



**SureLC**

## **Producer User Guide**

Revision: January 2021

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Video guides available from the SuranceBay Youtube channel

[SuranceBay Producer Training Guides](#)

# 1) SureLC - New Producer Registration

## How to Register with your Agency

To register with an agency who uses the SureLC platform, the agency will send instructions with their weblink to start the registration process. Whether this weblink is sent directly to you via email or is accessible on their website, select the link to be redirected to their registration page. In the following example, this is the registration page for the “Awesome Group” with contact information shown on the top right. Enter the required information in the fields provided to register with your agency. Additional details are provided below.

The screenshot shows the 'Create Your Account' page for the 'Awesome Group' on the SureLC platform. The page is divided into two main sections: a registration form on the left and agency contact information on the right. The registration form includes fields for SSN, Last Name, Date of Birth, Email, and Affiliation, each with a red numbered step indicator (1-5) to its left. A 'CREATE ACCOUNT' button is at the bottom, marked with a red numbered step indicator (6). The right section displays the agency's name, phone number, and email address. Below this, there is a section titled 'Authorization To Obtain PDB Report' which contains text about the National Insurance Producer Registry (NIPR) and the Fair Credit Reporting Act (FCRA).

**SureLC**  
#1 in Licensing & Contracting

**Create Your Account**

Please fill your SSN and Last Name below. We will use it to check information about you in the NIPR Producers Database.

1 SSN \*

2 Last Name \*

3 Date of Birth \*

4 Enter a valid email address to use as your Login ID.

4 Email \*

5 Select the affiliation you are associated with.

5 Affiliation

By pressing "CREATE ACCOUNT" you acknowledge that you read and understand this Authorization and you authorize SureBay, LLC to pull your PDB report from NIPR®.

6 CREATE ACCOUNT

**Questions?**  
Please contact your agency

**Awesome Group**  
(813) 555-1212  
contracting@awesomegroup.com

**Authorization To Obtain PDB Report**

The [National Insurance Producer Registry](#) ("NIPR®") maintains a report on every licensed producer known as the Producer Database Report ("PDB report"). NIPR® currently collects data from all 50 states, the District of Columbia and Puerto Rico. The PDB report consolidates each producer's licensing information, as updated on a regular basis by participating state insurance departments, as well as data from external sources such as the Regulatory Information Retrieval System, and includes the following information: (1) general producer demographics, such as name and addresses; (2) license information, such as states licensed, license numbers, authorized lines, and license status; (3) appointment information, such as company appointments, effective date, termination date and reason; and (4) regulatory actions, if any.

The information contained in the PDB report is subject to the [Fair Credit Reporting Act](#) ("FCRA"). Only entities with a "permissible purpose" are permitted to access a consumer's credit report. This Authorization satisfies the permissible purpose requirement by serving as a written instruction by you, the consumer, to whom the report relates.

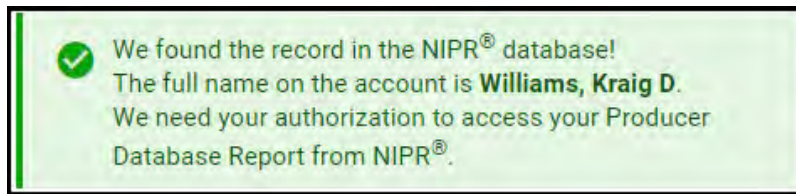
**The PDB report is free to you. The NIPR® fee is covered by your agency.**

**Step 1:** Enter your **SSN**

**Step 2:** Enter your **Last Name**

**Step 3:** Enter your **Date of Birth**

After entering your DOB the system will check the NIPR database to make sure you are a licensed producer. Once your account has been located, the following confirmation message will be shown. This means you can continue with the registration process by completing the remaining steps.

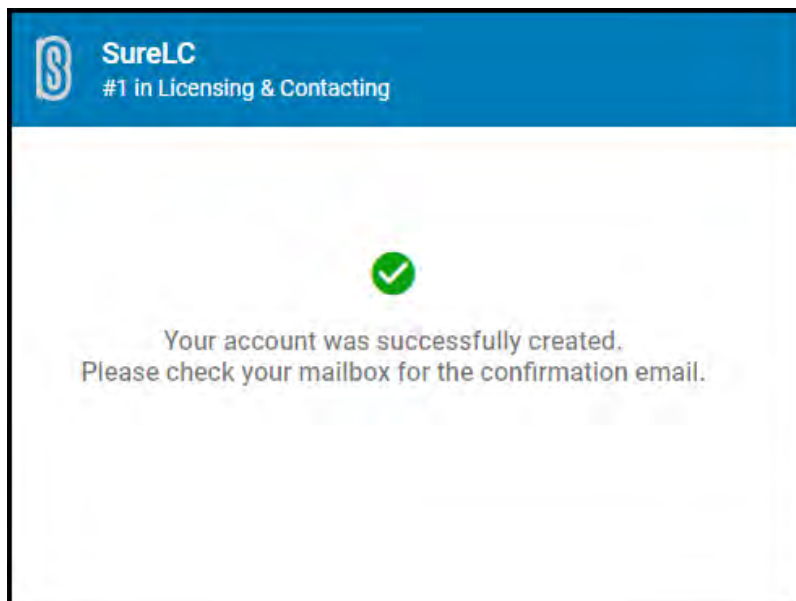


**Step 4:** Enter the **email address** you'd like to use as your Login ID.

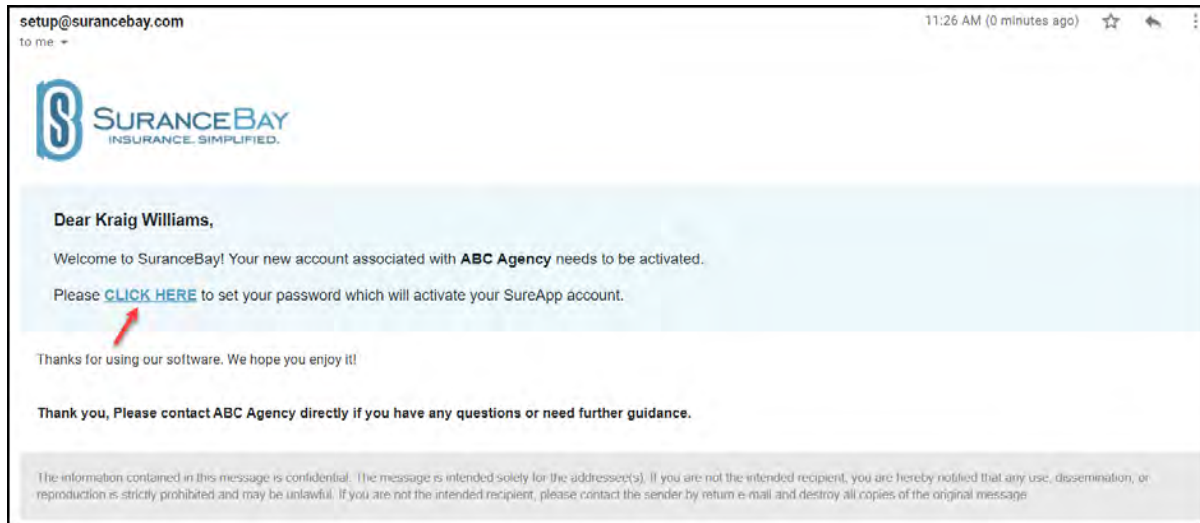
**Step 5:** If the **affiliation list** is shown select the name of the affiliation as per directions provided by your agency. If the affiliation option is not shown skip this step.

**Step 6:** Please review the authorization to obtain PDB report from NIPR shown in the right pane. After reviewing, select **CREATE ACCOUNT** to provide your authorization and to create your new SureLC account.

Once your account is created, you'll see the following confirmation message:



Next, you'll receive a confirmation email at the address entered as your Login ID. The email will be sent from [setup@surancebay.com](mailto:setup@surancebay.com). Locate the email and select **Click Here** link to activate your account and complete the account registration process.



## Create your Password

At this point you'll be redirected to the following password creation page where you must create your login password. Enter your password and re-enter it in the fields provided following the rules below to make sure it's secure.

### Enter new password

Please follow the required rules to set new password for  
User ID: kraig.williams@surancebay.com

Password  
.....

Confirm Password  
.....




Make sure that your password meets the requirements:

- ✓ At least 8 characters long
- ✓ Contains uppercase letters
- ✓ Contains lowercase letters
- ✓ Contains digits
- ✓ Contains special character or punctuation
- ✓ Different than your previous 13 passwords
- ✓ Must not match your User ID
- ✓ Both entered password values must match

**SAVE PASSWORD**

### Questions?


Please contact your agency

**ABC Agency**  
 (222) 216-1778  
 contracting@abcagency.com



Click **Save Password** to complete the registration process and to be logged into your new SureLC account for the first time.

The first time you log in you will need to review and accept the **SureLC SaaS Privacy Policy** and **Terms of Use**. Select the checkbox and click **Accept Policy** to continue past each screen.

 <b>KRAIG WILLIAMS</b>	Questions? Contact your agency: (222) 216-1778 or test161778.1@surancebay.com	<a href="#">LOG OUT</a>
---------------------------------------------------------------------------------------------------------	-------------------------------------------------------------------------------	-------------------------

## SURELC™ SAAS PRIVACY POLICY

THIS PRIVACY POLICY WAS LAST UPDATED ON 12/01/2018

SuranceBay, LLC ("SuranceBay" "we" or "us") gathers certain types of information in connection with your use of our SureLC™ SaaS platform. The SureLC™ SaaS platform (formerly known as SureApp™) includes software modules such as SureLC™, SureLC™ Datalink, SureLC™ One, SureLC™ Compliance+, and such other modules as SuranceBay may add from time to time (collectively "SaaS"). This document outlines the terms and conditions of SuranceBay's privacy policy governing the use of our SaaS ("Privacy Policy"). Specifically, it explains how we collect information from users of our SaaS, share your information, and ways you can limit our sharing of your information. SuranceBay places the highest priority on protecting the privacy of its SaaS Users. By using our SaaS, you ("You" or "User") are accepting the practices described in this Privacy Policy.

**OTHER TERMS / PRIVACY POLICY FOR CUSTOMERS**


When you become our customer, you will communicate and exchange information, including personally identifying information, with us. When forming a business relationship with us, a Carrier, a Broker General Agency ("Agency") and/or a Producer will be asked to enter into a Master Services Agreement and one or more Statements of Services with SuranceBay ("Services Agreements") that will govern the use of specific SaaS modules. The Terms of Use posted at [SureLC™ SaaS Terms of Use](#) and the Service Agreements may contain other privacy terms dealing with the use of personal information. Service Agreements supplement, and to the extent of any inconsistency supersede, the general terms outlined in this Privacy Policy. The terms of this Privacy Policy supplement, and to the extent of any inconsistency supersede, the terms of the SureLC™ SaaS Terms of Use.

### INFORMATION WE COLLECT

☒ I have read the SuranceBay Privacy Policy

[ACCEPT POLICY](#)

This completes the account registration process.

 SureL.C

My Profile

Doing Business As

Licenses

FINRA

Questions

History

CE & Training

Signature

Profile Documents

Contracting Requests

Carrier Contracts

Help & Support

My Profile > Producer Info

Full Name

Title

First Name\*

Middle Name

Last Name

Suffix

KRAIG

DEAN

WILLIAMS

Personal information

SSN

###-##-1111

👁

NPI

17777777

Date of Birth

11/25/1963

Gender \*

Male

Marital Status

Select marital...

Contact information

Email \*

jim.friend@surancebay.com

📧

Phone \*

Fax

Cell

Driver's License

State

Address information

Business

Mailing

SureL.C ID# 405939

KW

## 2) SureLC Logins & Passwords

### How to Login

#### Where is the SureLC Login?

In order to register or login to SureLC, you **MUST** use a specific login link for your agency licensing department. This link is typically made available either on their web site or will be sent directly to you by email.

**If you don't have the link or you don't know the agency number to put in the link above, please contact your agency's licensing department. They will provide you with the correct link and instructions for new user registration & login.**

Once you have access to the SureLC link, select it and you'll be brought to the following login page:

The screenshot displays the 'SureLC For Producers' login interface. On the left, a 'Sign In' box prompts users to 'Provide the information below to verify your identity.' It includes an 'Email' field with a placeholder '<enter your login user id here>', a 'Password' field with a placeholder '<enter your login password here>', a 'RECOVER PASSWORD' link, and a blue 'LOGIN' button. To the right, a 'Questions?' section advises users to 'Please contact your agency' and provides details for 'Awesome Group', including a phone number '(877) 264-6888' and an email 'contracting@awesomegroup.com'. At the bottom center, a red arrow points to a 'REGISTER NEW ACCOUNT' link. The footer contains the copyright notice '© Copyright 2020, SuranceBay, LLC.'

