



**A P E X A**

SIMPLY CONNECTED

# **CORPORATE PROFILE SET UP**

Version 1.0

January 2020

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## + INTRODUCTION

### WHAT IS APEXA?

APEXA is a centralized, standardized digital contracting and compliance solution connecting Canadian Advisors, MGAs, and Carriers.

APEXA brought together teams of experts from nine leading MGAs and Carriers, industry compliance professionals, and subject matter experts to form Canada's first industry-governed solution for advisor contracting and compliance.

You will receive an email from your MGA, inviting you to join APEXA. From there, you will follow a link to access APEXA online, and then you will complete your Advisor profile.

APEXA brings all of your data together in one powerful, integrated system and updates your information in real time. You're able to manage your personal information, licenses, E&O coverages and contracts.

### CONTACTING APEXA

APEXA provides Advisor support for any questions that arise related to profile set up, APEXA navigation, or any other system-related inquiries. APEXA Advisor support is managed through a call centre, which can be accessed in one of two ways:

1) Call **1-855-294-2541**

2) Send an email to [\*\*support@apexa.ca\*\*](mailto:support@apexa.ca)

The call centre is available in both English & French on business days within the following times:

**8:00 AM - 8:00 PM ET** for French language support;

**8:00AM - 11:00 PM ET** for English language support for calls or emails originating outside of Quebec; and

**8:00AM - 8:00 PM ET** for English language support calls or emails originating within Quebec

## WHAT YOU'LL NEED

*If you've received an invitation from your MGA to create your Corporate profile, you must first complete an Advisor profile.*

*Before you begin, make sure you have everything you'll need to create your APEXA Advisor profile:*

- Your residential and business address history for the last 5 years
- A digital copy of your E&O Coverage certificate
- A digital copy of your provincial license(s)
- Information about the life insurance Carriers you have worked for in the past
- Your selling codes – you may need them to complete an identity verification step
- A digital copy of your banking information (e.g. void cheque) – optional
- A digital copy of your standard Disclosure Statement regarding managing conflicts of interest
- A digital copy of your needs-based sales practice template

*A note about digital copies:*

- Acceptable file formats include: PDF, MS Word, JPG, PNG, TIFF and BMP
- For licenses, you can also use a screen capture from a provincial licensing body website

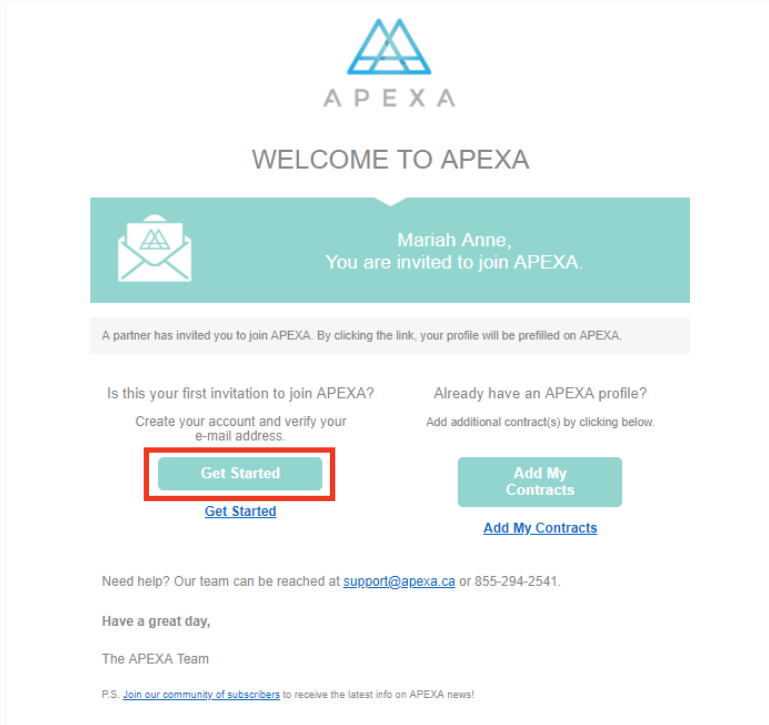
*As a responsible for a corporation, you'll also need:*

- Your company's date of incorporation
- A digital copy of your Articles of Incorporation
- A digital copy of your corporate E&O Coverage (if different from your personal E&O)
- A digital copy of your corporate provincial license(s)
- A list of your shareholder(s), including email address(es) and ownership percentage

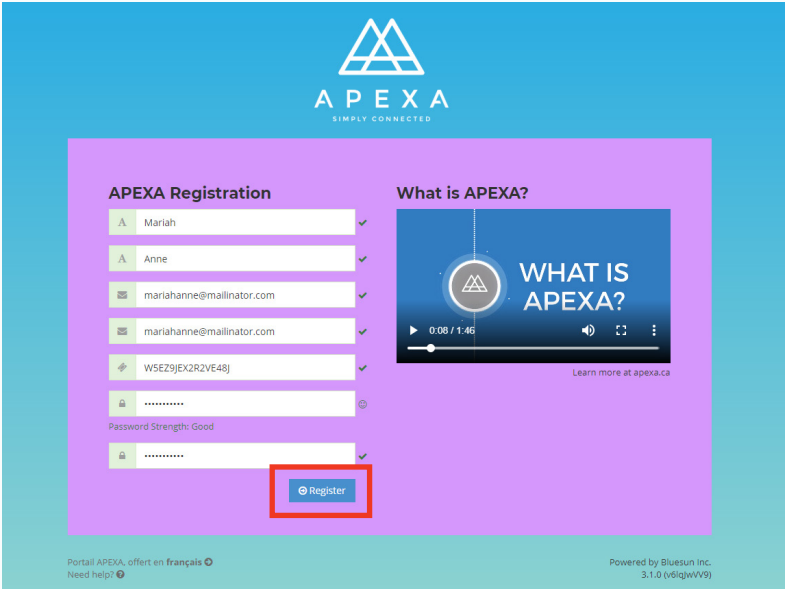
## + REGISTERING YOUR ACCOUNT

APEXA account creation is a two-step process:

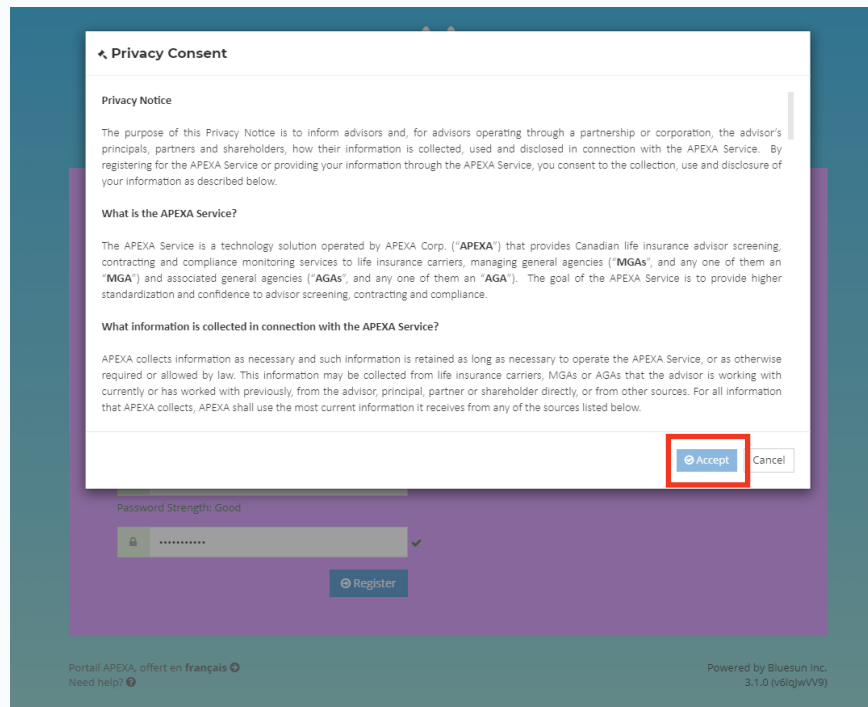
- When you receive your email invitation from your MGA, click on **Get Started** to begin your registration process.



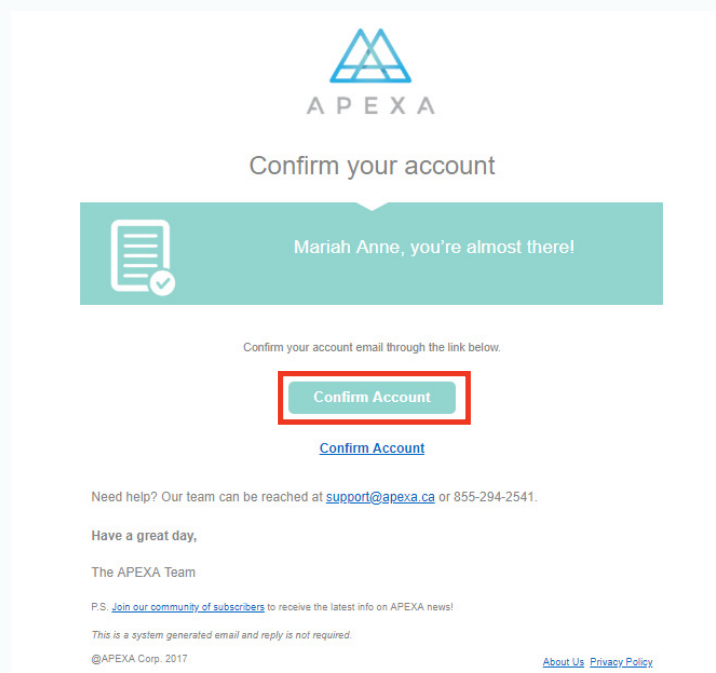
- You will then complete the registration form to create your account, including your name, email address, and a password. Click **Register**.



A lightbox pop-up box containing a Privacy Consent form will appear. Please read this form carefully. Once you have reviewed thoroughly, click **Accept**. The **Accept** button will become clickable once you have read (and scrolled through) the entirety of the terms.

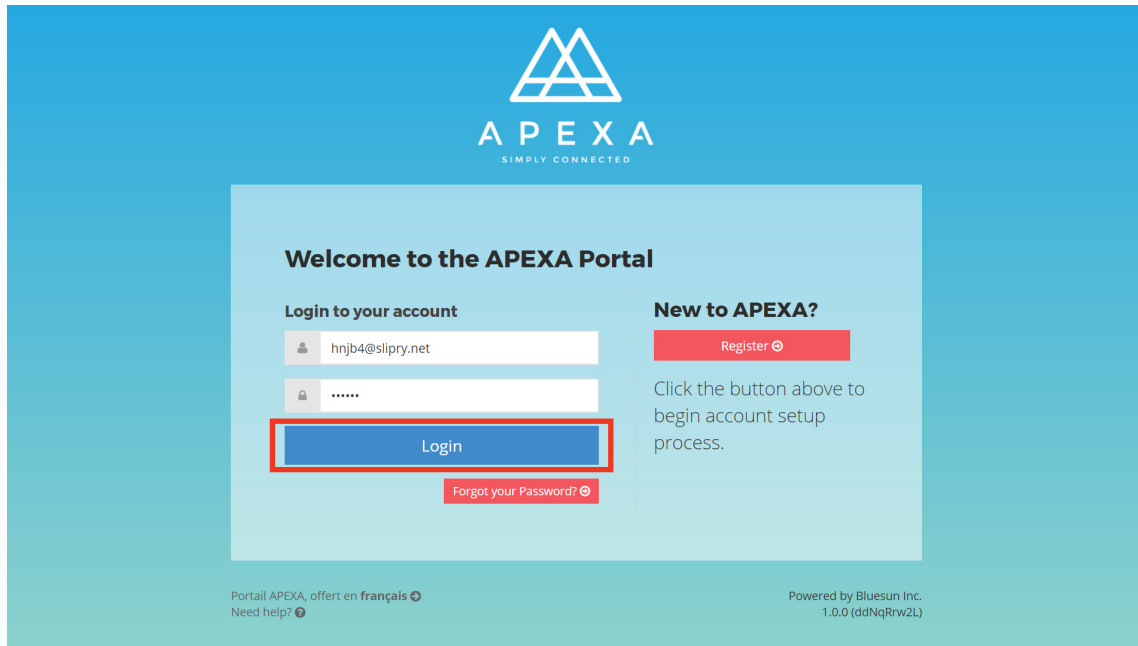


- You will be sent a confirmation email to verify your email address; click **Confirm Account** to validate your email address and begin the account setup process.

