



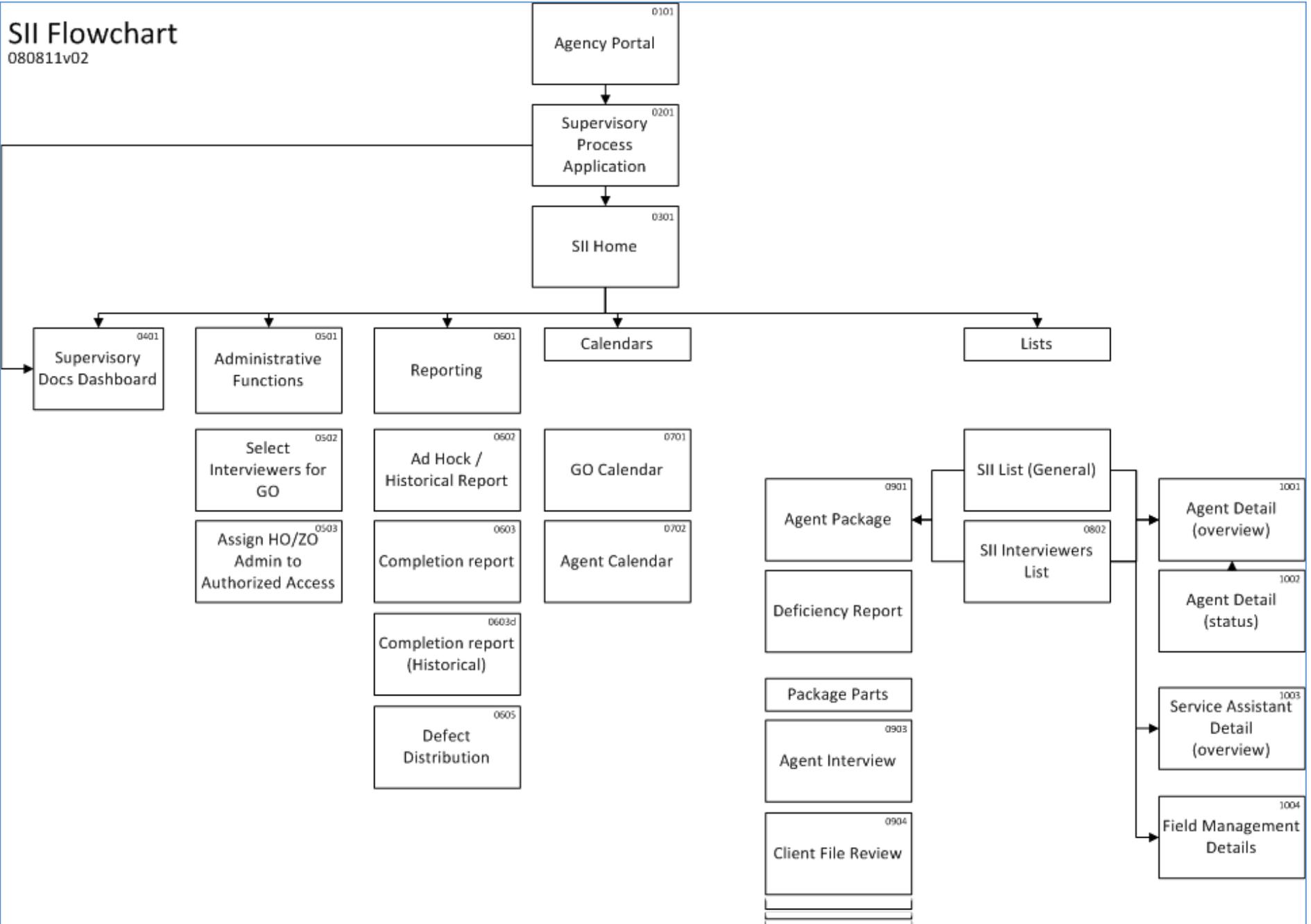
SII APPLICATION: ITERATION.2B

PREPARED BY THE CORPORATE INFORMATION USABILITY GROUP

August 08, 2011

SII Flowchart

080811v02





Agency Portal

- Home
- My Workspace
- Resources
- Career Development
- News

- DASHBOARD
- TOOLBOX
- BOOKMARK THIS
- MY FAVORITES

Agency Standards Consultants

- Home
- Reference Material

SPA Page Link

In the Spotlight

Message Board

Portal Page



Supervisory Process Application



Lorem ipsum dolor sit amet, consetetur sadipscing elitr, sed diam nonumy eirmod tempor invidunt ut labore et dolore magna aliquyam erat, sed diam voluptua.

At vero eos et accusam et justo duo dolores et ea rebum. Stet clita kasd gubergren, no sea takimata.

At vero eos et accusam et justo duo dolores et ea rebum. Stet clita kasd gubergren, no sea takimata sanctus est ipsum dolor

Notices:

Bill Morrison's 30th Anniversary party this Wednesday the 15th! Remember to schedule IP SIIs for this quarter.

At vero eos et accusam et justo duo dolores et ea rebum. Stet clita kasd gubergren, no sea takimata sanctus est ipsum dolor sit amet.

Duis autem vel eum iriure dolor in hendrerit in vulputate velit esse molestie consequat, vel illum dolore eu feugiat nulla facilisis

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Application Tips:

TIP At vero eos et accusao duo dolores et ea rebum. Stet clita kasd guber gren amet.

TIP Duis autem vel eum iriure dolor in hendrerit in vulp utate velit esse moles tie cons at

TIP Jt vero eros et accumsan et iusto odio dignissim qui blandit praesent lupt atum zzrilu.

Application Links:

[Supervisory Docs Dashboard](#)

[GO Events Dashboard](#)

[SII Application](#)

[3010 Application](#)



Welcome to the SII Homepage!

This page is your gateway to manipulating the supervisory processes for your General Offices. From this page you will be able to schedule, complete, follow-up, and track the SIIs for your GOs.

What you are looking at is the first phase of a significant project that will change the way the SII process works and will assist you in working more effectively by automating several parts of the process and eliminating most of the paper forms and reports.

At a higher level this project will allow us to accumulate and analyze

Alerts:

	Date	Agent	Alert
<input type="checkbox"/>	7-27-11	Tender.T	New Agent
<input type="checkbox"/>	7-26-11	Hue.J	AgentTerminated
<input type="checkbox"/>	7-26-11	Baker.J	New RR
<input type="checkbox"/>	7-20-11	Hue.J	RR Rescinded

Acknowledge

Your SII List

Admin

Reports

SII Notices:

A reminder that the ECPS CAR report must be dated within 30 days of the interview date.

Several of you have asked about the new question related to fiduciary roles. New guidance to agents and employees is contained in the recent Field News for agents.

Remember that the SII objective for the end of September is 75%



SII



Home > Supervisory Docs Dashboard

Boston ▼
All ▼
[] ▼
All ▼
All ▼
All ▼

Name	GO	Title	Business Location	Package	Questionnaire	3010
Smith. John	New Hampshire	Agent	-	Not Needed	Not Needed	Not Needed
Cotton. Joyce	New Hampshire	Agent	-	Needed	Needed	Needed
McGowan. Felix	Boston	Agent	-	Approved	Completed	Needed
McGowan. Felix Jr.	New Hampshire	Agent	-	Closed	Completed	Completed
Dillard. Emerson	Boston	M Partner	-	Closed	Needed	Needed
Lancaster. Amy	Boston	Partner	-	Closed	Completed	Completed
Lancaster. Richard	Boston	Agent	-	Closed	Completed	Completed
Lange. Bobby	Boston	Agent	-	Submitted	Completed	Needed
List. Edward	Boston	Agent	-	In Progress	Completed	Completed
Trayner. Dennis	Boston	ASC	-	Not Needed	Completed	Not Needed
Marshal. Sam	Boston	Agent	-	Completed	Completed	Completed
Barry. Michael	Boston	Agent	944b Main	Needed	Needed	Needed
Barry. Michael	Boston	Agent	101 Federal St	Completed	Completed	Completed
Richardson. Richard	Boston	Agent	-	Approved	Completed	Completed

