ABC Life	American Level 30	Life
<input type="checkbox"/> 04/14/2005	Sanders, Josh	Inforce	4897346	ABC Life	Designer Plan Life	Life
<input type="checkbox"/> 04/14/2005	Sanders, Tina	Inforce	4897350	ABC Life	Designer Plan Life	Life
<input type="checkbox"/> 03/28/2005	Garcia, Jaclyn	Approved	778456	ABC Life	American Level 10	Life
<input type="checkbox"/> 02/26/2005	Brewer, Jason	Submitted	6352411	ABC Life	Universal Coverage	Life

Records Shown: 24 Total Records: 24

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

Proposal Tracking Tab

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

Distributor - Janet Valenti

Contact Name	Follow-Up	DOB	Age	Created On	Modified On	Remarks
<input type="checkbox"/> Lee, Linda L.	12/26/2005	06/18/1955	0	12/21/2005	12/21/2005	
<input type="checkbox"/> Canete, Jenny W	12/26/2005	05/05/1964	0	12/21/2005	12/21/2005	

Records Shown: 2 Total Records: 2

Fulfillment Tab

The Fulfillment tab has two sections – the Fulfillment Summary, which displays a date list of all the requests, and the Item Summary, which displays a list of all the items requested, sorted by item. When viewing the list 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.

Distributor - Christian Adam Able

Summary	Personal	Additional	Key Relations	License/E & O (X)	Cont./Appt.	Performance	Ind. Policy	Proposal Tracking (B)	>>	
Fulfillment Summary					Item Summary					
<input type="checkbox"/> Status	<input type="checkbox"/> Requested On	<input type="checkbox"/> Handling Instructions	<input type="checkbox"/> Req. Fulfilled	<input type="checkbox"/> Requested By			<input type="checkbox"/> Requested On	<input type="checkbox"/> Quantity		
<input type="checkbox"/> Request Fulfilled	04/01/2005		04/02/2005	<input type="checkbox"/> Item : Pen				6		
				<input type="checkbox"/> James Johnson			04/01/2005	6		

Opportunities Tab

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

Distributor - Mr. Christian Adam Able

Summary	Personal	Additional	Key Relations	License/E & O (X)	Cont./Appt.	Performance	Ind. Policy	Proposal Tracking (B)	>>	
Opportunity Summary - Christian Adam Able										
Summary	Detail (P)	Activities	Action History	Letters/Documents	Related Resources/Competition	Custom				
<input type="checkbox"/>	Current Stage Date	Primary Owner	Opportunity Name	Potential Revenue	Est. Revenue					
<input type="checkbox"/>	11/02/2005	Kate Allen	College Education Funding	25,000	3,750					
<input type="checkbox"/>	04/01/2005	Jill Waters	Disability Protection	5,000	750					
Total				30,000	4,500					

Letters/Document Tab

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

Distributor - Mr. Christian Adam Able

Summary	Personal	Additional	Key Relations	License/E & O (X)	Cont./Appt.	Performance	Ind. Policy	Proposal Tracking (B)	>>
Letter Log									
<input type="checkbox"/>	Letter Title	Open	Keyword	Created On	Created By				
<input type="checkbox"/>	Address Change Letter		Address - Stay in touch	12/13/2005 12:07PM	Chris Bartlett				
<input type="checkbox"/>	Event Invitation Letter		Invitation Letter	06/06/2005 09:56PM	Chris Bartlett				
Document Summary									
<input type="checkbox"/>	Description	Open	Keyword	Created On					

Request/Requirement Tab

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

The screenshot shows a software interface with a menu bar at the top containing: Summary, Firm (P), Additional, Key Relations, License/E & O (X), Cont./Appt., Performance, Ind. Policy, Proposal Tracking (B), and >>. Below the menu bar are two main sections:

Advisor Request Summary

Request Type: All, Request Status: All

<input type="checkbox"/>	Request Type	Advisor	Carrier Name	Follow-Up	Completed
<input type="checkbox"/>	Appointment	Anderson, Philip	B/WN Financial	12/21/2005	
<input type="checkbox"/>	Contracting	Anderson, Philip	Blue Sky Mutual	12/21/2005	
<input type="checkbox"/>	E & O	Anderson, Philip	Lincoln National Life	12/21/2005	

Advisor Obtained Requirement Summary

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

Advisor Request Summary

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

Advisor Obtained Requirement Summary

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

Custom Tab

The Custom tab consists of customizable Alphanumeric, Numeric, Integer, Date, and Checkbox fields. The field names can be edited by clicking the **Customize Labels** button. Enter new field labels into the appropriate fields. Only the altered fields are displayed on the Custom tab.