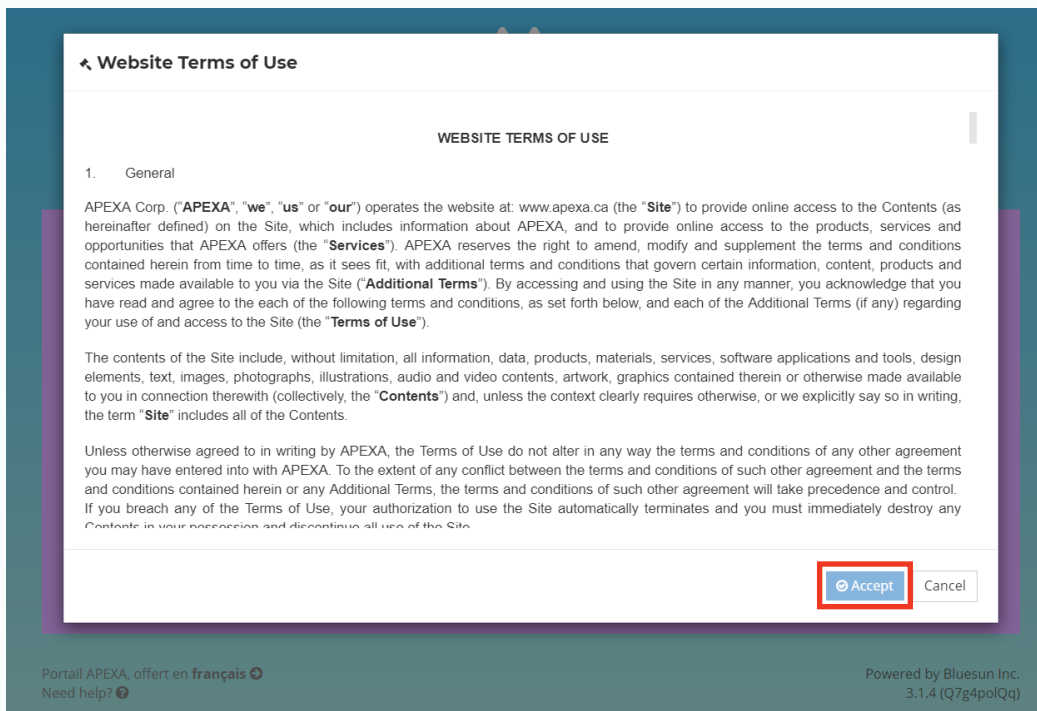


You can now proceed to log in to APEXA to set up your profile.

Ensure your account credentials are correct, and then click **Login**.




A pop-up box containing a WEBSITE TERMS OF USE form will appear. You must read and accept this in order to proceed with profile set up. The **Accept** button will become clickable once you have read (and scrolled through) the entirety of the terms.



## + PERSONAL INFORMATION

1) Complete all mandatory fields on this page: full name (as it appears on your resident license), date of birth, confirmation you are legally able to work in Canada, and select a verbal password (used for our call centre). All other fields are optional.

*\*NOTE: Throughout the APEXA profile set up, the **Next** button will become active once all mandatory fields are completed. If the **Next** button is unavailable, check for red warning banners that indicate what information is missing.*


English v Logout

### Mariah Anne

Step 1/3

**Personal Information**

! There are issues with your profile details. You must provide all profile details in order to complete profile setup.

Title

\* Your profile name must match your name as it appears on your resident licence. If the name listed here does not match your resident licence, please submit a [name change](#). If you do not have a resident licence, enter your legal name.

<p style="font-size: 0.8em; margin: 0;">Legal First Name (as shown on resident licence)</p> <input style="width: 95%;" type="text" value="Mariah"/> ✓	<p style="font-size: 0.8em; margin: 0;">Legal Middle Name (as shown on resident licence)</p> <input style="width: 95%;" type="text"/>	<p style="font-size: 0.8em; margin: 0;">Legal Last Name (as shown on resident licence)</p> <input style="width: 95%;" type="text" value="Anne"/> ✓
---	---	--

[Change Name](#)

<p style="font-size: 0.8em; margin: 0;">Position</p> <input style="width: 95%;" type="text" value="Advisor"/> ✓	<p style="font-size: 0.8em; margin: 0;">Preferred Name</p> <input style="width: 95%;" type="text"/>	<p style="font-size: 0.8em; margin: 0;">Maiden Name</p> <input style="width: 95%;" type="text"/>
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<p style="font-size: 0.8em; margin: 0;">Gender</p> <input style="width: 95%;" type="text" value="Female"/> ✓	<p style="font-size: 0.8em; margin: 0;">Date of Birth *</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="border: 1px solid #ccc; width: 25%; text-align: center;">1980</td> <td style="border: 1px solid #ccc; width: 25%; text-align: center;">08</td> <td style="border: 1px solid #ccc; width: 25%; text-align: center;">23</td> <td style="width: 25%;"></td> </tr> <tr> <td style="font-size: 0.7em; text-align: center;">YYYY</td> <td style="font-size: 0.7em; text-align: center;">MM</td> <td style="font-size: 0.7em; text-align: center;">DD</td> <td></td> </tr> </table>	1980	08	23		YYYY	MM	DD		<p style="font-size: 0.8em; margin: 0;">Are you legally entitled to work in Canada? *</p> <p><input checked="" type="radio"/> Yes <input type="radio"/> No</p>
1980	08	23								
YYYY	MM	DD								

Canadian Insurance Participant Registry Number (CIPR)

**Verbal Password**

\* A verbal password is used to verify your identity when you call into the call center for assistance. Your verbal password prompt should be a question or phrase to help you remember your verbal password. For example, your verbal password may be 'ROVER' and your password prompt would be 'MY FIRST DOG'.

<p style="font-size: 0.8em; margin: 0;">Verbal Password Prompt *</p> <input style="width: 95%;" type="text" value="First Dog"/> ✓	<p style="font-size: 0.8em; margin: 0;">Verbal Password *</p> <input style="width: 95%;" type="text" value="Sam"/> ✓
---	--

Previous

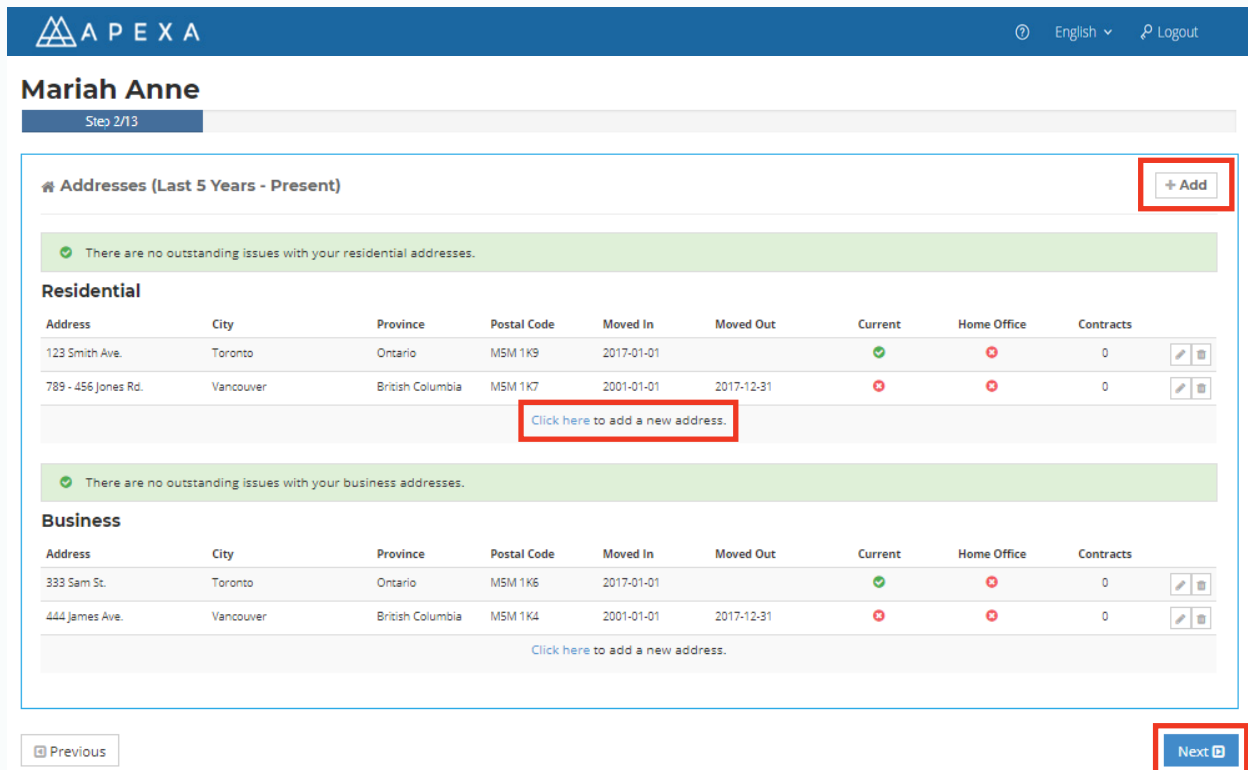
Next

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## + ADDRESSES & PHONE NUMBERS

2) Provide residential & business addresses for the last five years, including move in & move out dates.

*\*NOTE: Navigation in the profile set up is consistent throughout, with both **Add** and **Click Here** buttons available. Use either option to add new information.*



**Addresses (Last 5 Years - Present)** + Add

There are no outstanding issues with your residential addresses.

**Residential**

Address	City	Province	Postal Code	Moved In	Moved Out	Current	Home Office	Contracts	
123 Smith Ave.	Toronto	Ontario	MSM 1K9	2017-01-01		✓	✗	0	
789 - 456 Jones Rd.	Vancouver	British Columbia	MSM 1K7	2001-01-01	2017-12-31	✗	✗	0	
<a href="#">Click here to add a new address.</a>									

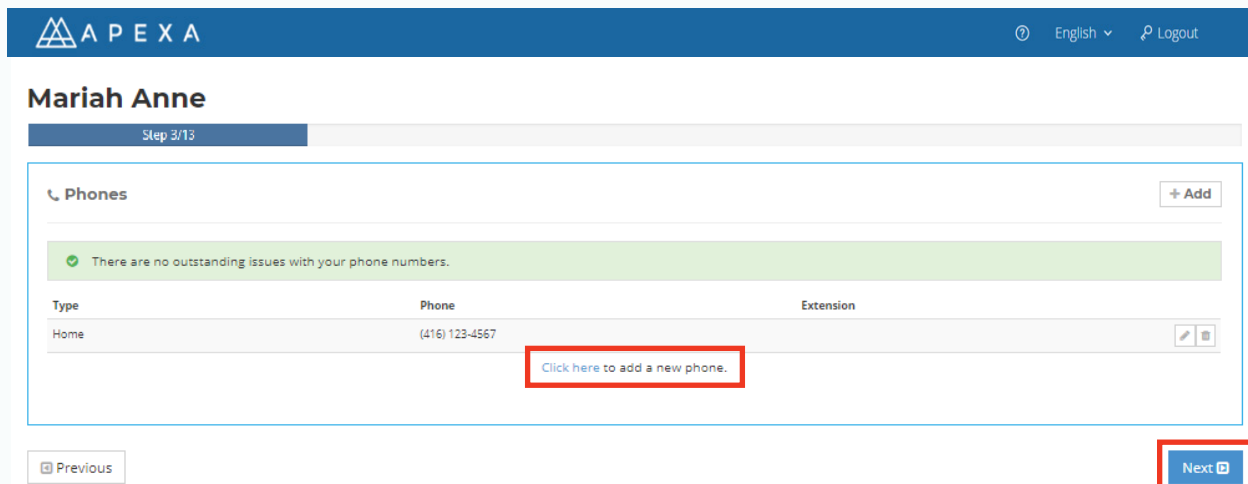
There are no outstanding issues with your business addresses.

**Business**

Address	City	Province	Postal Code	Moved In	Moved Out	Current	Home Office	Contracts	
333 Sam St.	Toronto	Ontario	MSM 1K6	2017-01-01		✓	✗	0	
444 James Ave.	Vancouver	British Columbia	MSM 1K4	2001-01-01	2017-12-31	✗	✗	0	
<a href="#">Click here to add a new address.</a>									

Next

3) Provide at least one phone number.



**Phones** + Add

There are no outstanding issues with your phone numbers.

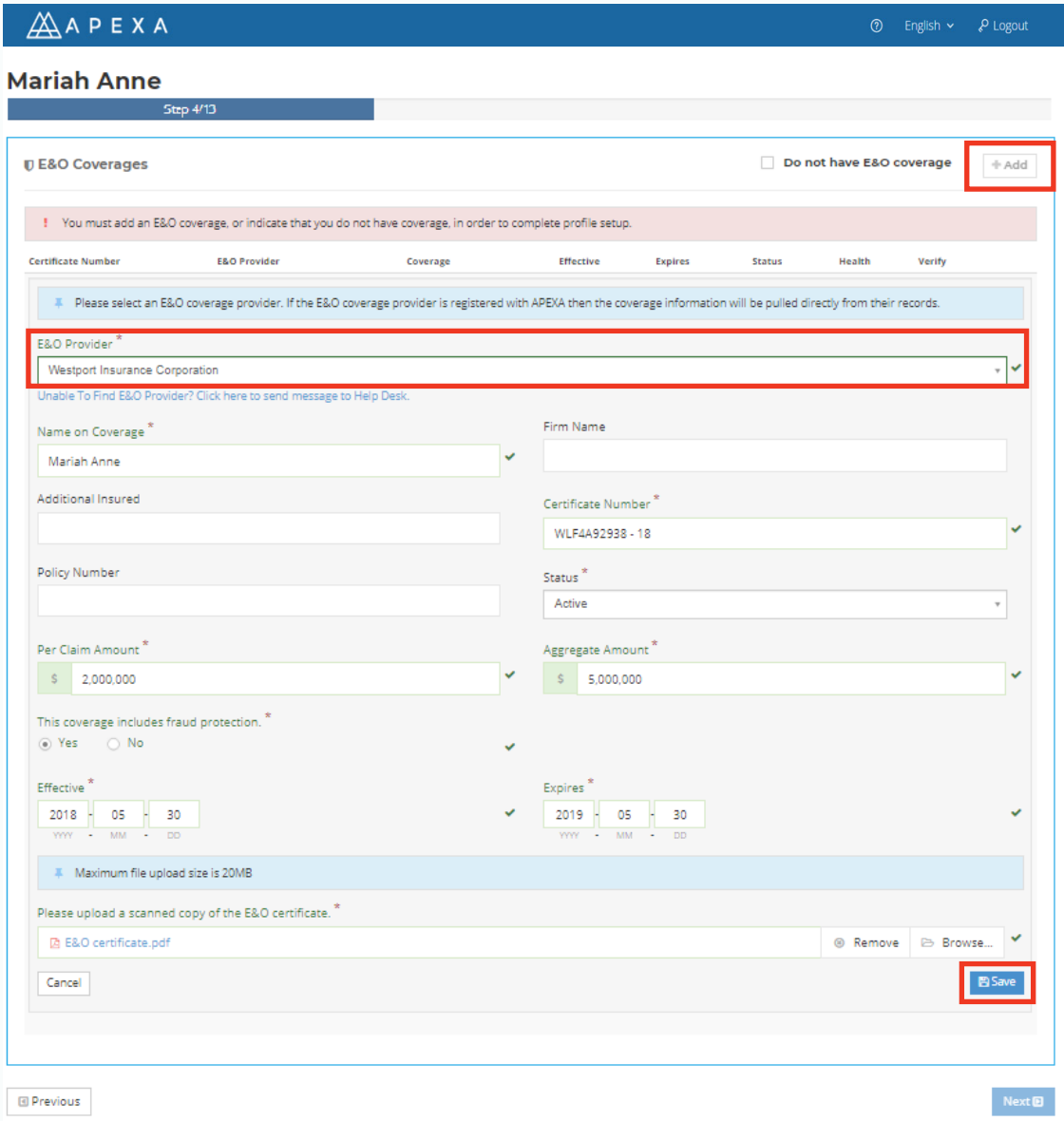
Type	Phone	Extension
Home	(416) 123-4567	
<a href="#">Click here to add a new phone.</a>		

Next

## + E&O COVERAGES & LICENSES

- 4) The Errors and Omissions (E&O) coverage section is mandatory to complete profile set up.
- Select your E&O provider. Note that this is the **insurance company who underwrites your policy, not the broker who sold it to you.**
    - If your E&O provider cannot be found, contact APEXA to have it added
  - Complete all mandatory fields (marked with an asterisk and in red text). All information can be found on your E&O certificate.
  - Upload a copy of the E&O certificate and click **Save**.

*\*NOTE: If you are not yet licensed or are a shareholder of a corporation, you may indicate 'Do Not Have E&O Coverage'.*



**AP E X A** English Logout

**Step 4/13**

**E&O Coverages**  Do not have E&O coverage **+ Add**

**!** You must add an E&O coverage, or indicate that you do not have coverage, in order to complete profile setup.

Certificate Number	E&O Provider	Coverage	Effective	Expires	Status	Health	Verify
Please select an E&O coverage provider. If the E&O coverage provider is registered with APEXA then the coverage information will be pulled directly from their records.							
<b>E&amp;O Provider *</b> Westport Insurance Corporation ✓							
Unable To Find E&O Provider? Click here to send message to Help Desk.							
<b>Name on Coverage *</b> Mariah Anne ✓				<b>Firm Name</b> <input type="text"/>			
<b>Additional Insured</b> <input type="text"/>				<b>Certificate Number *</b> WLF4A92938 - 18 ✓			
<b>Policy Number</b> <input type="text"/>				<b>Status *</b> Active ✓			
<b>Per Claim Amount *</b> \$ 2,000,000 ✓				<b>Aggregate Amount *</b> \$ 5,000,000 ✓			
<b>This coverage includes fraud protection. *</b> <input checked="" type="radio"/> Yes <input type="radio"/> No ✓							
<b>Effective *</b> 2018 05 30 ✓ <small>YYY MM DD</small>				<b>Expires *</b> 2019 05 30 ✓ <small>YYY MM DD</small>			
Maximum file upload size is 20MB							
<b>Please upload a scanned copy of the E&amp;O certificate. *</b> <input type="text"/> E&O certificate.pdf <input type="button" value="Remove"/> <input type="button" value="Browse..."/> ✓							
<input type="button" value="Cancel"/>							<input type="button" value="Save"/>

- 5) Entering your resident license is mandatory for APEXA profile set up.
  - a. Complete all mandatory fields on this screen.
  - b. Upload a scanned copy of your license and click **Save**.

