

Agencies

Compliance Management System Generation 2™ (CMS G2™)

Employment Management Module

The Key to Your Producer Network

The Employment Management Module (EMM) is the hub of the leading compliance network. EMM is a more efficient way to contract with one or multiple carriers and reduce excessive data entry by electronically populating data fields. EMM's powerful and flexible workflow engine connects producers, agencies, banks/broker dealers and carriers, accelerating the onboarding process for today's complex distribution network.

Key Functions:

- Appointment confirmations back from Carriers electronically
- Capture data electronically
- Efficiently complete pre-hire forms
- Complete and authorize producer contracts
- Online producer access through the Producer Portal
- Create multiform bundles for producers
- Initiate and process transactions for appointment request, termination request and nonresident license applications

EMM is the solution to streamline the workflow for the contracting process. Populate documents such as Company Data Sheets (CDS) and carrier contracts by completing online interviews. It supports the collection of documents such as proof of CE course completions, copies of active licenses and proof of E&O insurance coverage.

The PDB queries, background investigation, completed CDS and other supporting documents are electronically submitted to the Carrier workflow queue via EMM. In addition, the option to fax in supporting documents is available.

Producer Portal

An Industry First in Producer Self-Service

The CMS G2 Producer Portal is the next step in completing the compliance network.

Producer Portal is the place where producers can communicate with all of their participating insurance carriers and firms from one site.

When CMS G2 insurance companies and agencies subscribe to the Producer Portal, producers can communicate with carriers electronically. Carriers can view their compliance documents to eliminate delays in processing.

The producer can manage, view status and history and respond to workflow action items. The producer can also initiate change of address forms.

Producers have the option to view the following:

- Personal information
- Licenses and qualifications
- Appointments
- Firm and branches
- Supervisors and subordinates
- Insurance continuing education (current period)
- Insurance continuing education (previous period)
- Securities continuing education
- Assigned curricular

Database Module

The Database That's Built for Compliance

The Database Module has unique features that bring value and strong benefits to the Agency. DBM offers access to robust compliance tracking, including demographic information, insurance qualifications, licenses, carrier appointments, continuing education requirements and more. DBM has PDB import capabilities and also can receive FINRA download information to make it easy to keep your securities information up to date.

Producer Profile

The profile page includes both general and specific information. The system captures contact information as phone numbers and addresses. Each address record includes a purpose field to indicate if the address applies to insurance or securities. Profiles pages are available for individuals, firms, branches and carriers.

Hierarchical Views

Track unlimited associations including :

- Individual to individual
- Individual to firm/agency (firm associations and firm personnel)
- Individual to branch (branch personnel)

Ad Hoc Reporting

A flexible tool that allows you to create, configure and save reports to meet your ever changing reporting needs.

Professional Designation and Employment History

Track designations such as Certified Financial Planner (CFP), CLU and ChFC.

Reminders and System Notifications

The Database can generate automated email notifications for immediate or future delivery, such as “License Renewal Due” and “Insurance CE Due.”

CE Tracking

View CE requirements based on state regulations and track course enrollments and completions.

Correspondence and Communication Tracking

The Database automatically logs every email notification sent to an individual and tracks other correspondence.

Mass transfer of Individual between Supervisors

Select a supervisor and transfer some or all of the subordinates to another supervisor. This greatly eases the administrative work load created by today’s highly mobile work force.

Incremental Export from CMS G2 Database

Request an export of the database to feed your legacy systems or data warehouse for reporting. This provides integration between the database and your internal system.

Incremental Import of Client Data

Import data from your internal Human Resources database via secure FTP transfer. Fields included are name/profile, address, phone, email and employment status.

Interfaces

CMS G2 incorporates two main modules: Employment Management Module (EMM) and the Database Module (DBM). EMM handles data collection and transaction processing. DBM is the database that manages the compliance details.

In addition to the currently available interfaces, the CMS G2 roadmap also includes the following:

- Integration with Imaging Solution
- Licensed and Active (L&A) Inquiry and “Can Sell” Lookup
- Single Sign-On Using SAML Standard

Education Module

Keep your producers selling

The Education Module of CMS G2 helps you stay compliant by tracking each representative’s current requirements and progress through firm element, regulatory element curricula and CE programs. The Education Module is fully integrated with Kaplan learning platforms to offer the best-of-breed solution in compliance education. CMS G2 also has the ability to integrate with third party learning platforms.

Key Functions:

- Track CE review periods and CE requirements
- Track course completions, education providers, state approvals and learning events
- Identify CE exemptions
- Create curricula based on Firm Element programs, state rules for CE and associate courses
- Individual education reports
- Database Module exports
- Email notifications

Continuing Education tracking

Other features include tracking company-specific training programs and state-specific training requirements such as long-term care, anti-money laundering and California annuities.

Reports, exports and email notifications

The Education Module provides additional valuable tools such as:

- Individual Education Inquiry Report
- Carry Over Hours Report
- CE Periods Pending Verification and Completion Report
- System Processing Report for Course Completions entered by Course
- DBM Export includes:
 - FINRA™ Exam fields: Exam, Status, Grade, Score, Status Date, Exam Date, Exam Window Start Date, Exam Window End Date and Last FINRA Update Date
 - FINRA CE Requirements fields: CE Requirement, Window Start Date, Window End Date, Status, Completion Date and Result Code
 - Insurance CE fields: State, License, CE Period Start and End Date, Status, Status Date, Customer Verified and the Last Customer Verified User ID
- Email notifications are supported for FINRA CE Due, FINRA Exam Window, Insurance CE Due, Insurance CE Incomplete and License Termination for non-compliance of CE

Producer Data Validation Service

Compare your data against the NIPR Producer Database

Standard PDV Service

You provide a file with producer information, including Social Security numbers, names, carriers, states and specific license information (i.e., license numbers, insurance lines and renewal dates). We will match this information with the PDB and report any discrepancies.

Based on the information you provide us, we can match:

- Licensed state
- License status
- License effective date
- License renewal date
- Insurance lines
- Carrier appointment
- Appointment status
- Appointment effective date

Discrepancies found are provided in an easy-to-read report that shows the detail of the data disparities.

Deluxe PDV Service

The Deluxe Service provides the matching described in the Standard Service, but also checks the PDB to see if any additional producers are appointed with your company that you did not provide in your initial data file. If so, the license and appointment data is provided for your review. For producers in your initial file who may be missing information which is maintained on the PDB, the Deluxe Service will provide that data in a report.

What's In It for You?

PDV Service is a quick and easy way to ensure that all producer data is complete, allowing for:

- Improved data integrity by ensuring that data on your system matches the PDB
- Reduced cost and reduced compliance risk by avoiding fines and license/appointment rejections due to incorrect or incomplete data

e-PAL

The #1 Online Reference Service in the Industry

Insurance requirements and regulatory forms are conveniently housed in one location. State rules, regulations, forms and fees are constantly changing. e-PAL Service from Kaplan Compliance Solutions is the original single-source electronic reference service for insurance licensing. With more than 1,500 users, e-PAL is the #1 reference service in the industry.

e-PAL offers access to insurance regulations and forms instantly. Here's how:

- Easy-to-use and new QuickGuide formats
- Current licensing forms, fees and payment options
- Instructions for obtaining the license or filing changes to the license
- Pre-license education and exam requirements
- Continuing education requirements
- Due dates and mailing addresses for submitting documents
- Renewal information
- Licensing information summaries

Reputable e-PAL Services:

- Life, Health and Variable Products
- Property-Casualty
- Credit
- Agency Licensing
- Provider Requirements for Prelicensing and/or Continuing Education
- Bank
- Limited Lines
- Adjuster
- Surplus Lines
- All-Lines (gives access to all services)

KAPLAN COMPLIANCE SOLUTIONS

Call 1-800-428-1344

To learn more about Compliance Management System Generation 2™ (CMS G2™) and other Kaplan Compliance Solutions products, visit www.kaplanccs.com.