0401

Supervisory Docs Dashboard



SII



[Home](#) > Administrative Functions

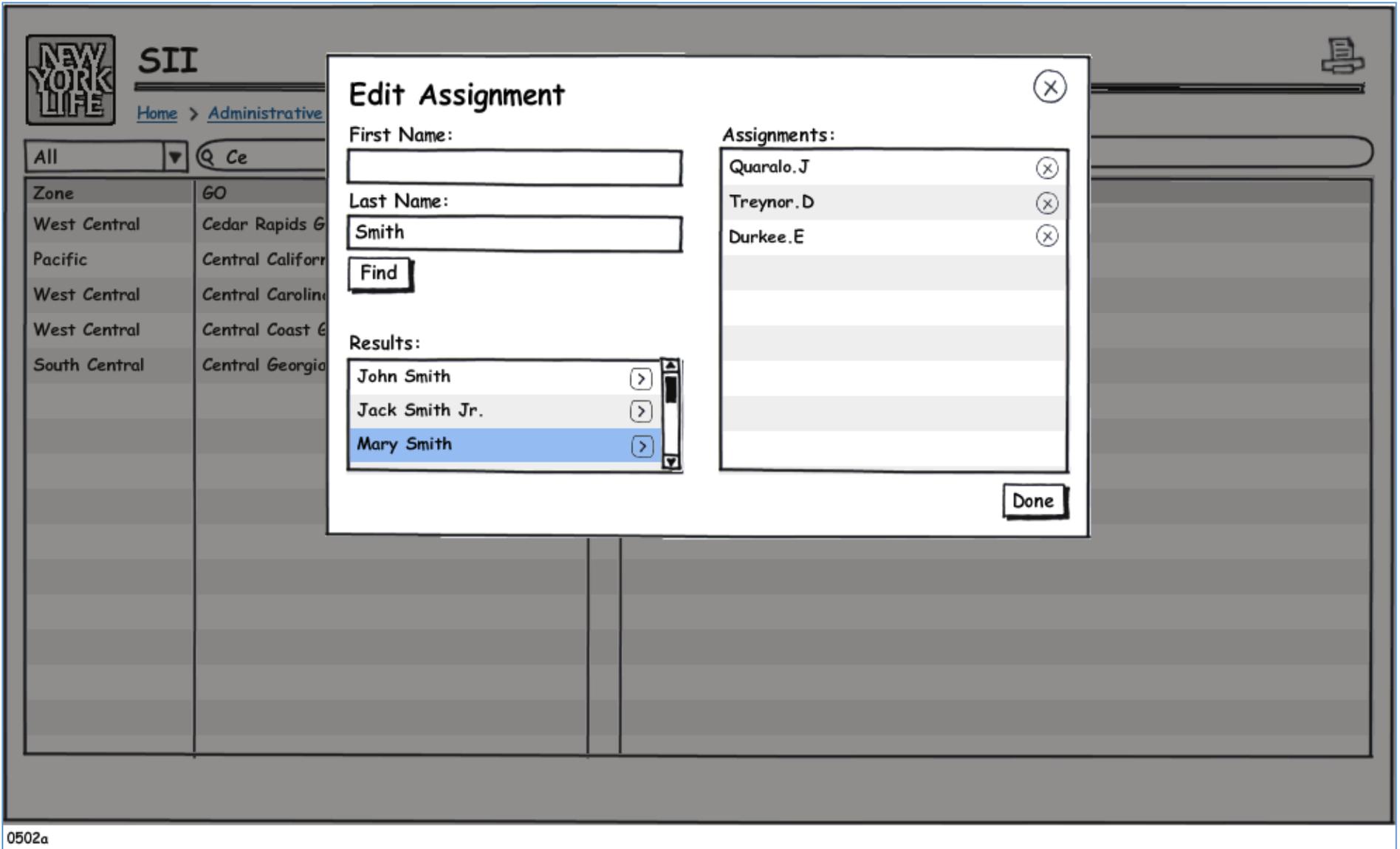
Using the Administrative Functions is limited to authorized users. These functions are intended to allow people to make changes to parameters used by the SII application.