Once at the login page enter your User ID email and password to login, or you may select **Register New Account** to register yourself with the agency.



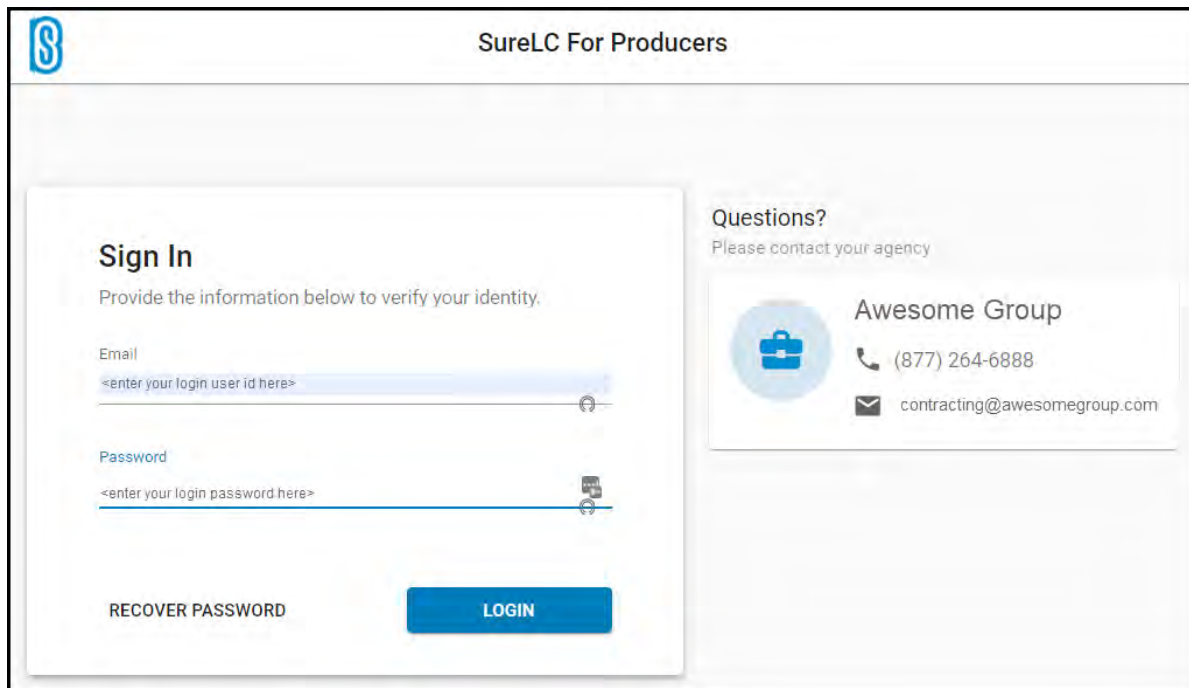
# Multiple SureLC Logins

When registered with multiple agencies who use the SureLC platform it's important to understand the following:

- Each agency will have their own dedicated SureLC web login page which will be used for registration and to log into your SureLC account under that agency.
- For example, if you are registered with 3 agencies, you'll have 3 SureLC logins and a dedicated web page to log into for each agency.
- Your login credentials (User ID and password) **MUST** be unique for each agency.
- Please note: The only exception to this rule is that when registering with additional agencies you can use the same login User ID email for each agency login, as long as the passwords are unique to each agency.
- ALL agency login web pages should be bookmarked and labeled to make future logins easier.

## How to Change your Login User ID Email or Password

**Step 1:** If you need to change the User ID email used to access SureLC, you'll first need to login with your current User ID email. This will be the email address that you used when you registered with your agency.



**SureLC For Producers**

**Sign In**  
Provide the information below to verify your identity.

Email  
<enter your login user id here>

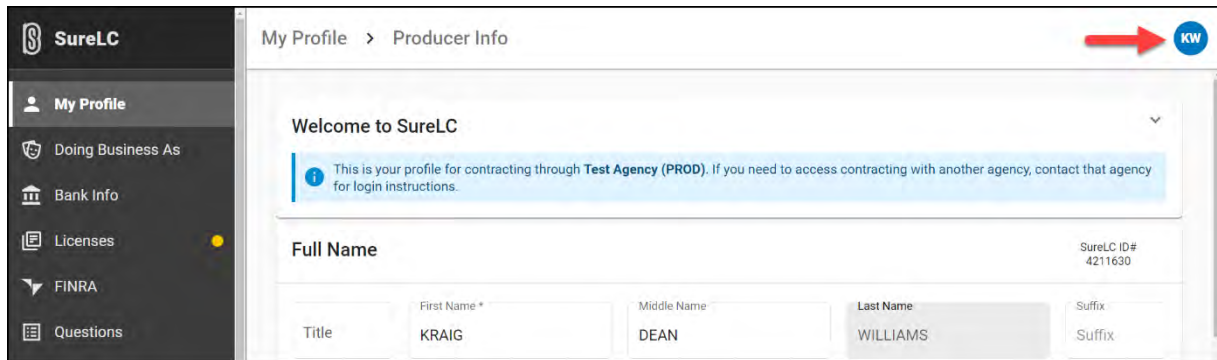
Password  
<enter your login password here>

[RECOVER PASSWORD](#) **LOGIN**

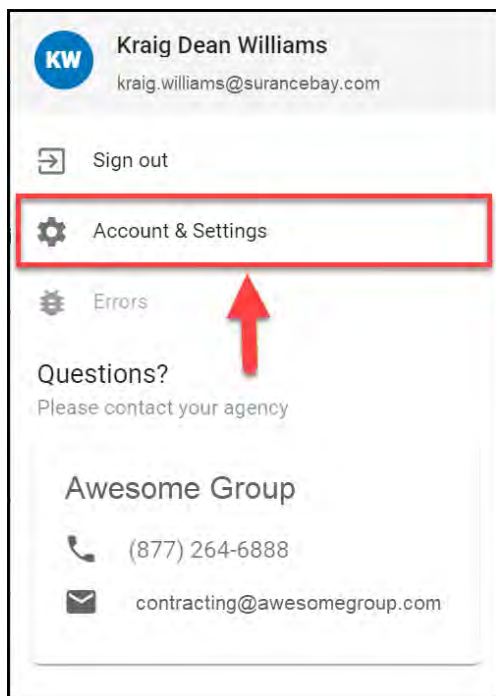
**Questions?**  
Please contact your agency

**Awesome Group**  
(877) 264-6888  
contracting@awesomegroup.com

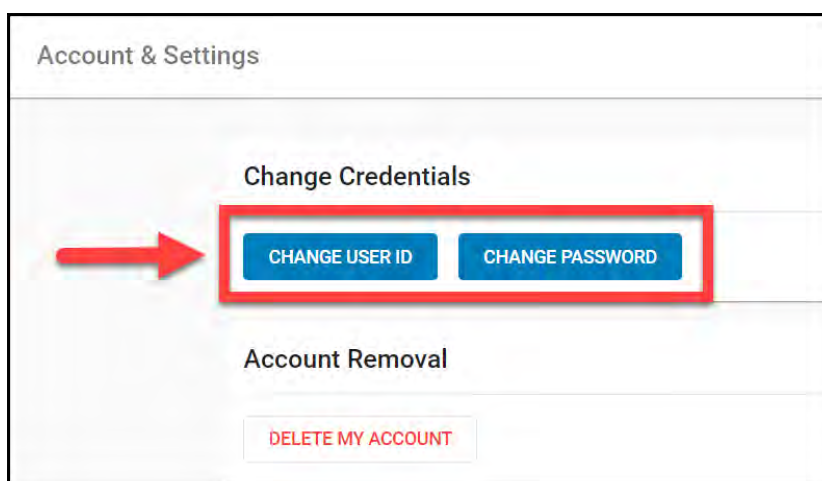
**Step 2:** Once logged into SureLC, click on your **initials icon** on the top right corner of the page. This will open the user options menu.



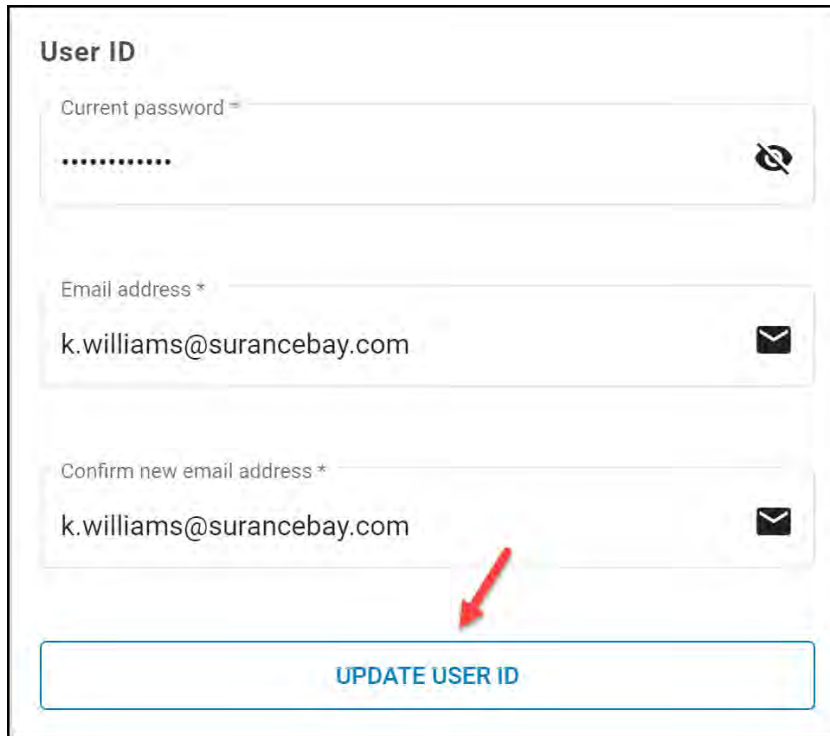
**Step 3:** Select **Accounts & Settings**.



**Step 4:** From the Account & Setting window you can change your login UserID, change your login password, or delete your SureLC account with the agency you are logged into.



**Step 5:** To change your login User ID select the **Change User ID** button. Enter the current password for your SureLC account. Type in the new email address you want to change your SureLC login UserID email to. Enter it a 2nd time to confirm. Click **Update User ID** to save the changes. To change your login password skip to step 6.



**User ID**

Current password =  
.....

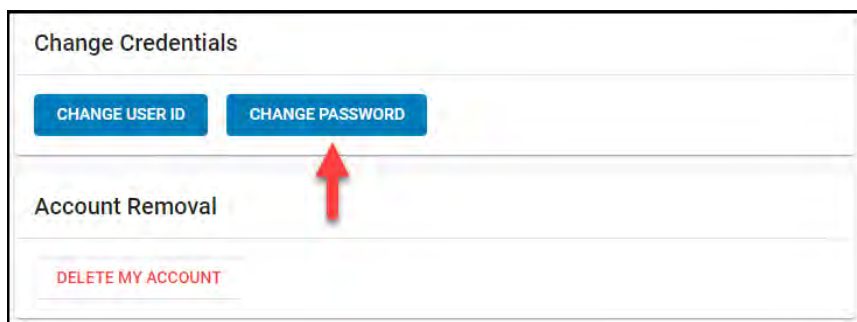
Email address \*  
k.williams@surancebay.com

Confirm new email address \*  
k.williams@surancebay.com

**UPDATE USER ID**

**Please Note:** Changing your login User ID email DOES NOT change the contact email listed in your My Profile or Doing Business As page. If you want to change the email addresses in your profile, you MUST go to each of these pages directly to change them.

**Step 6:** To change your login password click the **Change Password** button.



**Change Credentials**

**CHANGE USER ID** **CHANGE PASSWORD**

**Account Removal**

**DELETE MY ACCOUNT**

Enter your current password and then enter the new password. Follow the password creation rules listed below the field to ensure it's a strong password. Click **Update Password** to save the new password.

### Password

Current password \*

.....

New password \*

.....