Sets

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

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

Set Summary

Summary | Detail (P) | Set Members

<input type="checkbox"/>	Set Name	Description	Member	Created On	Modified On	Filter Only
<input type="checkbox"/>	A Clients	List of A SubType Clients	33	02/12/2001	12/05/2003	No
<input type="checkbox"/>	A-H	Last Name Starts with A - H	175	01/09/2002	07/06/2003	No
<input type="checkbox"/>	A=Client Apprec.Event - Golf '03	A = Client Appreciation Event - Golf 2003	0	01/06/2003		No
<input type="checkbox"/>	ABanerjee	Banerjee Contact Set	1	11/21/2005	11/21/2005	Yes
<input type="checkbox"/>	Aaa		50	01/04/2006	01/04/2006	No
<input type="checkbox"/>	Advisor Mailing List	All Advisors in the system	11	04/19/2001	12/28/2003	No
<input type="checkbox"/>	Annuity Prospect	Candidates to Purchase Annuity.	10	05/12/2003	05/12/2003	No
<input type="checkbox"/>	I-M	Last name starts with I - M	54	01/09/2002	07/06/2003	No

Records Shown: 33 Total Records: 33

Last Active Distributor

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



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

Duplicate Distributors

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

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

Deleted Distributors

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

Exception Named Account

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

Setup

This side menu option is used to define Sales Rep, Sales Channels, and Territories, realign the territories, and assign sales channels and territories to Wholesalers. For more information on Setup functionality, refer to the *Initial Setup* section. This option is only available for users with Wholesaler Administrative rights.

Territory Realignment

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

SmartWholesaler Only View

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



- **Distributor Search** - Display the Distributor Summary.
- **Sets** - Use Sets to group records for target marketing purposes.
- **Last Active Distributor** - Display a list of most recent active Distributors.
- **Duplicate Distributors** - The Duplicate Distributors list is used to delete, print or merge duplicate distributor records.
- **Deleted Distributors** - The deleted distributors can be restored or permanently deleted.

Contract Hierarchy

Initial Setup

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

Adding a Contract Hierarchy Setup

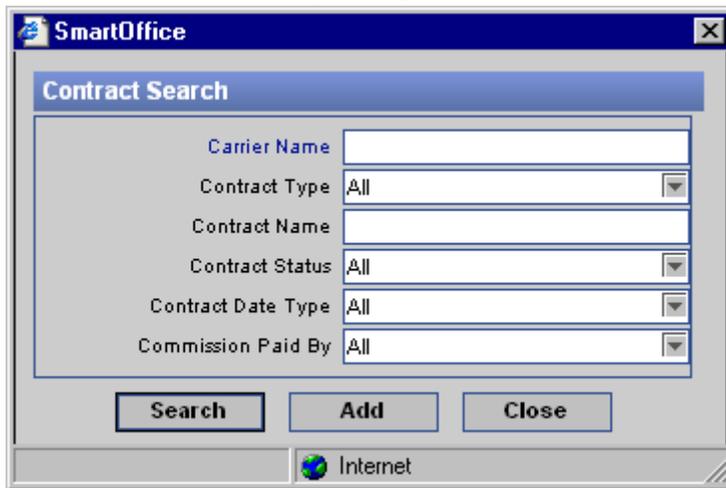
- The user must have Wholesaler rights.
- Identify and/or create the relationship between the records (e.g., Firm to Firm, Firm to Producer).
- Create the Firm and Producer records.
- Identify the Contracts (e.g., company names).

Steps to Create a Contract

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



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



The image shows a dialog box titled "SmartOffice" with a "Contract Search" header. It contains several input fields: "Carrier Name" (text), "Contract Type" (dropdown menu with "All" selected), "Contract Name" (text), "Contract Status" (dropdown menu with "All" selected), "Contract Date Type" (dropdown menu with "All" selected), and "Commission Paid By" (dropdown menu with "All" selected). At the bottom, there are three buttons: "Search", "Add", and "Close". The status bar at the bottom indicates "Internet".

3. The New Contract Detail tab displays.



The image shows a window titled "New - Contract" with two tabs: "Summary" and "Detail". The "Detail" tab is active, displaying a "Contract Information" section. It contains the following fields: "Carrier Name" (text), "Contract Type" (dropdown menu with "Advisor" selected), "Contract Name" (text), "Description" (text), "Contract Status" (dropdown menu with "Active" selected), "Contract Date Type" (dropdown menu with "Policy Date" selected), "Commission Paid By" (dropdown menu with "Carrier" selected), and "Blanket Contract" (checkbox, currently unchecked). There are also icons for a printer and a save function in the top right corner.