[Select Interviewers for a GO](#)

[Assign ASC / GO Coverage](#)

[Assign Home Office / Zone Admin to Authorized Access](#)

Administration landing page



Edit/Add Assignment

Click on pencil icon to bring up editing assignment modal window. Users can search, add and remove assignments



All

Name	Level	
Morrison, Bill	Home Office: View	
Cotton, Joyce	Home Office: Admin	
Cotton, Joyce	Zone: NorthEast	
McGowan, Felix	Home Office: View	
Dillard, Emerson	Zone: NorthEast	
Lancaster, Amy	Home Office: View	
Lancaster, Richard	Zone: NorthEast	
Lange, Bobby	Zone: NorthEast	
<input type="text"/>	<input type="text"/>	

Add

Assign HO/ZO administration

Clicking on icon brings up modal window with search for users to add.



SII



[Home](#) > Reporting

Reporting, uis autem vel eum iriure dolor in hendrerit in vulputate velit esse molestie consequat, vel illum dolore eu feugiat nulla facilisis at vero eros et accumsan et iusto odio dignissim qui blandit praesent luptatum zzril delenit au

[Report Creator](#)

[Completion Report](#)

[Completion Report: Historical](#)

[Defect Distribution](#)

[Unfinished Buiness](#)

Reporting Landing page



Add fields to report criteria or choose a saved report to create a tab seperated file.

Historical:

Date Range:

is

is

Saved Reports:

- Event Report
- Zone Report
- Year over Year
- Missing Admin Report

Report Builder

Build a custom search using a historical or date range perspective with the ability to save search parameters for future use. Reports create tab separated excel friendly files and are not displayed within the application.



SII



Home > Reporting > Completion Report

Zone	I-type	SIIs	Remaining	%	#IP SIIs	Complete	Deficiencies	% Resolved
▶ NorthEast	Totals	4000	2000	50	25	12	120	25
▶ Pacific	Totals	2500	1000	40	15	10	100	32
▶ SouthCentral	Totals	20	20	0	0	0	0	0
▶ WestCentral	Totals	3000	1500	50	30	30	300	10
Total		9520	4520	47%	70	52	520	27%

Completion Report

Completion Report rolls up to Zone (shown). Clicking on the zone takes the user to the GO's in the zone. Clicking on the arrow displays the i-types for the zone.



SII



Home > Reporting > Completion Report

Zone	I-type	SIIs	Remaining	%	#IP SIIs	Complete	Deficiencies	% Resolved
▼ NorthEast	Totals	4000	2000	50	25	12	120	25
	ASC	1000	500	50	5	6	40	25
	M Partner	1000	500	50	5	3	20	25
	Partner	1000	500	50	5	3	20	25
	Development	1000	500	50	10	3	40	25
▶ Pacific	Totals	2500	1000	40	15	10	100	32
▶ SouthCentral	Totals	20	20	0	0	0	0	0
▶ WestCentral	Totals	3000	1500	50	30	30	300	10
Total		9520	4520	47%	70	52	520	27%

Completion Report

Shown is a blowout of the i-types.



SII



Home > Reporting > Completion Report > NorthEast

△	GO	I-type	SIIs	Remaining	%	#IP SIIs	Complete	Deficiencies	% Resolved
▼	Albany	Totals	400	200	50	25	12	120	25
	Albany	ASC	100	50	50	5	6	40	25
	Albany	M Partner	100	50	50	5	3	20	25
	Albany	Partner	100	50	50	5	3	20	25
	Albany	Development	100	50	50	10	3	40	25
▶	Boston	Totals	400	200	50	25	12	120	25
▶	Brooklyn	Totals	400	200	50	25	12	120	25
▶	Buffalo	Totals	400	200	50	25	12	120	25
▶	Connecticut Valley	Totals	400	200	50	25	12	120	25
▶	Constitution	Totals	400	200	50	25	12	120	25
▶	Finger Lakes	Totals	400	200	50	25	12	120	25
▶	Greater Philadelphia	Totals	400	200	50	25	12	120	25
▶	Greater New York	Totals	400	200	50	25	12	120	25
Total			4000	2000	50	25	12	120	25

Completion Report

Shown are the GOs in the zone. Clicking on the arrows show the i-types for the GO. Clicking on the up arrow takes the user back to the Zone view. Clicking on the GO name shows the historical perspective of the GO.



