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# Documenting CE Credits and License Info in SO

Liz Casper  
UPSTATE SPECIAL RISK SERVICES, INC.

# Documenting CE Credits and License information for Agents in Smart Office

## Adding License Information

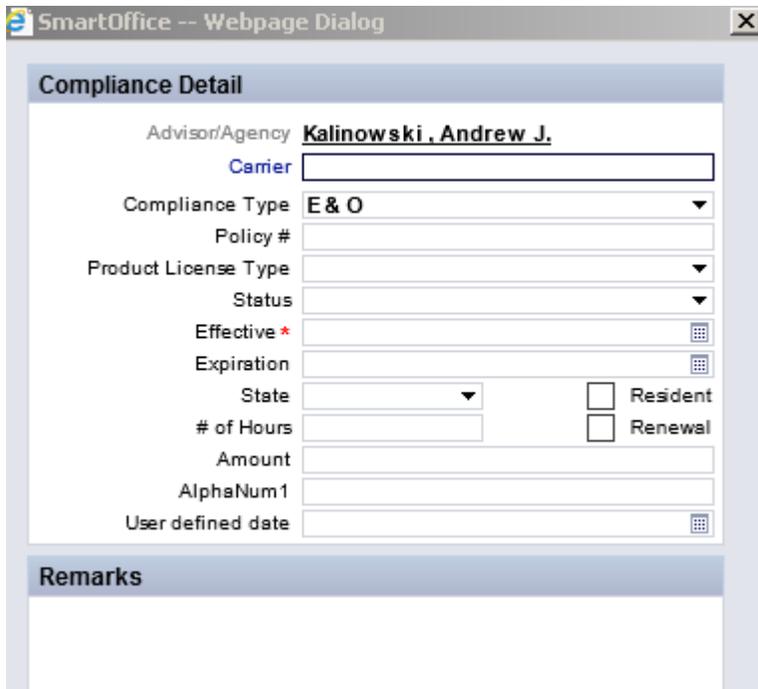
- 1) Go to Agent's Page
- 2) Choose License/Compliance and click on
- 3)

The screenshot shows the Smart Office software interface. At the top, there is a navigation menu with tabs: Advisor, Pending Cases, Policies, Presale Activity/Proposals, and Activity Log. Below the navigation menu, there is a breadcrumb trail: Home | Personal | Add'l Detail (N) | Key Relations | License/Compliance (X) | Cont./Appt. | Production (Z) | Commission | Smart Checks (J) | Letters/Documents | Request/Requirement | Custom | Carrier Interface |. The main content area is divided into two sections. The top section is titled "License Information" and contains a table with the following columns: License #, State, Status, Effective Dt, and Expiration Date. The table has one row with the following data: License # LA-640109, State NY, Status Active, Effective Dt 01/01/2011, and Expiration Date 01/01/2013. The bottom section is titled "Continuing Education Credit Information" and contains a table with the following columns: Date From, Date To, Credits Req., Status, Created On, Outstanding Credits, Carrier Name, Policy #, Effective Dt, and Expiration Date. The table is currently empty.

- 4) Using the "+" sign, add the license number, state, status, effective and expiration dates
- 5) Click Save.
- 6) You should put this information in for each agent and should get in the habit of checking for it. This information is needed more and more for illustrations and other documents so having easy access will improve efficiencies. The number should be put into the section under Add'l Detail on the agent's page. Only put the resident state license there.

## Recording Compliance Data

- 1) Click on the plus sign for Compliance Status in the lower right corner of the License/Compliance page
- 2) The following Screen Comes Up:



The screenshot shows a web browser window titled "SmartOffice -- Webpage Dialog". The main content area is titled "Compliance Detail" and contains the following fields:

- Advisor/Agency: **Kalinowski, Andrew J.**
- Carrier: [Empty text box]
- Compliance Type: **E & O** (dropdown menu)
- Policy #: [Empty text box]
- Product License Type: [Empty dropdown menu]
- Status: [Empty dropdown menu]
- Effective \*: [Empty date picker]
- Expiration: [Empty date picker]
- State: [Empty dropdown menu]
- Resident:
- Renewal:
- # of Hours: [Empty text box]
- Amount: [Empty text box]
- AlphaNum1: [Empty text box]
- User defined date: [Empty date picker]

Below the form is a section titled "Remarks" with a large empty text area.

- 3)
- 4) Under Compliance Type there is a drop down menu and there you would choose the appropriate type:
  - a. Choices are E&O, AML, Annual Compliance Certificatrion, Annual Renewal Fees, Annuity Suitability Training, LTC Certificate Training and Other
- 5) If there is a physical certificate, please upload and post to Letters/Documents page and clearly identify name and type of document.

## **Continuing Education Credit Information**

We can track continuing education credits through Smart Office. Go to the agent's page and click on License/Compliance. On the lower left corner is a section entitled "Continuing Education Credit Information". There you will click on the plus sign and this is what you will see: