



# **DOCUMENT VALIDATION ON APEXA**

**Presenter: Josephine Moser**

**Date: November 2021**

### **Question #1:**

- Were there discussions that we could accept a certificate of name change without requiring the original articles of incorporation? With this legal document it was implied that they would have had to be incorporated. You would have the previous name (when they incorporated), their new name and the date of the change. We sometimes run into issues when corporations no longer have the original Articles of incorporation.

### **Answer:**

- At this time, we require the original articles of incorporation, however we can add it to the agenda for discussion at the User Community meeting.

### **– Question #2:**

- Has the Alberta Licence matching for Designated Reps been fixed?

### **Answer:**

- We have an internal meeting scheduled with the APEXA product team. At this point, we will be looking at options and will keep all users updated as progress is made.

### **Question #3:**

- When repopulating the license info prior to the invite being sent, I noticed that it's not automated like it is when the Advisor enters this info for BC, AB, and SK. Can this be changed? Or is that an enhancement that requires a ticket?

### **Answer:**

- That is an enhancement that will have to be submitted. The integration is only in production and not in In-Trust.

### **Question #4:**

- Advisors are adding their newest licenses and E&Os prior to the expiring one. Despite adding their new documents, Advisors are still receiving the notifications about expiring licenses and requesting them to update their information. Can the notifications stop once the renewed license information becomes available?

### **Answer:**

- We have submitted an enhancement ticket on this issue.

### Question #5:

- If the licence or E&O is not properly entered, why can't the Advisor modify it, instead of entering it all over again?

### Answer:

- The Advisor can go in and edit their record. We recommend that they edit the previously rejected existing licence and E&Os. **Note:** If the document is past its expiry date, the Advisor will not be able to edit the existing licence but will need to create a new submission.

### Question #6:

- What are acceptable corporate registration documents?

### Answer:

- When a Corporation is setting up their profile, the following documents are accepted:
  - A Certificate of Incorporation or Articles of Incorporation that must include the stamps, seal, and signature of the provincial or federal agency
  - Certificate of Amalgamation, it includes the stamp, seal, and signature of the provincial/federal governing agency as well as the **ORIGINAL** Certificate/Articles of Incorporation
  - Articles of Amendment (must reference the name change) can **only** be accepted if it includes the stamp, seal, and signature of the provincial/federal governing agency as well as the **ORIGINAL** Certificate/Articles of Incorporation
  - Certificate of name change can **only** be accepted if accompanied by acceptable Certificate/Articles of Incorporation for the original corporation

### Question #7:

- Is there an update about the request to have APEXA validate BC, SK, MB, AB licences the same way the QC licences are validated?

### Answer:

- We have an enhancement ticket submitted on that.

### Question #8:

- Is it possible for APEXA to have a message that warns Advisors against deleting their expiring/expired licences and E&Os? The MGAs and Carriers want to see their history to check that there is no gap in coverage.

### Answer:

- Please submit an enhancement ticket for this issue. We are currently accepting tickets for 2022 enhancements.

### Question #9:

- When the MGA is setting up the Corporation and the designated rep/the person who will sign on behalf of the Corporation is not necessarily a shareholder, we put in their name but set their ownership at 0%. However, because they've been set at 0%, they are not a clickable link. Could you assist with this?

### Answer:

- Designated reps are not on the corporate profile if they're not shareholders. Please submit a ticket so that we can understand the particular scenario.
- (Wendy) For the Corporations, most Carriers want a 3-party corporate contract and a 4-party personal contract or sub-broker contract so that you can have access to that designated rep' profile.
- (Barb) The rules regarding shareholders are that they should have some ownership stake in the company, more than 0%. If it's 20% or more, that's when we connect them and require that they have that additional Advisor profile that gets linked to the Corporation. If you would like a direct link to the designated rep profile from the corporate profile, we recommend that you put in an enhancement ticket for that.

### Question #10:

- The trainee cannot register because they don't have an E&O. What do you recommend we do in this scenario?

### Answer:

- The only time our validation team can refuse a trainee's attestation and E&O is when the attestation does not mention or specify their name. The trainee can create an APEXA profile by providing their own license, however, their training supervisor must request an E&O certificate, which mentions the training supervisor, as well as the trainee's own name. The supervisor will simply have to request an addendum to his E&O that says that, for example, Sébastien is covered as a trainee under Reda's E&O.