SII



Home > Reporting > Completion Report > NorthEast

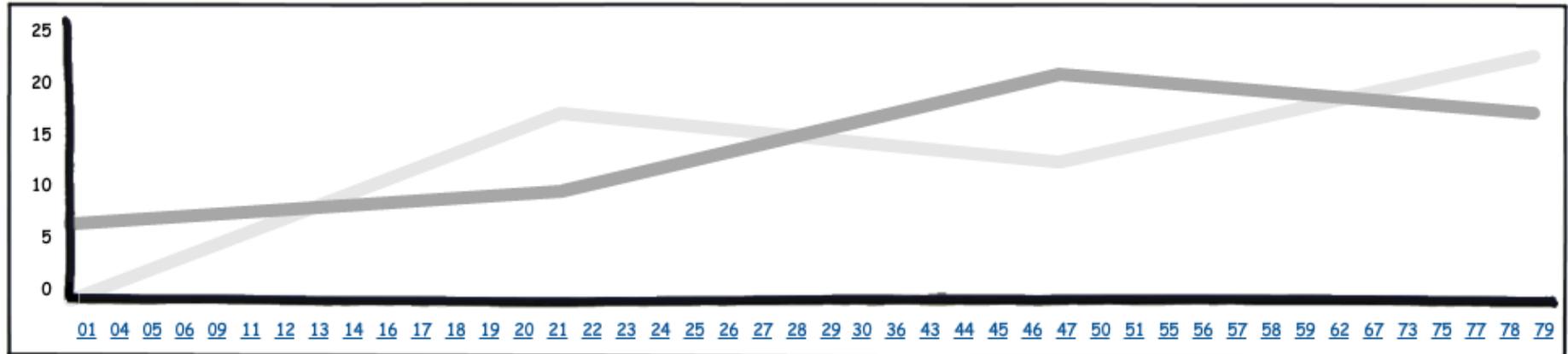
GO	I-type	SIIs	Remaining	%	#IP SIIs	Complete	Deficiencies	% Resolved
Albany	ASC	100	50	50	5	6	40	25
Boston	ASC	100	50	50	5	6	40	25
Brooklyn	ASC	100	50	50	5	6	40	25
Buffalo	ASC	100	50	50	5	6	40	25
Connecticut Valley	ASC	100	50	50	5	6	40	25
Constitution	ASC	100	50	50	5	6	40	25
Finger Lakes	ASC	100	50	50	5	6	40	25
Greater Philadelphia	ASC	100	50	50	5	6	40	25
Greater New York	ASC	100	50	50	5	6	40	25
Harrisburg	ASC	100	50	50	5	6	40	25
Hudson Valley	ASC	100	50	50	5	6	40	25
Long Island	ASC	100	50	50	5	6	40	25
Maine	ASC	100	50	50	5	6	40	25
Manhattan	ASC	100	50	50	5	6	40	25
Total		4000	2000	50	25	12	120	25

Completion Report

Shown is a view filtered by the ASC I-type within the NorthEast GOs.



Zone: GO: File Type:



Q#	Question	Deficiencies	Cycle
01	What re eu feugiat nulla facilisis et justo duo dolores et ea rebum. Stet at ve...	22	2011
02	Ldio dignissim qui blandat nulla facilisis et justo duo dolorea rebum. Stet at ve...	0	2011
03	Lsan et iusto odio dignissim qui blando dolores et ea rebum. Stet at ve...	0	2011
04	Kan et iusto odio dignissim qui blando duo dolores et ea rebum. Stet at ve...	8	2011
05	e eu feugiat nulla facilisis et justo duo dolores et ea rebum. Stet at ve...	4	2011

Defect Distribution

Switching file type changes to the view selected. Chart shows only questions with defects. Defect table shows all questions including ones with 0 deficiencies. User can change cycle to view other years.



NorthEast

Zone	GO	Deficiencies	
NorthEast	Albany	34	
NorthEast	Boston	5	
NorthEast	Brooklyn	22	
NorthEast	Buffalo	5	
NorthEast	Connecticut Valley	5	
NorthEast	Constitution	9	
NorthEast	Finger Lakes	5	
NorthEast	Greater Philadelphia	5	
NorthEast	Greater New York	5	
NorthEast	Harrisburg	6	
NorthEast	Hudson Valley	3	
NorthEast	Long Island	3	
NorthEast	Maine	3	
NorthEast	Manhattan	0	
NorthEast	New Hampshire	0	
NorthEast	New Jersey	0	

Defect Distribution detail

View shown after question detail link is clicked.



SII



Home > (...) List > Agent Calendar

ASC Calendar

GO Calendar

◀ June 2011 ▶

			Smith.H Li.F Miller.Q	Sapru.C Bonner.R	White.R Oak.R John.J	
			Summers.R		Bonner.R	
	Yorgo.G SouSou.R			Storm.R Smith.R		
	Eigoner.R Josephson. Crespi.T			Pontasko Smolenski Marsh.K	Orange.A	
		Speigle.E Amy.Frank Moralez.F	Blue.R			

Agent	Location	Date
Smith.H	Albany	06/01/11
Sapru.C	Albany	06/02/11
White.R	Albany	06/02/11
John.J	Albany	06/02/11
Koner.R	Albany	06/10/11
Yorgo.G	Albany	06/13/11
SouSou.R	Albany	06/13/11
Storm.R	Albany	06/16/11
Eigioner.R	Albany	06/20/11
Josephson.R	Albany	06/20/11
Crespi.T	Albany	06/20/11
Pontaskowitz.A	Albany	06/23/11
Smolenski.D	Albany	06/23/11

+ Done

Unavailable
 Unconfirmed Date
 Confirmed Date

0701a

Agent Calendar



SII



Home > (...) List > Agent Calendar

ASC Calendar

GO Calendar

◀ June 2011 ▶

			Smith.H	Sapru.C	White.R	
				R	Oak.R	
					John.J	
					Bonner.R	
	Yorgo.G			R		
	SouSou.R			Smith.R		
	Eigoner.R			Pontasko	Orange.A	
	Josephson.			Smolenski		
	Crespi.T			Marsh.K		
		Speigle.E	Blue.R			
		Amy.Frank				
		Moralez.F				

- Add to Calendar:
- Marcus
 - Jones
 - Brown

Agent	Location	Date
Smith.H	Albany	06/01/11
Sapru.C	Albany	06/02/11
White.R	Albany	06/02/11
John.J	Albany	06/02/11
Koner.R	Albany	06/10/11
Yorgo.G	Albany	06/13/11
SouSou.R	Albany	06/13/11
Storm.R	Albany	06/16/11
Eigioner.R	Albany	06/20/11
Josephson.R	Albany	06/20/11
Crespi.T	Albany	06/20/11
Pontaskowitz.A	Albany	06/23/11
Smolenski.D	Albany	06/23/11

+ Done

Unavailable Unconfirmed Date Confirmed Date

0701b

Agent Calendar (item selected)



SII



Home > (...) List > Agent Calendar

◀ June 2011 ▶

Bonner.Richard

				Lorem ipsum dolor sit ame		
		Kem ipsum dolor sit ame		Admin		
	Jpsum dolor sit ame				Admin	