#### Required rules for a new password:

✓ At least 8 characters long

✓ Contains uppercase letters

✓ Contains lowercase letters

✓ Contains digits

✓ Contains special character or punctuation

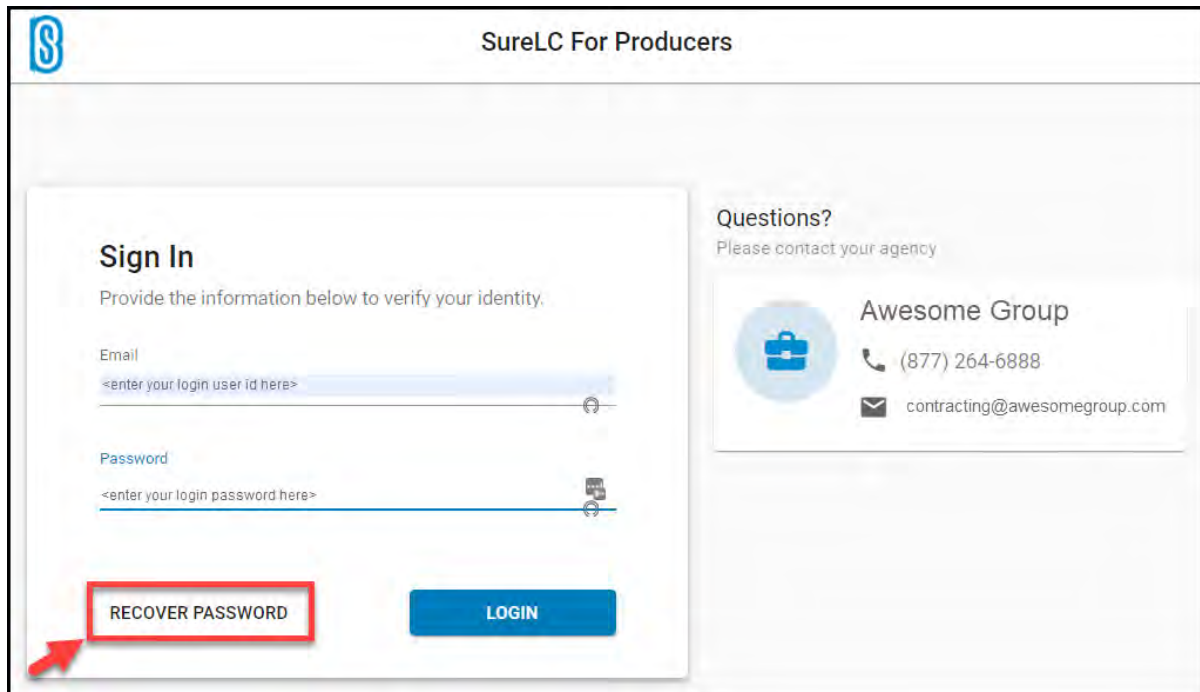
✓ Different than your previous 13 passwords

✓ Must not match your User ID

UPDATE PASSWORD

# How to Recover your Account Credentials and Reset your Password

**Step 1:** From the SureLC login page select **Recover Password**.



**Sign In**  
Provide the information below to verify your identity.

Email  
<enter your login user id here>

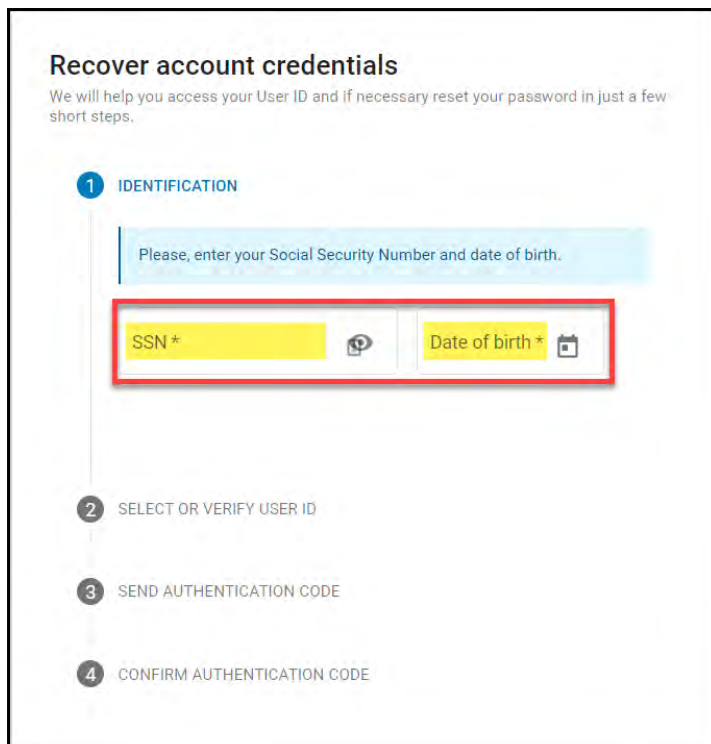
Password  
<enter your login password here>

**RECOVER PASSWORD** **LOGIN**

**Questions?**  
Please contact your agency

**Awesome Group**  
(877) 264-6888  
contracting@awesomegroup.com

**Step 2:** Enter your **social security number** and **date of birth** to verify your login User ID. Continue with step 3 to reset your password.



**Recover account credentials**  
We will help you access your User ID and if necessary reset your password in just a few short steps.

**1 IDENTIFICATION**

Please, enter your Social Security Number and date of birth.

**SSN \*** **Date of birth \***

**2 SELECT OR VERIFY USER ID**

**3 SEND AUTHENTICATION CODE**


**4 CONFIRM AUTHENTICATION CODE**

**Step 3:** Use the radio button and select the account you want to recover.

**Recover account credentials**

We will help you access your User ID and if necessary reset your password in just a few short steps.

- 1 IDENTIFICATION
- 2 SELECT OR VERIFY USER ID
- 3 SEND AUTHENTICATION CODE
- 4 CONFIRM AUTHENTICATION CODE

 Awesome Group  
kraig.williams@surancebay.com ☐

**Step 4:** For security choose the method to receive the authentication key. For this example, email was selected. Click **Send Authentication Key** receive the code via email. If you cannot find the email check your junk/spam folder.


**Recover account credentials**

We will help you access your User ID and if necessary reset your password in just a few short steps.


- 1 IDENTIFICATION
- 2 SELECT OR VERIFY USER ID
- 3 SEND AUTHENTICATION CODE
- 4 CONFIRM AUTHENTICATION CODE

To protect your account, we need to send you a temporary authentication key. Please, select a delivery option.

Send by phone (text message)

 (203) 555-1212 ☐

Send by email

 kraig.williams@surancebay.com ☒

**SEND AUTHENTICATION KEY**



**Step 5:** Once the authentication code is received, enter the code in the field provided and then select **Confirm Authentication Code**.

## Recover account credentials

We will help you access your User ID and if necessary reset your password in just a few short steps.

- 1 IDENTIFICATION
- 2 SELECT OR VERIFY USER ID
- 3 SEND AUTHENTICATION CODE
- 4 CONFIRM AUTHENTICATION CODE

To protect your account, we sent you a temporary authentication key.

Identification code \*

277040

CONFIRM AUTHENTICATION KEY

**Step 6:** Enter the new password in the field provided and then enter it a 2nd time to confirm it. Remember to follow the password rules when creating your new password. Click **Save Password** to update your account password.

## Enter new password

Please follow the required rules for your password.

Password

.....

Confirm Password

.....

Make sure that your password meets the requirements.

✓

At least 8 characters long

✓

Contains uppercase letters

✓

Contains lowercase letters

✓

Contains digits

✓

Contains special character or punctuation

✓

Different than your previous 13 passwords

✓

Must not match your User ID

✓

Both entered password values must match

SAVE PASSWORD

**Step 7:** If you've done everything correctly your password will be updated, and you'll be logged into your SureLC account automatically.

**SureLC** My Profile > Producer Info

Welcome to SureLC

This is your profile for contracting through **ABC Agency**. If you need to access contracting with another agency, contact that agency for login instructions.

Follow the steps below to get started using SureLC.

1. Review the information on each page of your profile. Pages with **incomplete required information** will be marked with a red notification.
2. Pages with yellow notifications indicate incomplete information that is not required to create contracting requests.
3. Once your profile no longer has any red notifications, the **Contracting Requests** page will allow you to request carrier contracts.

The **Help & Support** page contains your agency's contact information, plus access to the SureLC Help Center's guides and tutorials.

**Full Name** SureLC ID# 4214668

Title	First Name *	Middle Name	Last Name	Suffix
	KRAIG	DEAN	WILLIAMS	Suffix

**Personal Information**

SSN *	APN	Date of Birth *	Gender *	Marital Status
###-##-1111	1/11/1111	11/25/1963	Male	Select marital...

**Contact information**

Email *	Phone *	Fax	Cell
kraig.williams@surancebay.com	(209) 555-1212		

**Please Note:** As a security measure, producers **MUST** change their login password every 90 days. The software will prompt you to change your password when the 90-day limit is approaching or has passed.

**SureLC For Producers**

**Sign In**  
Provide the information below to verify your identity.

Email  
kraig.williams@surancebay.com

Password

**Your password has expired.**  
Changing your password periodically helps to ensure the security of your account information.

**CREATE A NEW PASSWORD**

**Questions?**  
Please contact your agency

**Awesome Group**  
(877) 264-6888  
contracting@awesomegroup.com

[REGISTER NEW ACCOUNT](#)

### 3) SureLC Producer Profile Overview

This article provides an overview of the SureLC for Producers application. After logging in to the application, producers are first taken to the My Profile page. The navigation menu on the left allows producers to access the various pages that make up their SureLC profile and perform other actions such as creating a new carrier contracting requests.
















## Navigation Menu

The screenshot displays the SureLC Producer Profile Overview page. On the left is a dark sidebar with a navigation menu. The menu items are: My Profile, Doing Business As, Bank Info, Licenses, FINRA, Questions, History, CE & Training, E&O Insurance, Signature, Profile Documents, Contracting Requests, Carrier Contracts, and Help & Support. The main content area is titled 'My Profile > Producer Info'. It contains several sections: Full Name (with fields for Title, First Name, Middle Name, Last Name, and Suffix), Personal Information (with fields for SSN, NPN, Date of Birth, Gender, and Marital Status), Contact Information (with fields for Email, Phone, Fax, and Cell), Driver's License (with fields for State, Number, and Expiration date), and Address Information. A red arrow points from the text 'Navigation Menu' to the left sidebar.

The menu is comprised of two main sections: **My Profile** and **Contracting**, plus a **Help & Support** page. **My Profile** and its related pages contain personal information about the producer, background information, banking info, licenses, and more.

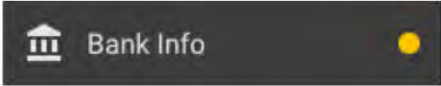
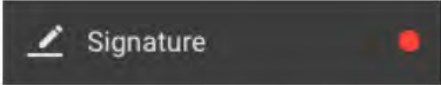

The **Contracting** section at the bottom of the menu is where producers can submit new contracting requests, check the status of outstanding requests, and view any existing carrier contracts. Please refer to the table below for more information about each page.

**Please note:** Producers should review the information shown on all pages to verify it is current and correct. Failure to do so may result in delays or rejection of any contracting requests.

 <b>My Profile</b>	The <b>My Profile</b> page is the starting point when producers login to SureLC. The producer's last name, SSN, NPN, and DOB are imported directly from the producer's PDB report at NIPR and are not editable.
 <b>Doing Business As</b>	The <b>Doing Business As</b> page is where the producer's DBA type is specified. This setting determines which forms are required for new carrier contracting requests and how producer commissions will be paid. <a href="#">Click Here</a> for more information about the <b>Doing Business As</b> page.
 <b>Firm</b>	The <b>Firm</b> page is only shown when the producer is doing business as a Business Entity. It shows the information for the Firm that is specified on the Doing Business As page.
 <b>Bank Info</b>	The producer's banking information is added on the <b>Bank Info</b> page. Bank routing and account numbers <b>MUST</b> be added for producers who are doing business as Individuals and Business Entities. Please note for License-Only Agents (aka 'Solicitors') this page will not be shown.
 <b>Licenses</b>	The <b>Licenses</b> page shows ALL of the producer's state licenses by status (Active or Inactive). Most of this information is imported from NIPR and updated on a regular basis. Producers may purchase or renew state licenses right from SureLC! <a href="#">Click Here</a> for more info.
 <b>FINRA</b>	The <b>FINRA</b> page is where a producer indicates if they are a registered representative with FINRA or not. If <b>Yes</b> then SureLC will attempt to automatically import their CRD#, Broker Dealer information, and other FINRA-related details such as State Registrations, Exams, Disclosures, etc.
 <b>Questions</b>	The <b>Questions</b> page contains some of the most common background questions that carriers ask. Producers must answer ALL background questions before they will be able to submit any new carrier contract requests. Background questions and answers are included with ALL new carrier contract requests.
 <b>History</b>	The <b>History</b> page is where producers can provide the last 7 years of employment and resident address history. Please note this information is optional.
 <b>CE &amp; Training</b>	The <b>CE &amp; Training</b> page is where producers provide proof of current Anti-Money Laundering, Annuity State, LTC State, and AHIP Medicare training certification to agencies & carriers. <a href="#">Click Here</a> for more information on how to use this page.
 <b>E&amp;O Insurance</b>	The <b>E&amp;O Insurance</b> page is where producers add their existing E&O policy information or <a href="#">purchase new E&amp;O coverage</a> .
 <b>Signature</b>	The <b>Signature</b> page is where producers <b>MUST</b> review and sign the signature authorization form before they can create any new carrier contracting requests. Use this page to access the form and/or to create a digital signature on-screen.
 <b>Profile Documents</b>	The <b>Profile Documents</b> page contains ALL the documents uploaded to the producer's profile. For example, AML certificates, E&O declaration pages, voided checks, signature authorizations and more can be found here. <a href="#">Click Here</a> for more details.
 <b>Contracting Requests</b>	The <b>Contracting Requests</b> page is where producers can create and submit new carrier contracting requests to their agency and/or check the status of outstanding requests. <a href="#">Click Here</a> for more details.
 <b>Carrier Contracts</b>	The <b>Carrier Contracts</b> page shows a producer's carrier contracts that were completed through SureLC. <a href="#">Click Here</a> for more details.
 <b>Help &amp; Support</b>	Visit the <b>Help &amp; Support</b> page to see contact information for your agency and to access support and training materials in SureLC's Help Center.

## Profile and Contracting Notices

Certain information is required in order for a producer to create and submit a contracting request to their agency. When this information is missing, SureLC displays yellow and/or red notices indicating what information is necessary. These appear as dots on the menu, and as full text notices on each relevant page.

	<div data-bbox="682 441 1567 499">There is no bank account information in your profile FIX</div>
<p>Yellow dots/notices indicate which pages contain information that is necessary to submit contracting requests to the agency/carrier but will not prevent the producer from creating a request. Some of this information can be provided during the submission process.</p>	
	<div data-bbox="682 703 1567 766"> A signature authorization is required for contracting with most carriers. Use the Draw Signature button below, or upload a signed signature authorization form</div>
<p>Red dots/notices indicate which pages are missing information that is required BEFORE the producer will be able to create a new contracting request.</p>	

**Note:** When the notice includes a **FIX** button you can click on it to be taken to the page where the information can be added or corrected.



# User Menu

Click the circle in the top right corner of the application to open the User Menu. This menu contains:

- Information about the logged-in user
- A link to **Sign out** of SureLC
- The link to **Account Settings** where you can change your UserID and Password (if not using SSO from your agency)
- Your agency's contact information

The screenshot displays the SureLC application interface. On the left is a dark sidebar with the SureLC logo and a list of navigation items: My Profile, Doing Business As, Bank Info, Licenses, FINRA, Questions, and History. The main content area is titled 'My Profile > Producer Info'. It contains a 'Full Name' section with fields for Title, First Name (RHONDA), Middle Name (A), Last Name (JENKINS), and Suffix (JR). Below this is a 'Personal information' section with fields for SSN, NPN, Date of Birth, Gender, and Marital Status. A red arrow points from the 'Full Name' section to a blue circular user icon labeled 'RJ' in the top right corner. This icon has opened a dropdown menu (the User Menu) which contains the following items: a header with the user's name 'Rhonda A Jenkins' and email '3767@surancebay.com'; a 'Sign out' button; an 'Account & Setting' option with a gear icon; an 'Errors' option with a warning icon; a 'Questions?' section with the text 'Please contact your agency'; and an 'Awesome Group Inc.' section with a phone number '(222) 219-8702' and an email 'test198702.1@[redacted].com'.

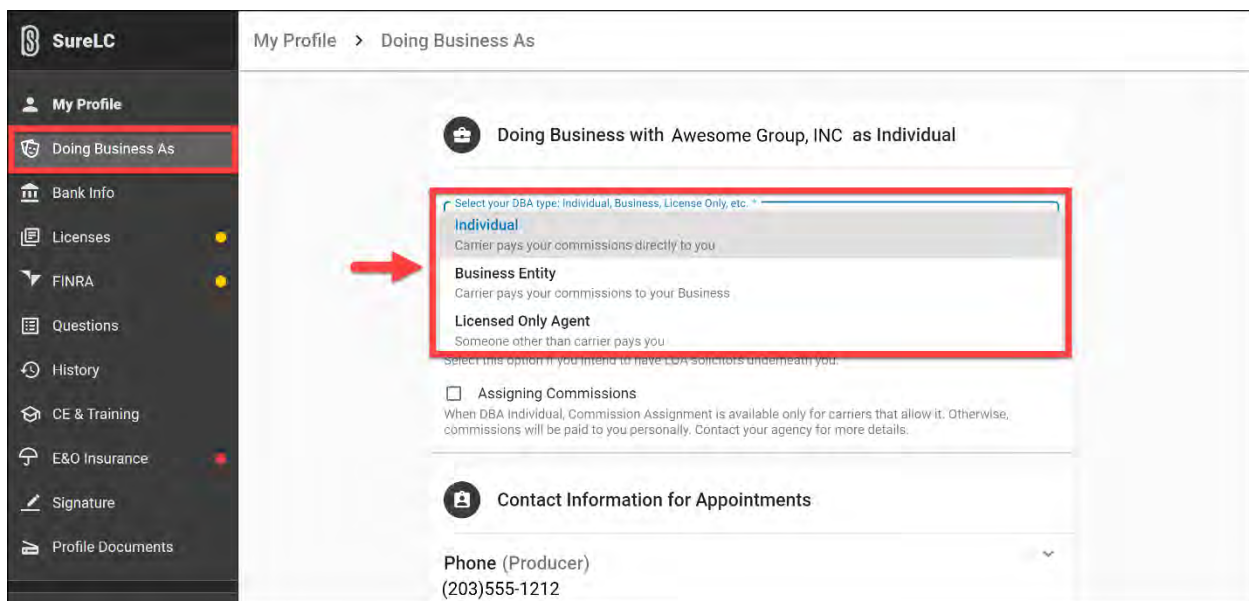
## 4) Producer Profile -> Doing Business As

This article describes how to use the **Doing Business As** page in SureLC. The DBA selection on this page will determine which carrier forms and questions are included in any contracting requests, and how commissions will be paid to the producer.

### DBA Type

One of the following three options **MUST** be selected to complete the DBA setup:

- Individual
- Business Entity
- Licensed Only Agent



SureLC

My Profile > Doing Business As

Doing Business with Awesome Group, INC as Individual

Select your DBA type: Individual, Business, License Only, etc. \*

Individual  
Carrier pays your commissions directly to you

Business Entity  
Carrier pays your commissions to your Business

Licensed Only Agent  
Someone other than carrier pays you

Select this option if you intend to have LOA solicitors underneath you.

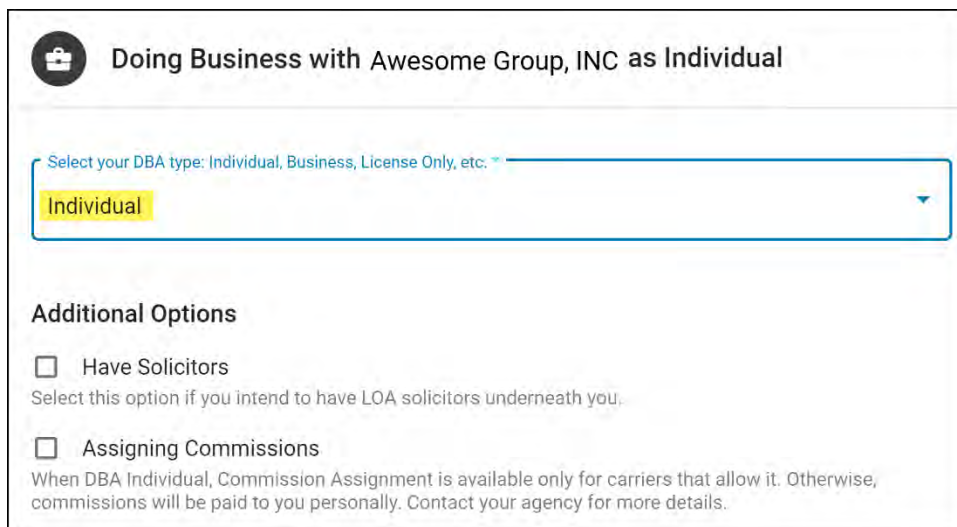
☐ Assigning Commissions  
When DBA Individual, Commission Assignment is available only for carriers that allow it. Otherwise, commissions will be paid to you personally. Contact your agency for more details.

Contact Information for Appointments

Phone (Producer)  
(203)555-1212

### Individual

This option should be selected when the producer will be paid commissions directly from the insurance company at the set commission rate. Producers will receive a 1099 with their SSN at the end of the year from the insurance company.



Doing Business with Awesome Group, INC as Individual

Select your DBA type: Individual, Business, License Only, etc. \*

Individual

Additional Options

☐ Have Solicitors  
Select this option if you intend to have LOA solicitors underneath you.

☐ Assigning Commissions  
When DBA Individual, Commission Assignment is available only for carriers that allow it. Otherwise, commissions will be paid to you personally. Contact your agency for more details.


### **Additional Individual Options:**

**Have Solicitors** - Select this check box when you'll have Licensed Only Agents soliciting for you.

**Assigning Commissions** - This setting is **ONLY** available when Doing Business As is set to Individual and **ONLY** for the carriers that allow it. Producers can select this check box when they want to assign their commissions to a beneficiary/business. After selecting this option, the tax id, name, and beneficiary address must be provided.

## **Business Entity**

Select this option when the applicant is an owner or officer of a business entity that has an EIN (employer identification number) and commissions will be paid directly to the business entity.

 **Doing Business with Awesome Group, INC as Business Entity of ABC Agency, LLC**

Select your DBA type: Individual, Business, License Only, etc. \*  
**Business Entity**

EIN \*  
99-9999999

Your Position \*  
President


**Additional Options**  
☐ **Have Solicitors**  
Select this option if you intend to have LOA solicitors underneath you.

### **Additional Business Options:**

**Have Solicitors** - Producers who will have Licensed Only Agents soliciting for their business should check this box to enable this option.

## Linked Firm Information

After entering the EIN for the business and importing the business information from NIPR the firm information will be linked to the producer profile. Firm information will be shown here. Firm info is imported from NIPR and cannot be edited here.

 **Linked Firm Information**

**Company Identifications**


NPN: 1234567

SuranceBay ID: 555555

EIN: 99-9999999


Company Name

ABC Agency, LLC




**Company Details**

Company Alias




Company Type \*

C Corporation




## Licensed Only Agent

Also referred to as "Solicitors". This option should be selected when producers are soliciting for another individual or business.

 **Doing Business with Awesome Group, INC as Licensed Only Agent (Solicitor)**

Select your DBA type: Individual, Business, License Only, etc. \*

Licensed Only Agent




This selection is only for applicants who:

- Need to be appointed by a carrier
- Do not receive commissions directly from the carrier
- Are not an owner or officer of a business entity

# Contact Information for Appointments


No matter what DBA type is selected, contact information should always be reviewed to make sure it's current as this information will be included on the contracting paperwork. By default, this information is pulled from the **My Profile** page. However, if the producer works with multiple agencies in SureLC and has specific contact information they'd like to use for one agency's contract requests they can enter that information here and it will not affect the contact information used by the other agencies.

Select the arrow to expand any of the sections in order to modify the contact info.


 **Contact Information for Appointments**

**Phone (Producer)**  
(203)555-1212


☒ (Producer) (203)555-1212  
☐ (Other)




**Fax (Producer)**  
(203) 555-1313




**E-mail (Producer)**  
producer@surancebay.com



**Mailing Address (Producer)**  
125 Farmington Ave. Farmington, CT 06030



**Business Address (Producer)**  
1200 North Main St. West Hartford, CT 06107



## 5) Producer Profile -> CE & Training

This article describes how producers can use the **CE & Training** page to provide proof of current training certifications and any designations they hold. Training certifications that can be added here include Anti-Money Laundering, Best Interest, Annuity and Long-Term Care state product training, AHIP Medicare, and Federally Facilitated Marketplace (FFM) training.

This page contains two tabs: **Certifications** and **Course History**. Use the Certifications tab to add and view current training certifications. The course history tab shows all the producer's training courses added or retrieved from various providers.

### Certifications Tab

[1. Training Concierge](#)

[2. Anti-Money Laundering](#)

[3. Best Interest](#)

[4. Annuity State](#)

[5. LTC State](#)

[6. AHIP Medicare](#)

[7. Fed Marketplace](#)

[8. Designations](#)

### Course History Tab

## Certifications Tab

This section shows all the producer's most recent training certifications according to the records added directly or retrieved automatically from various training providers. This section is made up of the following 8 sections.

The screenshot shows the SureLC Training page with the Certifications tab selected. The left sidebar contains navigation links: My Profile, Doing Business as..., Bank Info, E&O Insurance, FINRA, Questions, History, CE & Training (highlighted), Signature, Profile Documents, Contracting Requests, Carrier Contracts, Licenses, and Help & How To's. The main content area displays 8 sections:

- 1. Training Concierge**: Includes a link to "Add New Accounts" and a note about secure Training Concierge help.
- 2. Anti-Money Laundering**: Shows a green checkmark and "NEW YORK LIFE 04/15/2020".
- 3. Best Interest**: Includes a link to "AZ".
- 4. Annuity State**: Includes state selection buttons: AZ, CA, CO, GA, ID, IL, KY, MA, MI, NC, NJ, NV, OH, PA, TX, VA.
- 5. LTC State**: Includes state selection buttons: AZ, CA, CO, GA, ID, IL, KY, MA, MI, NC, NJ, NY, OH, PA, TX, VA.
- 6. AHIP Medicare**: Shows a yellow warning icon and "No AHIP training for current year".
- 7. Fed Marketplace**: Shows a yellow warning icon and "No FFM training and Agreements info".
- 8. Designations**: Includes links to "CLU" and "LUTCF".





# 1. Training Concierge

Enter your training provider login credentials in the **Training Concierge** to have SureLC actively monitor your training provider accounts and retrieve your completed training course information directly from their websites. This makes it easy to keep your information up to date automatically.

**Note:** Your login credentials are encrypted and stored securely. This information is **ONLY** used to retrieve your training information for the purpose of contracting with insurance carriers.

**Training Concierge**

 **Add New Accounts**

 Let our secure Training Concierge help prevent delays processing your contract request and new business submissions. Enter your credentials for any of the listed training providers and we'll monitor your accounts to retrieve any completed courses. We encrypt your info and only use it to apply training course info to your carrier contract submissions.

LIMRA

SuccessCE

Sandi Kruse, Inc.

QuestCE, Inc.

AHIP.org

AHIP (Medicare)

A.D. Banker

RegED, Inc.


WebCE, Inc.


## How to use the Training Concierge:

**Step 1:** Select the name of the training provider. In the following example "QuestCE, Inc." was selected.

**Step 2:** Read the terms and then enter your username and password for the training provider's web site.

**Step 3:** Select "Retrieve Courses" to have SureLC automatically import your training information. Once imported, SureLC will continue to actively monitor and import any new training courses completed through that provider.

 **Training Concierge: QuestCE, Inc.**

 **WE CAN AUTOMATICALLY IMPORT YOUR COURSES TAKEN AT QUESTCE, INC.**  
By entering your account credentials and selecting the RETRIEVE COURSES button, you authorize SuranceBay to access your QuestCE, Inc. account to:  


1. Obtain your training course history
2. Continuously monitor your account to retrieve newly completed courses

Username\*

john.smith

Password\*

.....



If you forgot your password, you can recover/reset it [here](#).


CLOSE

DELETE CREDENTIALS

RETRIEVE COURSES

## 2. Anti-Money Laundering

This section shows the producer's most recent AML training. When AML training is required for new carrier contract requests, producers **MUST** provide proof they have met this requirement by specifying the AML training they completed most recently. In the following example, the producer has provided AML certification information received from Quest CE completed on 8/1/2020.



**Edit** - Use the edit button to modify existing AML training information such as the provider name, course name, and completion date.

**Remove** - Use the remove button to delete the selected training course.

**Add Certification** - Select to add AML training information.

**Start Training** - Click to complete AML training with various course providers, including [SuranceBay!](#)

## 3. Best Interest

Best Interest training is required in certain states for producers who want to sell annuity products. This section allows producers to provide proof of current Best Interest training in those states.



**Add Training** - Select to add any current Best Interest training certifications not already displayed.

## 4. Annuity State

Annuity State product training is required in certain states for producers who want to sell annuity products. This section allows producers to provide proof of current annuity state product training in those states. In this example, the producer is licensed in ALL of the states listed below.

**Annuity State**

🏠 AZ CA CO GA ID IL KY MA MI NC NJ NV OH PA TX VA [Show less](#)

✅ **Arizona** 🏠  
Training completed

➡ **ADD TRAINING**

📄 One-time 4 hour course approved by the Department and provided by a Department-approved education provider (Title 20, Chapter 6 § 20-1243.07)

INITIAL	Kaplan Financial Education
12/14/2017	# , 4 HOURS, Annuity - 4 General - 4 Annuity Suitability 4 Hour Training Course, 2nd Edition

**State Icons** - Select any state icon for more information about the annuity product training requirement in that state. A green state indicates the training requirement has been met. A grey state indicates product training is not required in that state (i.e. NC/NV). A yellow state indicates the product training requirements have not been satisfied in that state.

**Reciprocity** - Some state product training certifications automatically cover additional states. In the following example, Arizona annuity product training automatically covers MA which is indicated by the following message.

✅ **Massachusetts**

✅ Covered by training in Arizona (reciprocity)

**Add Training** - Select to add any current annuity state product training certifications not already displayed.

## 5. LTC State

Long Term Care (LTC) State product training is required in certain states for producers who want to sell LTC products. This section allows producers to provide proof of current LTC state product training in those states.

**LTC State**

🏠 OH WV

❓ **Ohio** 🏠  
Training information not found

➡ **ADD TRAINING**

📄 8 hrs. LTC prior to selling and 4 hrs. of ongoing training every 24-month continuing education compliance period thereafter (Reference Ohio Revised Code 3923.443)



**State Icons** - Select any state icon for more information about the LTC product training requirement in that state. A green state indicates the training requirement has been met. A grey state indicates product training is not required in that state. A yellow state indicates the LTC product training requirements have not been satisfied in that state.


**Reciprocity** - Some state product training certifications automatically cover additional states.


**Add Training** - Select to add any current LTC state product training certifications not already displayed..

## 6. AHIP Medicare

AHIP Medicare certification is required when producers want to sell Medicare products. In the following example, the producer does not have AHIP Medicare certification.

**AHIP Medicare**  No AHIP info 

 AHIP certification is accepted by all and required by most carriers if you want to legally sell Medicare Advantage (MA) or Prescription Drug Plans (PDPs) for the current certification year.

 No AHIP info

[ADD TRAINING](#)

**Add Training-** Select to add any AHIP Medicare training certifications not already displayed.

## 7. Fed Marketplace

This section is used to manually add Federally Facilitated Marketplace training information. Click the "Add Training" button to add and upload proof of your FFM training course and details.

**Fed Marketplace**  No FFM training and Agreements info 

 Agents and brokers must complete their FFM registration annually.

 Producer is not registered in FFM database

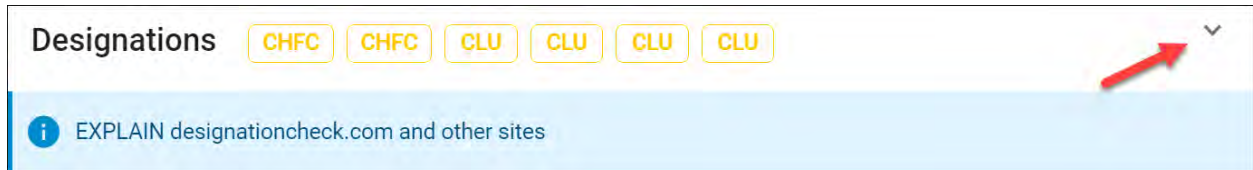
[ADD TRAINING](#)

**Add Training-** Select to add any Fed Marketplace training certifications not already displayed.

## 8. Designations

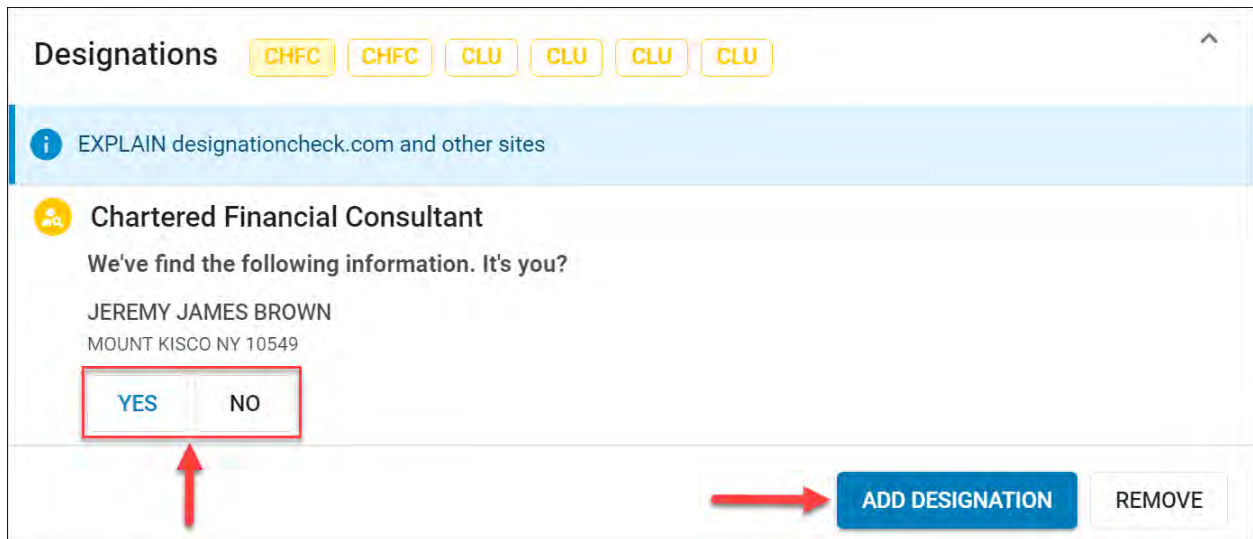
This section is used to add or confirm any professional designations producers may hold.

Select the arrow on the top right for more information and options.



The screenshot shows the top of the 'Designations' section. It features the title 'Designations' followed by six yellow buttons labeled 'CHFC', 'CHFC', 'CLU', 'CLU', 'CLU', and 'CLU'. In the top right corner, there is a small downward-pointing arrow. A red arrow points to this arrow. Below the header is a light blue bar with an information icon and the text 'EXPLAIN designationcheck.com and other sites'.

SureLC automatically searches designationcheck.com for the producer's name and adds any possible matching results to the list of possible designations, displayed in yellow. Select each designation icon to see more information about that possible designation and to confirm whether it is a correct match. Select **Yes** to confirm the designation is correct or **No** to remove the incorrect designation.



The screenshot shows the 'Designations' section with a search result. At the top, there are the same 'CHFC' and 'CLU' buttons as in the previous screenshot. Below the header bar, there is a yellow icon of a person and the text 'Chartered Financial Consultant'. Underneath, it says 'We've find the following information. It's you?' followed by 'JEREMY JAMES BROWN' and 'MOUNT KISCO NY 10549'. Below this information are two buttons: 'YES' and 'NO'. A red box highlights these two buttons, and a red arrow points to the 'YES' button. At the bottom right, there are two buttons: 'ADD DESIGNATION' (in blue) and 'REMOVE' (in grey). A red arrow points to the 'ADD DESIGNATION' button.

Click **Add Designation** to add any professional designations not already displayed.



# Course History Tab

Select the Course History tab to view all courses that have been added or retrieved for the producer. Courses are listed from newest to oldest.