4. Enter the contract name into the Contract Name field (e.g., Company Name) and then click the **Save** button.

Steps to Create a Contract Hierarchy

Parent Office (Home Office record)

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

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

Firm/Agency - WIG Westlake Insurance Group Westlake Insurance Group (WIG)

Carrier Name	Contract No.	Contract Type	Contract Name	Effective Dt	Expiration Dt
20th Century Life Insurance	773920	House	General Agency	03/25/1987	
Beneficial Life Insurance Company	House	House	Gross Contract	01/01/2000	

Carrier Name	Appointr	Contract No	Start Date	End Date	Status
Records Shown: 0 Total Records: 0					

5. From the Distributor Contract Information section, click the **Add** button to open the Contract Information dialog box.
6. Enter the contract name in the Contract Name field and then click the **Contract Name** hyperlink.
7. The Contract Information dialog box opens; select the appropriate Contract Name. Note that if **House Account** is selected from the **Additional** tab, the Contract Information Summary will only display the House Contract Type. If House Account is not selected, then the Advisor and Supervisor Contract Types will display in the Contract Information Summary.

Contract Information				
Contract Name	Contract Type	Status	Paid By	Carrier Name
General Agency	House	Active	Carrier	20th Century Life Insurance
Records Shown: 1 Total Records: 1				

8. The Contract Information dialog box displays again with the Contract Name displayed.
9. Enter the number of the contract in the Contract No. Field and then click the **OK** button.
10. The new contract displays in the Distributor Contract Information section.

Firm/Agency - WIG Westlake Insurance Group Westlake Insurance Group (WIG)

Distributor Contract Information						
Carrier Name	Contract No.	Contract Type	Contract Name	Effective Dt	Expiration Dt	
20th Century Life Insurance	773920	House	General Agency	03/25/1987		
Beneficial Life Insurance Company	House	House	Gross Contract	01/01/2000		
20th Century Life Insurance	1518	House	General Agency			
Records Shown: 3 Total Records: 3						

Appointment Information					
Carrier Name	Appointn	Contract No	Start Date	End Date	Status
Records Shown: 0 Total Records: 0					

Branch Office

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

- The Advisor/Agency Summary displays.



- Select the appropriate Office name.
- Select the appropriate Contract Name from the Supervisor Contract Information dialog box.



- Both the Supervisor Name and Supervisor Contract fields are populated. Click the **OK** button to save the information.
- From the toolbar, click the **Contract Hierarchy** button.

Brokers

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

14. Click the **Contract Hierarchy** button.

Distributor Hierarchy

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

Initial Setup

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

- The user must have Wholesaler rights.
- Create the Firm and Producer records.

Firm Hierarchy

Adding a Firm with a Parent Firm and Primary Advisor

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

Firm/Agency - Westlake Insurance Group - Corona

Summary	Firm (P)	Additional	Key Relations	License/E & O (X)	Cont./Appt.	Performance	Ind. Policy	Proposal Tracking (E)	>>																																																							
Personal Information					<table border="1"> <thead> <tr> <th>Pending</th> <th>Cases</th> <th>Production</th> <th>Last Submitted</th> <th>Days</th> </tr> </thead> <tbody> <tr> <td colspan="5">Combined</td> </tr> <tr> <th>Inforce</th> <th>Cases</th> <th>Production</th> <th>Trend</th> <th>Rank</th> </tr> <tr> <td>Combined</td> <td>10</td> <td>218,575</td> <td></td> <td>1</td> </tr> <tr> <th>Inforce</th> <th>Curr Cases/Prod</th> <th>Prev-Yr Cases/Prod</th> <td colspan="2"></td> </tr> <tr> <td>Month</td> <td>12</td> <td>223,575</td> <td>0</td> <td>0</td> </tr> <tr> <td>YTD</td> <td>12</td> <td>223,575</td> <td>0</td> <td>0</td> </tr> <tr> <td>First Quarter</td> <td>0</td> <td>0</td> <td>0</td> <td>0</td> </tr> <tr> <td>Second Quarter</td> <td>0</td> <td>0</td> <td>0</td> <td>0</td> </tr> <tr> <td>Third Quarter</td> <td>0</td> <td>0</td> <td>0</td> <td>0</td> </tr> <tr> <td>Fourth Quarter</td> <td>0</td> <td>0</td> <td>0</td> <td>0</td> </tr> </tbody> </table>					Pending	Cases	Production	Last Submitted	Days	Combined					Inforce	Cases	Production	Trend	Rank	Combined	10	218,575		1	Inforce	Curr Cases/Prod	Prev-Yr Cases/Prod			Month	12	223,575	0	0	YTD	12	223,575	0	0	First Quarter	0	0	0	0	Second Quarter	0	0	0	0	Third Quarter	0	0	0	0	Fourth Quarter	0	0	0	0
Pending	Cases	Production	Last Submitted	Days																																																												
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Third Quarter	0	0	0	0																																																												
Fourth Quarter	0	0	0	0																																																												
Firm: Westlake Insurance Group - Corona Abbreviation: WIG DBA: WIG Parent Firm: Westlake Insurance Group Firm Code: 849-33 Primary Advisor: Anderson, Philip Type: Home Office Sub-Type: A Service Level: Platinum Status:																																																																
Address/Phone/e-Mail																																																																
Business: 1 Main Street Corona, CA 92012 Business: (909) 874-8965 Business Fax: (909) 874-1222 carolina.christiansen@wig.com																																																																
Distributor Owner Summary																																																																
<input type="checkbox"/> Sales Rep ↑ Territory Sales Channel Sales Rep - Chris Bartlett																																																																
<input type="checkbox"/> Chris Bartlett West Coast Banks																																																																
Subtotal: Sales Rep - Chris Bartlett																																																																