APEXA
English ▼ | Logout

## Mariah Anne

Step 5/13

**Licences**
 Do not have a licence + Add

! You must add a licence that matches the province of your residential address in order to complete profile setup.

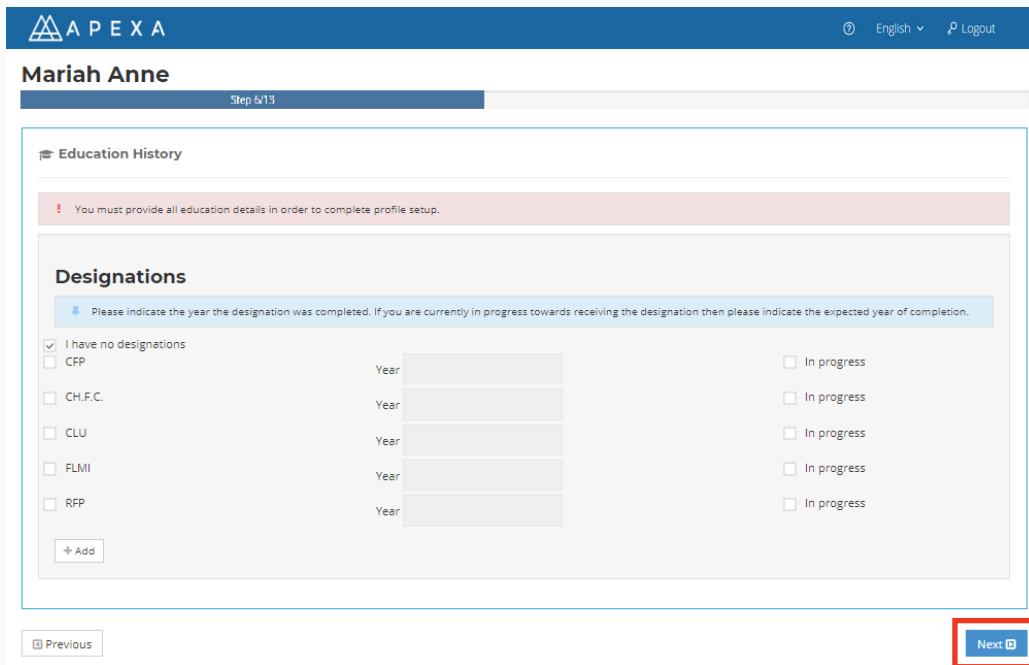
Licence Number	Issuing Province	Type	Issued	Expires	Status	Resident	Health	Verify
<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p style="margin: 0;">Issuing Province *</p> <div style="border: 1px solid #ccc; padding: 2px;">Ontario <span style="float: right;">▼ ✓</span></div> </div> <div style="width: 45%;"> <p style="margin: 0;">Full Legal Name *</p> <div style="border: 1px solid #ccc; padding: 2px;">Mariah Anne <span style="float: right;">✓</span></div> </div> </div>								
<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p style="margin: 0;">Type *</p> <div style="border: 1px solid #ccc; padding: 2px;">Life <span style="float: right;">▼ ✓</span></div> </div> <div style="width: 45%;"> <p style="margin: 0;">Firm Name</p> <div style="border: 1px solid #ccc; padding: 2px; height: 20px;"></div> </div> </div>								
<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p style="margin: 0;">Licence Number *</p> <div style="border: 1px solid #ccc; padding: 2px;">9658255 <span style="float: right;">✓</span></div> </div> <div style="width: 45%;"> <p style="margin: 0;">Status *</p> <div style="border: 1px solid #ccc; padding: 2px;">Active <span style="float: right;">▼ ✓</span></div> </div> </div>								
<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p style="margin: 0;">Issued *</p> <div style="display: flex; align-items: center; gap: 5px;"> <div style="border: 1px solid #ccc; padding: 2px; width: 40px;">2016</div> <div style="border: 1px solid #ccc; padding: 2px; width: 40px;">10</div> <div style="border: 1px solid #ccc; padding: 2px; width: 40px;">20</div> </div> <p style="font-size: 0.8em; margin: 0;">YYY - MM - DD</p> </div> <div style="width: 45%;"> <p style="margin: 0;">Expires *</p> <div style="display: flex; align-items: center; gap: 5px;"> <div style="border: 1px solid #ccc; padding: 2px; width: 40px;">2020</div> <div style="border: 1px solid #ccc; padding: 2px; width: 40px;">10</div> <div style="border: 1px solid #ccc; padding: 2px; width: 40px;">19</div> </div> <p style="font-size: 0.8em; margin: 0;">YYY - MM - DD</p> </div> </div>								
<p style="margin: 0;">Sponsor/Supervisor</p> <div style="border: 1px solid #ccc; padding: 2px; height: 20px;"></div>								
<p style="margin: 0;">Conditions</p> <div style="border: 1px solid #ccc; padding: 2px; height: 20px;"></div>								
<p style="margin: 0; font-size: 0.8em;">Maximum file upload size is 20MB</p>								
<p style="margin: 0;">Licence Upload *</p> <div style="display: flex; align-items: center; gap: 10px;"> <div style="border: 1px solid #ccc; padding: 2px; display: flex; align-items: center;"> <span style="font-size: 0.8em; margin-right: 5px;">Personal Licence.pdf</span> <span style="font-size: 0.8em; margin-right: 5px;">Remove</span> <span style="font-size: 0.8em; margin-right: 5px;">Browse...</span> <span style="font-size: 0.8em;">✓</span> </div> </div>								
<div style="border: 1px solid #ccc; padding: 2px; width: 100%;">Cancel</div>								<div style="border: 2px solid red; border-radius: 5px; padding: 2px; width: 100%;">Save</div>

Previous
Next

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## + EDUCATION HISTORY

6) This screen will ask you for information about any designations that you hold or are working toward. When this is complete, click **Next**.



**Education History**

! You must provide all education details in order to complete profile setup.

**Designations**

Please indicate the year the designation was completed. If you are currently in progress towards receiving the designation then please indicate the expected year of completion.