Training			
CERTIFICATIONS		COURSE HISTORY	
1 RESCAN			
2 Search		3 All	4 +
04/15/2020	AML	AML-NEW YORK LIF NEW YORK LIFE	5 PDF
11/06/2019 General - 4	2019 Advisor Symposium ArizonaGeneral	6 New York Life Insurance Company	
01/15/2019 General - 16	Business Insurance Concepts, 10th Edition ArizonaGeneral	Kaplan Financial Education	
01/15/2019 General - 4	Indexed Products ArizonaGeneral	Kaplan Financial Education	
01/11/2019 General - 5	Claim Investigation, 2nd Ed. ArizonaGeneral	Kaplan Financial Education	
01/09/2019 Ethics - 1 General - 1	Insurance Ethics and Consumer Protection, 2nd Ed. ArizonaEthics	Kaplan Financial Education	
01/08/2019 Ethics - 3 General - 3	Ethics for the Insurance Professional, 4th Edition ArizonaEthics	Kaplan Financial Education	
01/07/2019 General - 2	Cyber Risk Insurance ArizonaGeneral	Kaplan Financial Education	

## From the course history screen users can:

1. **Rescan** - Use to check for updates from public sources such as Siron and State-Based Systems (SBS). Training information is retrieved from these sites automatically.
2. **Search** - Locate courses by name.
3. **Filter** - Use the funnel icon to resort the list by course type.
4. **Add** - Select to add training courses not already listed.
5. **PDF Icon** - Select to view the certification document.
6. **Source link** - Select the link to open the website from where the information was retrieved.



## 6) Producer Profile -> Signature

This article explains how to use the "Signature" page within the producer SureLC profile. Producers can access this page by selecting **Signature** in the navigation menu after logging into their SureLC account. The purpose of the Signature page is to provide access to SuranceBay's signature authorization form which **MUST** be reviewed and signed before producers will be able to submit new carrier contract requests via SureLC. Using this page producers can perform the following tasks:

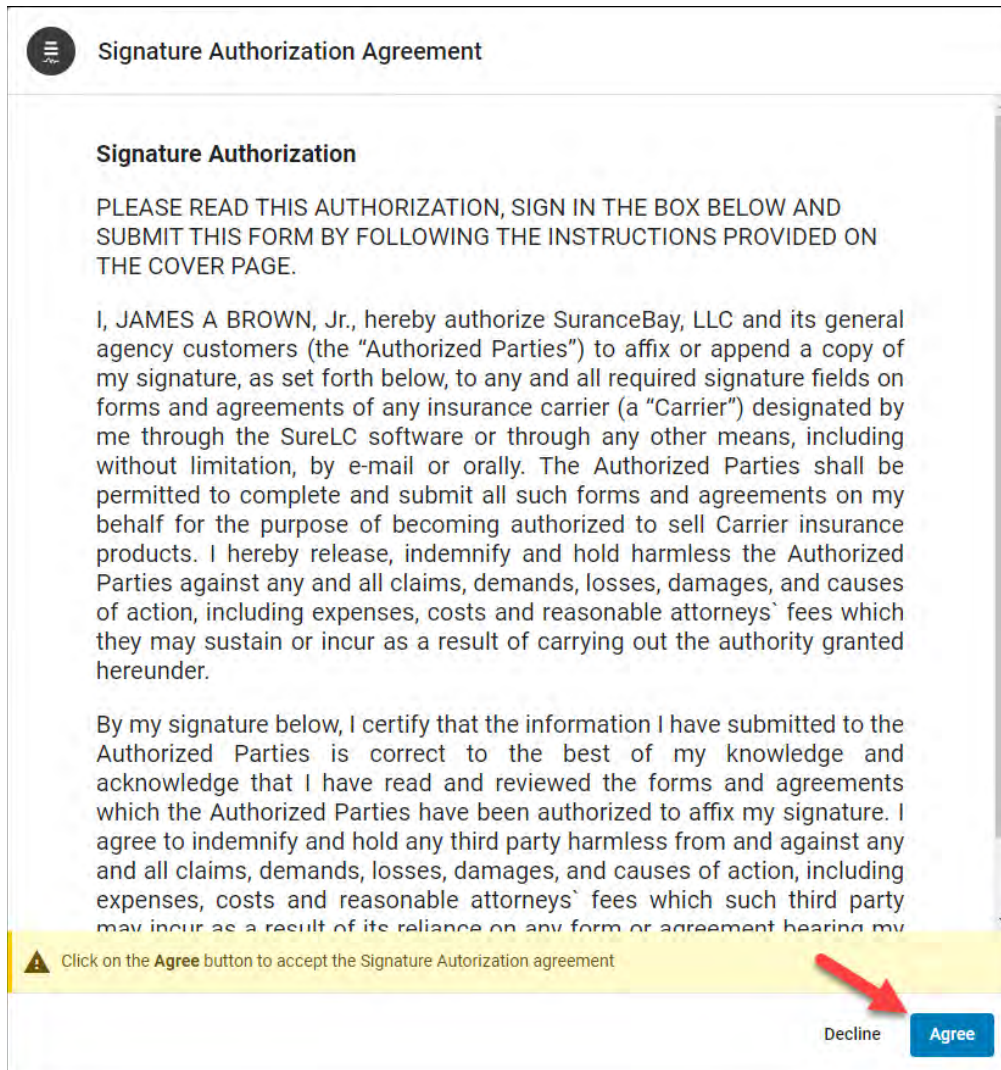
- 1. DRAW SIGNATURE** - Choose this option when you don't have access to a printer or scanner and want to review the signature authorization form on screen. Once reviewed, terms can be accepted and then a digital signature can be created on-screen via mouse or drawn when using a mobile device or tablet.
- 2. PRINT FORM** - Choose this option when you want to print and wet sign the signature authorization form. Once signed, the form will need to be scanned and then the file uploaded to SureLC. Please note this option is not available when using a smart phone or tablet.
- 3. UPLOAD IT NOW** - Select to open the file selector and upload a copy of the signed signature authorization form. SureLC will use onscreen character recognition (OCR) to create the digital signature using the uploaded form.

The screenshot shows the SureLC user interface. On the left is a dark sidebar with a navigation menu. The 'Signature' option is highlighted with a red box and a red arrow. The main content area is titled 'My Profile > Signature'. It features a red banner at the top that says 'Missing Signature Authorization'. Below this, there are three numbered steps, each with a corresponding button: 1. 'DRAW SIGNATURE' (with a pencil icon), 2. 'PRINT FORM' (with a printer icon), and 3. 'UPLOAD IT NOW' (with a cloud upload icon). The text between the steps provides instructions: 'You may also print the form, sign it, and scan it' and 'Already signed the signature authorization?'.

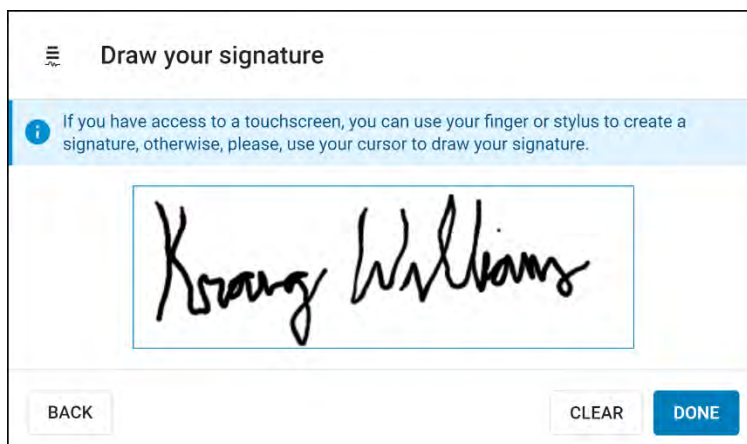
# How to Create your Digital Signature Onscreen:

**Step 1:** Select the **DRAW SIGNATURE** button.

**Step 2:** Review the signature authorization form on-screen and accept the terms by selecting the **Agree** button.



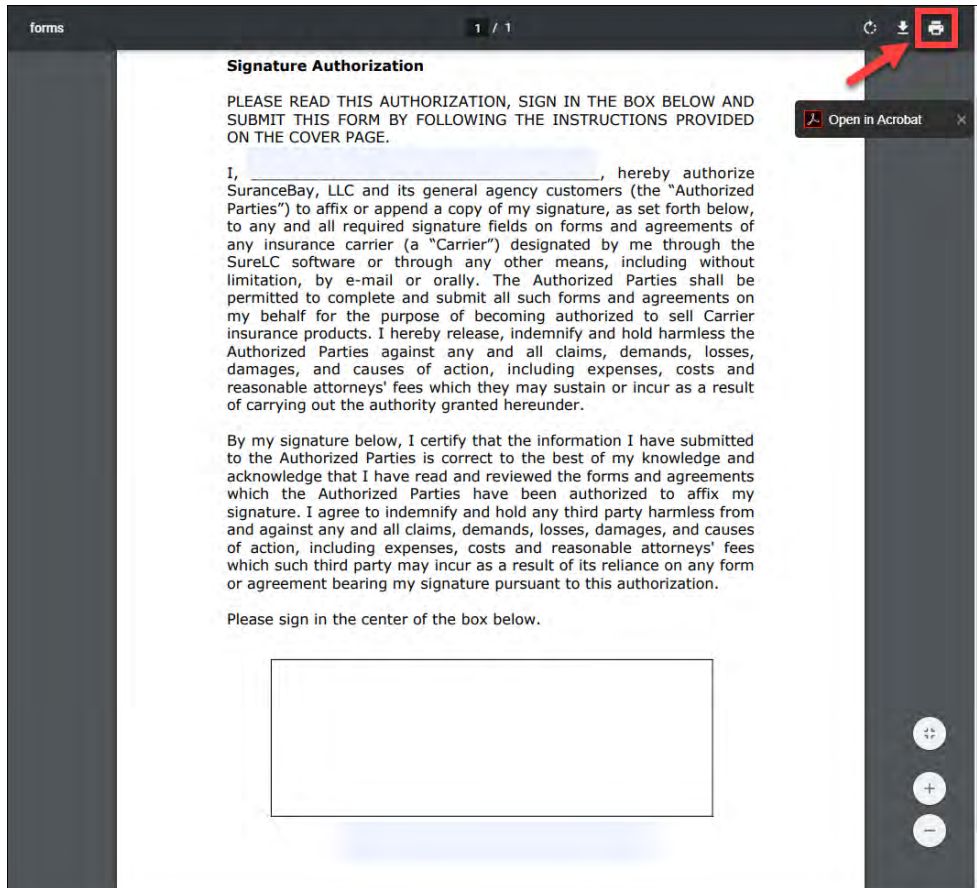
**Step 3:** Use your mouse (or touch screen if using a smartphone) to draw your signature on-screen. Use the **Clear** button to erase and try again if needed. When you're satisfied with the signature select the **Done** button. The signature authorization form will be saved and added to the Profile Documents page, satisfying the signature authorization requirement.



# How to Print the Signature Authorization Form

**Step 1:** Select the **PRINT FORM** button.

**Step 2:** After the signature authorization form opens select the **printer icon** in your browser to print the form.



forms 1 / 1

**Signature Authorization**

PLEASE READ THIS AUTHORIZATION, SIGN IN THE BOX BELOW AND SUBMIT THIS FORM BY FOLLOWING THE INSTRUCTIONS PROVIDED ON THE COVER PAGE.

I, \_\_\_\_\_, hereby authorize SuranceBay, LLC and its general agency customers (the "Authorized Parties") to affix or append a copy of my signature, as set forth below, to any and all required signature fields on forms and agreements of any insurance carrier (a "Carrier") designated by me through the SureLC software or through any other means, including without limitation, by e-mail or orally. The Authorized Parties shall be permitted to complete and submit all such forms and agreements on my behalf for the purpose of becoming authorized to sell Carrier insurance products. I hereby release, indemnify and hold harmless the Authorized Parties against any and all claims, demands, losses, damages, and causes of action, including expenses, costs and reasonable attorneys' fees which they may sustain or incur as a result of carrying out the authority granted hereunder.

By my signature below, I certify that the information I have submitted to the Authorized Parties is correct to the best of my knowledge and acknowledge that I have read and reviewed the forms and agreements which the Authorized Parties have been authorized to affix my signature. I agree to indemnify and hold any third party harmless from and against any and all claims, demands, losses, damages, and causes of action, including expenses, costs and reasonable attorneys' fees which such third party may incur as a result of its reliance on any form or agreement bearing my signature pursuant to this authorization.

Please sign in the center of the box below.

Open in Acrobat

**Step 3:** Review and sign the signature authorization form. Once signed the form will need to be scanned to create a digital copy or you can choose to take a photo instead to create a file.

# How to Upload a Scanned/Signed Signature Authorization Form

**Step 1:** Select the **UPLOAD IT NOW** button.

**Step 2:** Use the file selector to locate the scanned/image file, and then open the file.

**Step 3:** Wait for the file to be uploaded and scanned with OCR (optical character recognition). Once scanned the signature image will be cropped and displayed. From here you can:

- **Crop Again** - Re-crop the signature image.
- **Enhance** - Darken the signature image.
- **Confirm** - When satisfied with the signature image select this button to save it.
- **Discard** - Delete the signature image.