6. Click the **Distributor Hierarchy** button.

- The Firm Hierarchy spreadsheet displays. The spreadsheet displays the complete Firm hierarchy for the current firm record with all the parent Firm and child Firm and Producer records.

The following spreadsheet displays the business/firm hierarchy for the current record. Other parts of SmartOffice can be accessed while this window is open. If navigating to or selecting another business/firm record, click the Refresh button to reflect the hierarchy for the selected record.

Firm	Territories	Sales Rep	Producer Type	Record Type	Material Cost
Westlake Insurance Group	West Coast	Jennifer Ashton	test3	Firm	97.50
Westlake Insurance Group - Corona	West Coast	Jennifer Ashton	Home Office	Firm	385.75
Brand Insurance Services	West Coast	Jennifer Ashton	Branch Office	Firm	202.80
- Ericson, Drew	West Coast	Jennifer Ashton	Advisor	Producer	100.00
- Christiansen, Carolina	West Coast	Jennifer Ashton	General Agent	Producer	60.00
- Stanford, Mary	Southern Central	Jennifer Ashton	Advisor	Producer	148.75
- Chang, Tony	Mid West	James Johnson	Advisor	Producer	89.75
- Anderson, Philip	Mid West	James Johnson	Advisor	Producer	1,575.00
- Peterson, Norma	West Coast	Jennifer Ashton	Advisor	Producer	34.50
- Alexander, Sherman	South East	Danny Adams	Advisor	Producer	50.00
- Summers, Jane	West Coast	Jennifer Ashton	Advisor	Producer	60.00
- Mallory, Alexa D			test-f	Producer	
- Pye Enterprises			BGA	Firm	

Records Shown: 1 Total Records: 1 Total children: 13

Close

- The current Firm name is highlighted in the hierarchy of firms. The spreadsheet displays the position of the current Firm in the hierarchy.

Producer Hierarchy

Adding a Producer with a Supervisor and Firm

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

- The Firm & Producer Hierarchy displays. The spreadsheet displays the complete Firm & Producer hierarchy for the current Producer record. All the parent and child Producer records are displayed under the Distributor Hierarchy section and all the Parent Firm records for the current Producer are displayed in the Firm Hierarchy section.

The screenshot shows a window titled "SmartOffice" with a sub-header "Firm & Producer Hierarchy". Below the header is a note: "The following spreadsheets display the hierarchy for the current producer and firm record. 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 hierarchy for the selected record."

The window contains two main sections:

Firm Hierarchy

Firm	Territories	Sales Rep	Producer Type	Record Type	Material Cost
[-] Westlake Insurance Group	West Coast	Jennifer Ashton	test3	Firm	97.50
[-] Westlake Insurance Group - Corona	West Coast	Jennifer Ashton	Home Office	Firm	385.75
Anderson, Philip	Mid West	James Johnson	Advisor	Producer	1,575.00

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

Distributor Hierarchy

Producer	Job Title	Material Cost	Open Opportunitie(s)	Agency
[-] Christiansen, Carolina	General Agent	60.00		
[-] Valenti, Janet	Insurance Agent	106.25		
[-] Able, Christian Adam	Managing General Agent	60.00	College Education Funding	25,000
[-] Christiansen, Carolina	General Agent	60.00		
Anderson, Philip	Insurance Agent	1,575.00		

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

- The current Producer name is highlighted in the Firm & Producer hierarchy. The spreadsheet displays the position of the current Producer in the hierarchy.