Agent	Location	Date
Bonner. R	Albany	06/16/11
Bonner. R	Albany	06/24/11

Done

 Unavailable  Admin Date Suggestion

Agent Calendar



All ▼

All ▼
All ▼
All ▼
All ▼
 Include Completed

	Name	GO	Title	WO	Admin	Interviews	Interviewe	Package	Defect	Remedie
<input type="checkbox"/>	Smith. John	New	Agent	-	Not	Not Needed	Trayner	None needed	0	0
<input type="checkbox"/>	Cotton. Joyce	New	Agent	-	Needed	Needed	Trayner	Not Created ⊕	0	0
<input type="checkbox"/>	McGowan. Felix	Boston	Agent	-	<input type="text" value="None Needed"/>	P Needed	Trayner	Not Created ⊕	0	0
<input type="checkbox"/>	McGowan. Felix	New	Agent	-	Needed	lot	Trayner	Not Created ⊕	0	0
<input type="checkbox"/>	Dillard. Emerson	Boston	M	-	Submitted	Scheduled	Smith	Not Created ⊕	0	0
<input type="checkbox"/>	Lancaster. Amy	Boston	Partner	-	Not	Scheduled	Smith	In Progress	0	0
<input type="checkbox"/>	Lancaster.	Boston	Agent	-	Submitted	<input type="text" value="None Needed"/>	Trayner	In Progress	3	0
<input type="checkbox"/>	Lange. Bobby	Boston	Agent	-	Submitted	Schedule	Trayner	In Progress	2	2
<input type="checkbox"/>	List. Edward	Boston	Agent	-	Submitted	On Leave	Trayner	Late	0	0
<input type="checkbox"/>	Trayner. Dennis	Boston	ASC	-	Not	.	Smith	Sent to	2	1
<input type="checkbox"/>	Marshal. Sam	Boston	Agent	-	Submitted	IP Completed	Trayner	Sent to Approver	0	0
<input type="checkbox"/>	Barry. Michael	Boston	Agent	944b Main St...	Submitted	Completed	Trayner	Signed	3	1
<input type="checkbox"/>	Barry. Michael	Boston	Agent	101 Federal K...	Submitted	Completed	Trayner	Closed	0	0

Interviewers List

Clicking on editable fields allows user to change value. Icon next to package “not created” allows user to create package. Mousing over the address shows full address. Clicking on name take user to status.



SII



[Home](#) > [SII List](#) > Agent Package

2011 SII Package for: [Richard Bonner](#),
Service Assistants: [Mary Jones](#), [Samantha Smith](#)

Created: 06/12/11 Scheduled: 07/18/11

Completed: 07/18/11 Closed:

- [Review Prior Year](#)
- [Review ECPS & Print ECPS](#)
- Use [12 Month Rolling Sales](#) to designate client files for inspection
- [Print form BOC for Registered Reps](#)

Attachments: [testdoc.pdf](#)

[Notes](#)

Package Part	Questions	Answers	Deficiency	Remedy	Attachments
Site Inspection for 000 Madison	20	20	0	-	
Site Inspection for 000 Lindon	20	19	1	1	
Agent Location	20	20	0	-	
ECPS & Stationary Review	20	20	0	-	BizCard.pdf ; LetterHead.pdf
Books and Records	20	20	0	-	
Client Files	100	30	0	-	
Agent Review	20	0	0	-	
SA Interview for D. Jones	10	10	3	2	
SA Interview for S. Smith	10	0	0	-	

Agent Package



SII



Home > Agent Package > Agent Interview

2011 SII Package for: [Michael Barry](#)

Created: 06/12/11 | Scheduled: 07/18/11

Question	Answer	<input checked="" type="checkbox"/>	Deficiency Note	<input checked="" type="checkbox"/>	Resolution Note	Responsible
Do you regularly make yourself available to meet with clients at any business location other than the location where this interview is being	Yes	<input checked="" type="checkbox"/>	Duis autem vel eum iriure dolor in hendrerit in vulputte	<input checked="" type="checkbox"/>	it esse molestie consequat, vel illum	Agent, GO, Both
Do you advertise any other location to the public in any way including signage telephone listings or listings in advertising or on stationery?	Yes	<input checked="" type="checkbox"/>	No OBA Registered	<input checked="" type="checkbox"/>		
Do you receive mail from clients at any location other than the location where this interview is being held?		<input checked="" type="checkbox"/>				
Do you have staff persons?		<input checked="" type="checkbox"/>				
What are the activities do they assist you with?		<input checked="" type="checkbox"/>				

Attachments:

Save

Exit

0903

Agent Interview

Answer field grows (vertically) when text is entered. To mark as deficiency, user clicks button, which activates fields for deficiencies, resolution indicator and resolution.