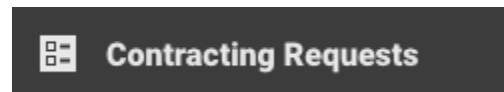
Confirming the signature image satisfies the signature authorization requirement. The signature authorization form will be saved to the Profile Documents page as an Active document.

## 7) How to Create and Submit a New Contracting Request

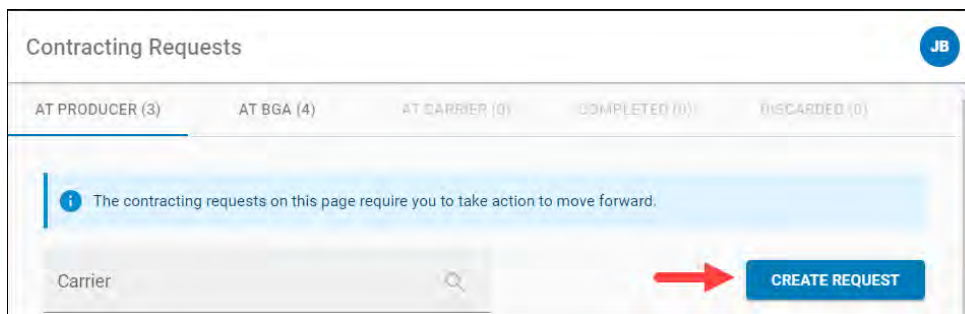
This article describes how producers can request new carrier contracts using SureLC. Producers must have a SureLC login account with the agency through whom they wish to be contracted with the carrier.

### How to Create a New Contracting Request

After logging into your SureLC account, go to the **Contracting Requests** page.



This will take you to the **At Producer** tab by default. Select the Create Request button to begin.



**IMPORTANT NOTE:** The **Create Request** button will only be enabled if all required information in your profile has been completed. If there is any missing required info you will see a red notice on the menu and a detailed notice at the top of the Contracting Request page listing the info that must be provided in order to create a new request.

This will take you into the request process with the following steps, depending on the type of request: **Note:** *Not all request types include every step.*

- 1) Carrier and Request Type
- 2) States and Products
- 3) Training
- 4) Errors and Omissions
- 5) Carrier Questions
- 6) Questionnaire
- 7) Confirm and Sign



## Step 1: Carrier & Request Type

Use the carrier list to select the carrier and then select the request type. In the following example **Transamerica** was selected as the carrier with **Contract** as the request type. Select **Next** to continue.

The image displays two screenshots of a web application interface for selecting a carrier and request type. The top screenshot shows the 'Select Carrier' dropdown menu with a list of carriers including Aetna Health And Life Insurance Co (AHLIC), Aetna Life Ins Co (ALIC), American Amicable Life Ins Co Of Texas, American Continental Ins Co (ACI), and Americo Financial Life And Annuity Ins Co. The bottom screenshot shows the 'Request type' section with radio buttons for 'Contract', 'Add State', 'Payment', and 'Transfer'. The 'Contract' option is selected and highlighted with a red box and a red arrow. A red arrow also points to the 'NEXT' button at the bottom right.

**Please note:** Only carriers that your agency has made available to you are listed here. If the carrier you're looking for is not listed, please contact your agency.

### Request type definitions:

- **Contract** - Select when you want to submit a new carrier contract request (and you're not currently contracted with the carrier).
- **Add State** - Select when you're already contracted with the carrier and **ONLY** want to be appointed in an additional state where you are currently licensed.
- **Payment** - Select when you want to send **ONLY** updated banking information to the carrier.
- **Transfer** - Select when you are already contracted with the carrier but want to transfer the contract to the agency whose account you are currently logged into.

## Step 2: States & Products

Next, select the product type(s) you would like to sell, and the state(s) where you would like to be appointed for the carrier. Only states where you currently hold an active license are listed. Your resident state is tagged with a house icon. Then select **Next** to continue.

The screenshot shows the 'States & Products' step in a web application. The breadcrumb trail at the top reads 'Contracting Requests > States & Products'. A sidebar on the left contains a progress list with seven items: '1 Carrier & Request Type', '2 States & Products' (highlighted), '3 Training', '4 Errors & Omissions', '5 Carrier Questions', '6 Questionnaire', and '7 Review & Sign'. The main content area is titled 'Select States & Products'. It has two sections: 'Select Product' and 'Licensed States'. Under 'Select Product', there are buttons for 'Fixed Life' (selected with a checkmark), 'Fixed Annuity', 'Accident and Sickness', 'Med Supplements', 'Disability', 'Long Term Care', 'Variable Life', and 'Variable Annuity'. Under 'Licensed States', there are two boxes. The first box is for 'Ohio' (selected with a checkmark) and lists 'Surety Bail Bond, Accident & Health, Life, Casualty, Property, Variable'. It has a house icon next to it. The second box is for 'West Virginia' (selected with a checkmark) and lists 'Surety'. At the bottom, there is a 'PREVIOUS' button on the left and a 'NEXT' button on the right, with a red arrow pointing to the 'NEXT' button.

## Step 3: Training

On this step if there are any training requirements they will be shown at the top of the page. In the example below, the producer has already uploaded their AML training information which has satisfied the requirement for the carrier. If this information is missing and is required, it will have to be fixed before you'll be able to proceed. You may use the [Training Concierge](#) to have SureLC automatically retrieve training information from the available providers. Select **Next** to continue.

The screenshot shows the 'Training' step in a web application. The breadcrumb trail at the top reads 'Contracting Requests > Transamerica TLIC / TPLIC (Brokerage) > Training'. A sidebar on the left contains a progress list with seven items: '1 Carrier & Request Type', '2 States & Products', '3 Training' (highlighted), '4 Errors & Omissions', '5 Carrier Questions', '6 Questionnaire', and '7 Review & Sign'. The main content area is titled 'Training Concierge'. At the top, there is a yellow warning banner that says 'Please review the information on the Training screen. Select NEXT to confirm and continue.' Below this, there is a section 'Add New Accounts' with a list of providers: 'WebCE, Inc.', 'LIMRA', 'SuccessCE', 'Sandi Kruse, Inc.', 'QuestCE, Inc.', 'A.D. Banker', 'RegED, Inc.', and 'AHIPorg'. Below the providers, there is a section 'AHIP (Medicare)'. At the bottom, there is a red-bordered box containing the text 'Anti-Money Laundering' with a green checkmark, followed by 'QUEST CONTINUING EDUCATION SO...' and '08/01/2020'. Below this, there is a green-bordered box containing the text 'Transamerica TLIC / TPLIC (Brokerage) requires proof of AML training completion within 2 years prior to submitting new business for covered products.' At the bottom, there is a 'PREVIOUS' button on the left and a 'NEXT' button on the right, with a red arrow pointing to the 'NEXT' button.



## Step 4: Errors & Omissions

Some carriers and agencies require producers to have Errors & Omissions insurance. In the following example, the producer already has an active E&O policy. When E&O coverage is required and no policy information has been added to the producer profile it can be added here. Review the information shown, make sure the requirements have been met, and then select **Next** to continue.

Contracting Requests > Transamerica TLIC / TPLIC (Brokerage) > Errors & Omissions

JB

✓ Most carriers require E&O coverage. Please verify that the coverage shown below is correct.

1 Carrier & Request Type  
2 States & Products  
3 Training  
4 Errors & Omissions  
5 Carrier Questions  
6 Questionnaire  
7 Review & Sign

**Individual E&O Policy**  
Active

Starting	08/01/2020	Policy#	EOC225445680	Case Limit	\$1,000,000
Expiration	08/01/2021	Certificate#	N/A	Total Limit	\$1,000,000
Carrier	Zurich American Ins Co				
Broker	CalSurance				

✓ E&O certificate is attached

PREVIOUS

NEXT

## Step 5: Carrier Questions

Review all the carrier questions and provide answers as necessary. Required questions are shown in red. Once all the required questions have been answered, select **Next** to continue.

Contracting Requests > Miscellaneous

JB

1 Please answer the remaining questions.

1 Carrier & Request Type  
2 States & Products  
3 Training  
4 Errors & Omissions  
5 Carrier Questions  
6 Questionnaire  
7 Review & Sign

**Carrier Questions**

1 NEW BUSINESS: Do you have new business to submit? ☐ Yes ☐ No

COMPANY APPOINTMENT REQUEST (Select ALL that apply): Transamerica Casualty Insurance Company ☐ Yes ☒ No

COMPANY APPOINTMENT REQUEST (Select ALL that apply): Transamerica Life Insurance Company ☐ Yes ☒ No

COMPANY APPOINTMENT REQUEST (Select ALL that apply): Transamerica Financial Life Insurance Company ☐ Yes ☒ No

Have you been convicted of, or pled guilty or nolo contendere (no contest) to a felony or misdemeanor involving: insurance, investments or a related business, fraud, false statements or omissions, wrongful taking of property, or bribery, forgery, counterfeiting or extortion, or breach of trust? ☐ Yes ☒ No

Do you have any outstanding or unsatisfied collections, judgments and/or liens, including tax liens, totaling \$50,000 or more? ☐ Yes ☒ No

PREVIOUS

NEXT

## Step 6: Questionnaire

This step asks additional background-related questions that are required in order to submit a contracting request for the selected carrier. These questions provide important background information to the carrier about you (the producer). After reviewing ALL questions, select **Next** to confirm that all answers are current and accurate, and to continue.

The screenshot shows the 'Questionnaire' screen within the 'Contracting Requests' section. A yellow banner at the top reads: 'Please review the information on the Questionnaire screen. Select NEXT to confirm and continue.' The left sidebar lists steps 1 through 6, with 'Questionnaire' selected. The main area contains five questions, each with 'Yes' and 'No' radio button options. All 'No' options are selected.

**Questionnaire**

1 Have you ever been charged or convicted of or plead guilty or no contest to any Felony, Misdemeanor, federal/state insurance and/or securities or investments regulations and statutes? Have you ever been on probation? ☐ Yes ☒ No

2 Does any insurer, insured, or other person claim any commission chargeback or other indebtedness from you as a result of any insurance transactions or business? ☐ Yes ☒ No

3 Have you ever had an insurance or securities license denied, suspended, cancelled or revoked? ☐ Yes ☒ No

4 Has any state or federal regulatory body found you to have been a cause of an investment OR insurance-related business having its authorization to do business denied, suspended, revoked, or restricted? ☐ Yes ☒ No

5 Has any regulatory body ever sanctioned, censured, penalized or otherwise disciplined you? ☐ Yes ☒ No

At the bottom, there is a 'PREVIOUS' button on the left and a 'NEXT' button on the right, with a red arrow pointing to the 'NEXT' button.

## Step 7: Confirm & Sign

On this final step you must review the completed forms. Scroll ALL the way down to the bottom of the page to enable the **Apply My Signature** button. Select the button to continue.

**Note:** Some carriers may have an additional Signature step that requires you to Review and Sign additional forms. Follow these same instructions on that page, if applicable.

The screenshot shows the 'Confirm & Sign' screen within the 'Contracting Requests' section. A red box highlights a message: 'Please read & scroll to the bottom of the screen. Select APPLY MY SIGNATURE to confirm and submit this request.' The left sidebar lists steps 1 through 7, with 'Review & Sign' selected. The main area displays the 'TRANSAMERICA' logo and 'Important Information' section, including 'New Business Applications' and 'Pre-Appointment States'. The bottom of the page features a 'PREVIOUS' button on the left and an 'APPLY MY SIGNATURE' button on the right, with a red arrow pointing to it.

**TRANSAMERICA**

**Important Information**

**New Business Applications**

To help expedite new business applications submitted simultaneously with agent appointment paperwork, please include the following information and return with your appointment paperwork:

Agent Name JAMES A BROWN, Jr.

Client Name \_\_\_\_\_

Date new business application was signed \_\_\_\_\_

State in which the application was signed \_\_\_\_\_

State in which the client resides \_\_\_\_\_

Type of business written \_\_\_\_\_

**Pre-Appointment States**

The following states require an appointment at the time of solicitation:

At the bottom, there is a 'PREVIOUS' button on the left and an 'APPLY MY SIGNATURE' button on the right, with a red arrow pointing to the 'APPLY MY SIGNATURE' button.

Read the signature attestation and then select **Sign** to compete and submit the contracting request.

Contracting Requests > Confirm & Sign

JB

Select APPLY MY SIGNATURE to confirm and submit this request.