I have no designations

CFP Year   In progress

CH.F.C. Year   In progress

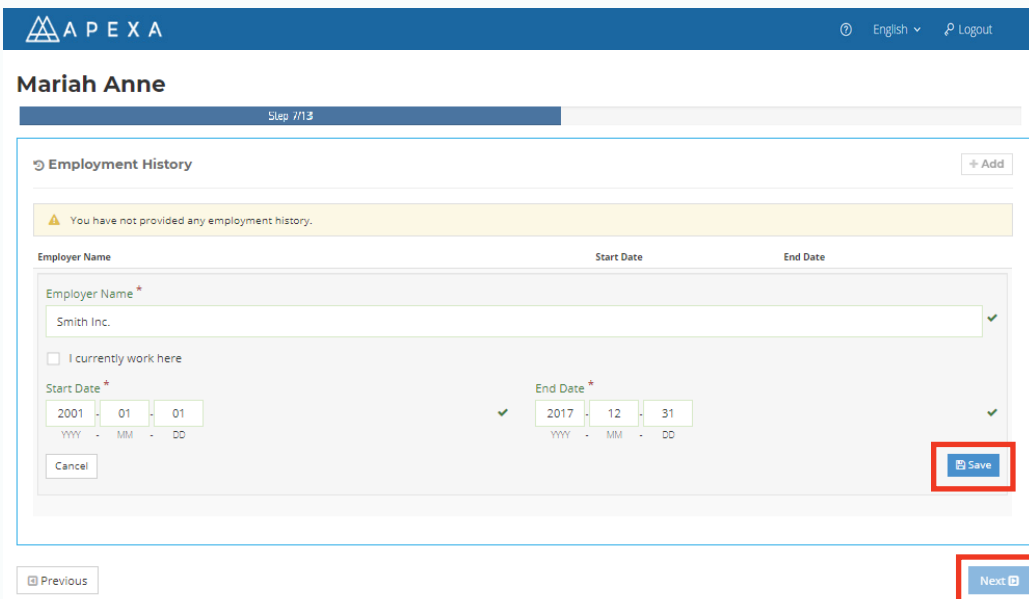
CLU Year   In progress

FLMI Year   In progress

RFP Year   In progress

## + EMPLOYMENT HISTORY

7) This screen will ask you for information about your employment history. Click Add under the Employment History heading to add employment information for the past 5 years.



**Employment History**

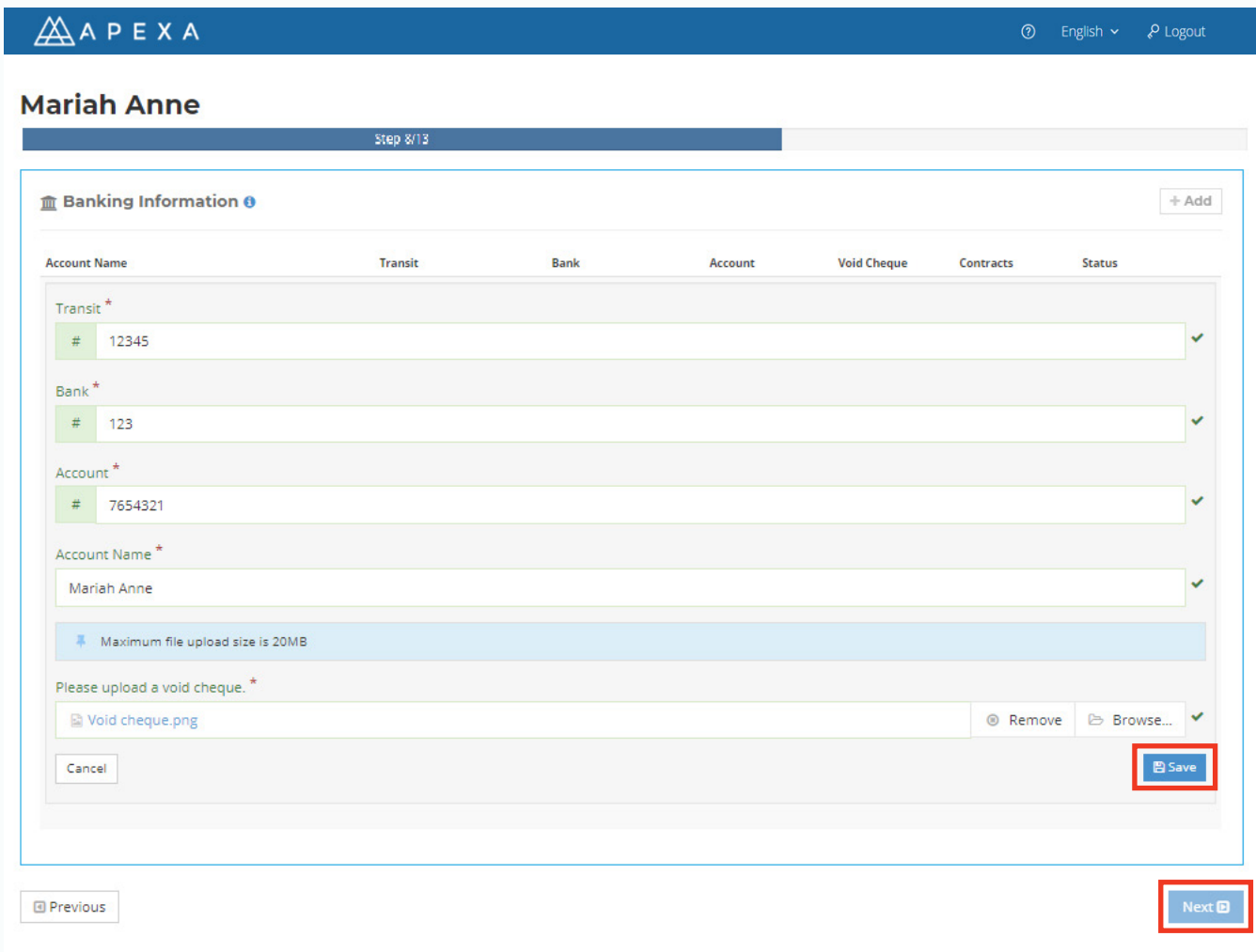
! You have not provided any employment history.

Employer Name	Start Date	End Date
Employer Name * Smith Inc. ✓	Start Date * 2017 - 01 - 01 ✓ YYY - MM - DD	End Date * 2017 - 12 - 31 ✓ YYY - MM - DD

I currently work here

**+ BANKING INFORMATION**

- 8) Completing your banking information during profile set up is optional, however, it is required for contracting with a new party.
  - a. Fill in your account name, account number, bank number, and transit number as per your void cheque.
  - b. Upload a copy of your void cheque.