SII



Home > Agent Package > Client File Review

Client	Policy/Account	Deficiency Notes	Resolution Notes	Next File
<input type="text"/>	<input type="text"/>	<input checked="" type="checkbox"/> <input type="text"/>	<input checked="" type="checkbox"/> <input type="text"/>	

Y N n/a

- Did the file reviewed contain a complete copy of the application part I or the account application?
- Did the file reviewed conform to the Company rules for client file indexing including the separation of NYL & non-NYL products?
- Were copies of both the receipt for subsequent premiums and a copy of any funds received present for all subsequent premium transactions found in files?
- Was there any information in the file that was inconsistent with the Investor Profile Form?
- Did the file contain information referring to any DBA/OBA not previously disclosed to, and/or currently not approved by, NYL?
- Did the file contain any correspondence, or other sales material, not previously submitted to the Managing Partner, and /or not approved by SMRU as required or correspondence related to products of other companies written on letterhead or from an e-mail address not approved for that use?

Y N n/a

- Did the file contain any information that would indicate any state or Company suitability rules were not followed or NYL policies were replaced without proper replacement disclosures completed?
- Did the file contain any blank or partially completed signed, or completed original signed forms?
- Did the file contain evidence of underwriting irregularities or any violation of Company rules or procedures such as licensing or solicitation violations, including undisclosed solicitation by mail or e-mail?
- Did the file contain any medical information other than information obtained by the agent asking questions of the proposed insured and recording the information as a part of the solicitation and application process?

1 | 2 | 3 | 4 | 5 |

Attachments: JohnQ.pdf, diagram.pdf

Save **Cancel**

0904

Client Review

Each file has an individual bottom tab. User can add and remove files (tabs). Clicking next file will take user to next sequential file. Hovering over book icon shows reviewer instructions.



SII



Home > (...) List > Agent Overview Status

Bonner, Richard

Agent

Overview **Status**

Job Title: Agent

ID: 000000

General Office: Boston

Detached: Yes

First Time Contract Date: 10/15/57

Recruiter: Gerald Swift

Stationary Waver:

Doing Business As:

Outside Business Activities:

Branch Offices:

add +

944b Main Street Walpole MA	508-660-2098	
101 Federal St Suite 1900 Boston MA	516-555-1212	

Service Assistants:

add +

Jones. Deborah	212-555-1212	
Smith. Maria	666-222-3345	

Associated Persons

add +

Brown. Sam	212-555-1212	
------------	--------------	--

Agent Overview Status



Bonner, Richard

Agent

Overview

Status

Registered Rep: Yes

Registration Date: 00/11/11

Direct Trading:

Socialware Certified:

LEAP Certified:

Nautilus:

Eagle:

Eagle Activities:

Notes:

Status Change History

00/00/00	Registered Rep
00/00/00	LEAP Certified

Independent SII

2011	Yes
2010	No
2009	No
2008	Yes
2007	Yes

Save

Cancel

Agent Detail Status



Jones, Deborah

Service Assistant

Overview

Registered Rep: Yes

Registration Date: 10/15/57

AFA: Yes

Agent Associations: [Gerald Swift](#)
[Mark Johnson](#)

Status Change History

00/00/00	Registered Rep
00/00/00	Anything Else

Service Assistant Overview



Field Management

Overview

Job Title:	AFA	Branch Office:	
ID:	000000	51 Madison Avenue	212-576-5151
General Office:	Greater New York	New York New York, 10010	
Recruiter:	<input type="text" value="Yes"/>		
3010:	<input type="text" value="Yes"/>		
SIIs:	<input type="text" value="Yes"/>		
Producing Manager:	<input type="text" value="Yes"/>		
Socialware:	<input type="text" value="Yes"/>		
Outside Business Activities:	Bonner, Rick Bonner, Richard II		

Field Management Overview