10/3/2018

THAT THE ABOVE NAMED HAS COMPLETED

Anti-Money Laundering: Customer Identification Programs, Red Flags, Everyday Scenarios and Enforcement Cases (FE INT)

Apply Your Signature

By selecting SIGN, I, JAMES BROWN, agree to adopt the electronic representation of my signature for all purposes when used on documents, including legally binding contracts, just the same as a pen-on-paper signature. I acknowledge that I am familiar with, and agree to be bound by, [SuranceBay's SureC™ SaaS Terms of Use](#).

Today's date - 11/24/2020

CANCEL SIGN

PREVIOUS APPLY MY SIGNATURE

Once the request is submitted, you'll be taken back to the **At Producer** tab and the following message will be shown. You may choose to download a copy of the signed paperwork from here.

All Done

Thank you for your contracting request. It has been submitted and you will be contacted if anything further is necessary. You can save a signed copy by clicking the 'Download' button below.

NO, THANKS DOWNLOAD

The request you just submitted will now be listed on the **AT BGA** tab on the **Contracting Requests** page. Your agency will contact you if they have any questions or updates.

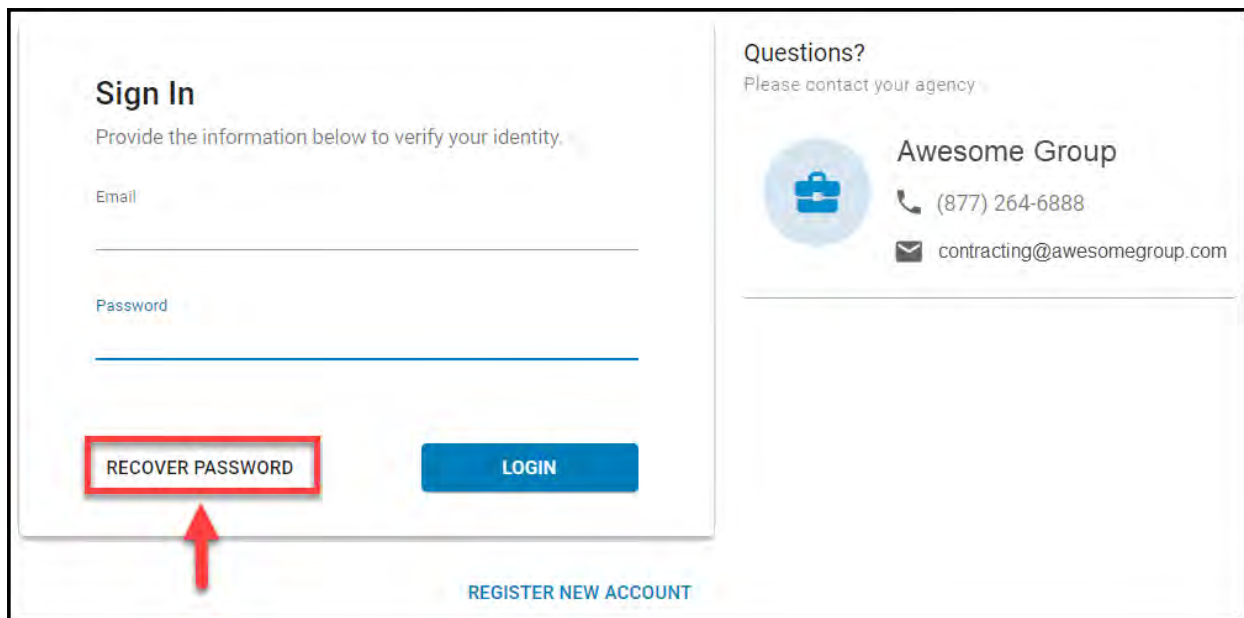
## 8) Using "Account & Settings" in SureLC

This article explains how to use the Accounts & Settings section of the user options menu within SureLC. From this section users can perform the following actions:

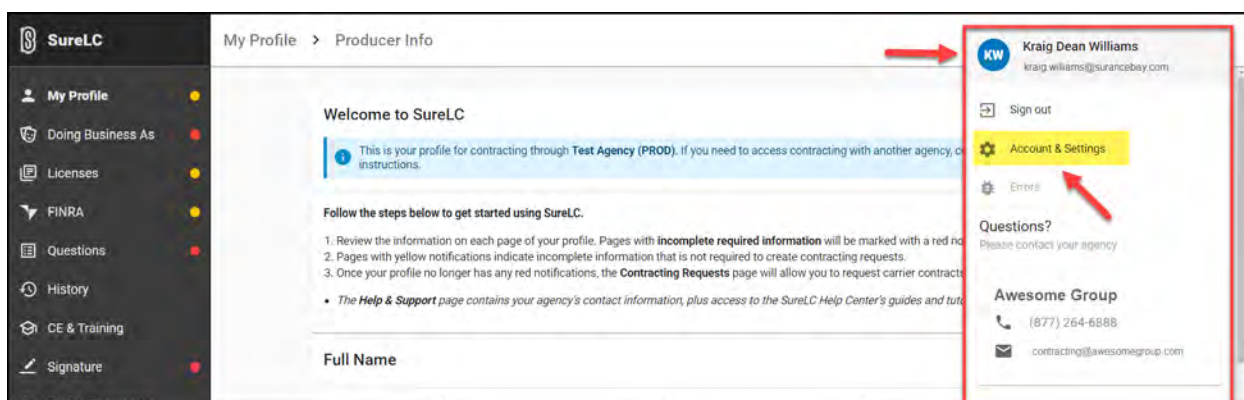
- Login to your SureLC Profile
- Change your User ID
- Change your Password
- Delete your account

### Login to your SureLC Profile

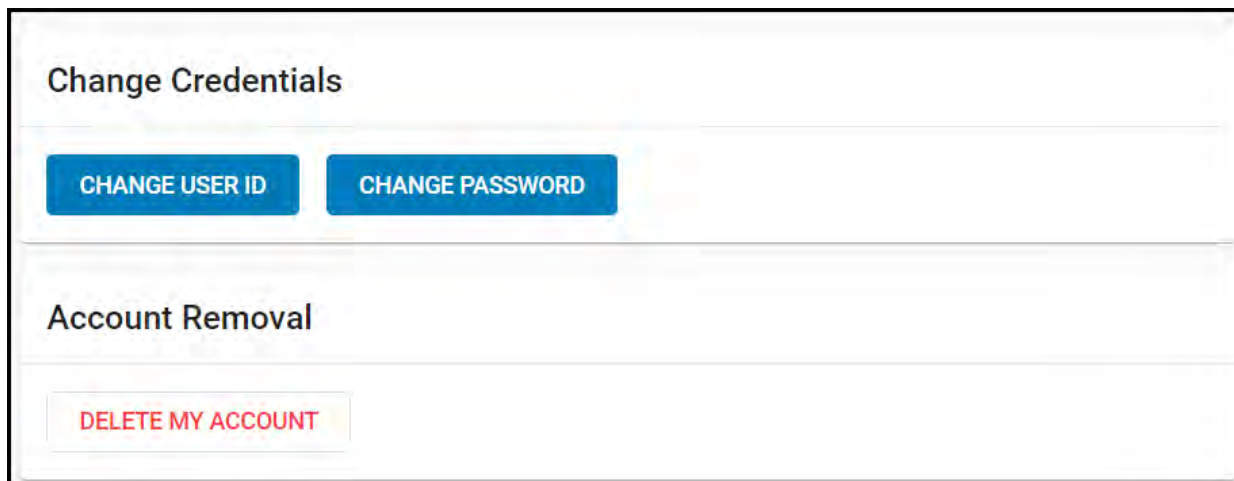
If you don't know your logon credentials, or forgot your password click **Recover Password** and follow the prompts to get the password reset. Click [HERE](#) for complete instructions on resetting your SureLC password.



Open the user options menu on the top right by selecting the button with your initials and then select **Account & Settings**.



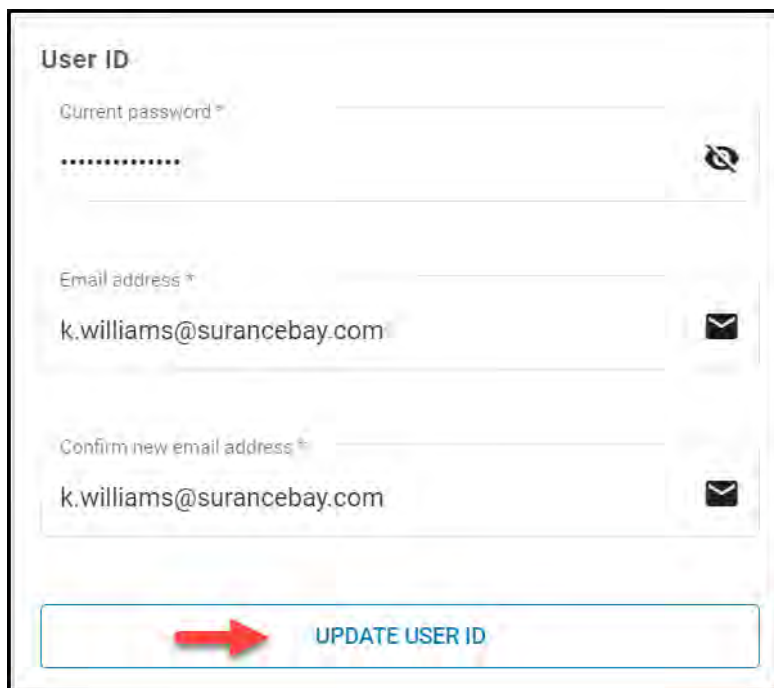
From the Account & Settings page you can change your login user ID or password or delete your account.



The screenshot shows a user interface with two main sections. The first section, titled "Change Credentials", contains two blue buttons: "CHANGE USER ID" and "CHANGE PASSWORD". The second section, titled "Account Removal", contains a red button labeled "DELETE MY ACCOUNT".

## Change your User ID

Select **Change UserID** to change the email address used to log into your SureLC Profile. Enter the password associated with this profile, then enter the new email address. Enter it a second time to check for accuracy and then select **Update User ID** to finish.



The screenshot shows a form titled "User ID" with three input fields and a final button. The first field is "Current password \*" with a masked password "\*\*\*\*\*" and a toggle icon. The second field is "Email address \*" with the value "k.williams@surancebay.com" and an envelope icon. The third field is "Confirm new email address \*" with the same value and an envelope icon. At the bottom is a button labeled "UPDATE USER ID" with a red arrow pointing to it.

Once completed, the email address you entered will be the UserID email you'll use to log into your profile.

**Please Note:** Changing the User ID email here ONLY changes it for the SureLC profile under this agency. If you have other SureLC profiles with other agencies this will have no impact on those profiles.



# Change your Password

On the **Accounts & Settings** page, select **Change Password**. Enter the current password, then enter the new password, being sure to follow all password creation rules. Once complete, select **Update Password**.

**Password**

Current password \*

.....

New password \*

.....

**Required rules for a new password:**

- ✓ At least 8 characters long
- ✓ Contains uppercase letters
- ✓ Contains lowercase letters
- ✓ Contains digits
- ✓ Contains special character or punctuation
- ✓ Different than your previous 13 passwords
- ✓ Must not match your User ID


**UPDATE PASSWORD**

**Please Note:** This only changes the password for this profile under this agency. If you have multiple SureLC profiles across several agencies, you must login to each profile separately to change those passwords.


# Delete your Account

On the **Accounts & Settings** page, select **Delete My Account**. If you are registered with multiple agencies, you'll be asked if you want to remove your profile from just this one agency or from all of them. Be cautious and select the appropriate option.

### Account Removal Request

 The SureLC Producer Account Removal Policy is described [here](#).

You are currently logged in to your SureLC account with **Test Agency (PROD)**.  
You are also registered in SureLC with 1 more agency.

 **WARNING:**All your personal information will be removed from the system. You will not be able to submit any contracting paperwork or receive licensing, training, and other compliance notifications from SureLC through any and all accounts which you chose to delete.

After selecting one of the options to remove your account a warning message will be shown. Select **Yes** to continue and remove your account.

### Warning. This action cannot be undone!

Are you sure you want to remove your account from Awesome Group?

It will no longer be accessible, but the associated data might be archived and stored for the compliance purposes.

Once your account has been deleted the following confirmation message will be shown.

### Producer record removed

Your producer account was successfully removed from Awesome Group

Thank you for using our system.

**Please Note:** Removing your profile here does not remove other SureLC profiles you have at other agencies (unless you chose to remove yourself from all agencies).