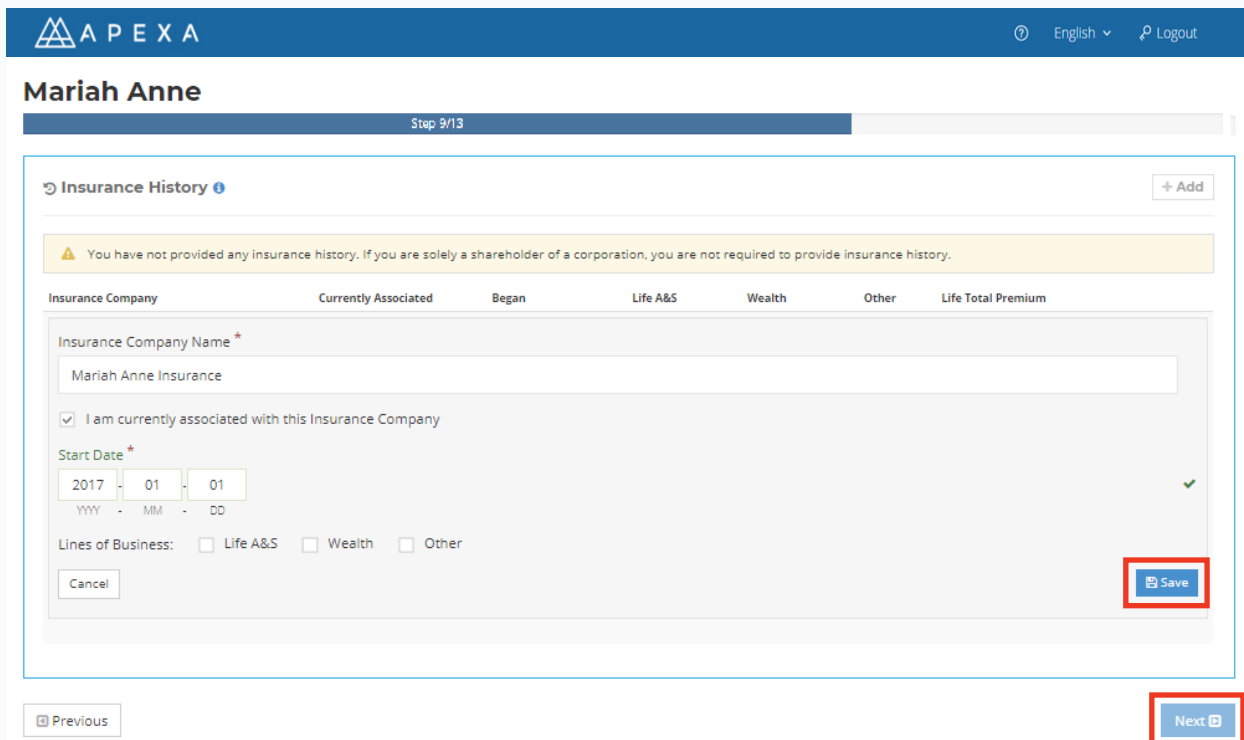


The screenshot shows the APEXA Corporate Profile Set Up interface for user Mariah Anne. The page is titled "Banking Information" and is part of a multi-step process (Step 8/13). The form contains the following fields and elements:

- Transit \*:** Input field with value "12345" and a green checkmark.
- Bank \*:** Input field with value "123" and a green checkmark.
- Account \*:** Input field with value "7654321" and a green checkmark.
- Account Name \*:** Input field with value "Mariah Anne" and a green checkmark.
- File Upload:** A section with a note "Maximum file upload size is 20MB" and a prompt "Please upload a void cheque.\*". A file named "Void cheque.png" is uploaded, with "Remove" and "Browse..." buttons. A green checkmark is present.
- Buttons:** "Cancel" and "Save" buttons are at the bottom of the form. "Previous" and "Next" navigation buttons are at the bottom of the page.

## + INSURANCE HISTORY

- 9) **Insurance history is mandatory for profile set up.** If you are a new Advisor or a shareholder of a corporation, you do not need to complete this section.
- a. Add all insurance companies with whom you have worked, along with approximate written premium, start date, and lines of business.



**Insurance History** + Add

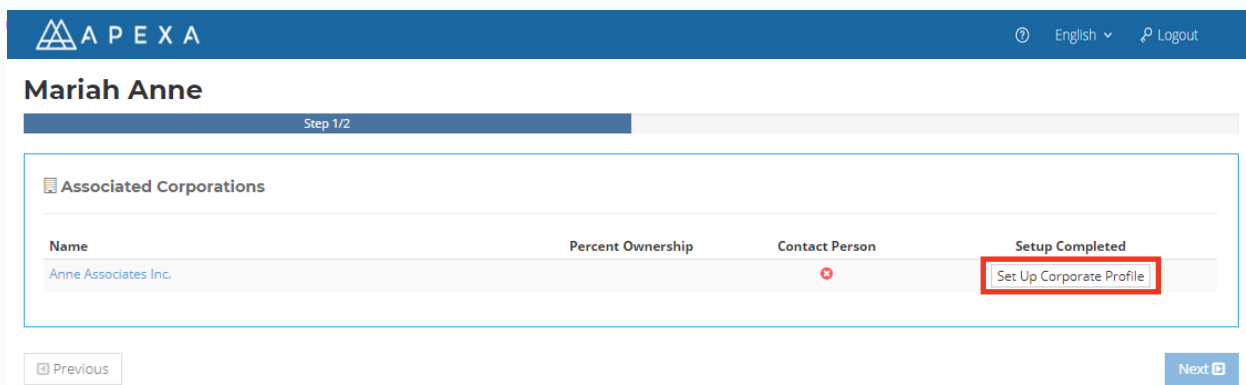
**⚠ You have not provided any insurance history. If you are solely a shareholder of a corporation, you are not required to provide insurance history.**

Insurance Company	Currently Associated	Began	Life A&S	Wealth	Other	Life Total Premium
Insurance Company Name *	<input checked="" type="checkbox"/>	Start Date *	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Mariah Anne Insurance		2017 - 01 - 01				
Lines of Business: <input type="checkbox"/> Life A&S <input type="checkbox"/> Wealth <input type="checkbox"/> Other						
Cancel						Save

Previous Next

## + ASSOCIATED CORPORATIONS

- 10) As the representative of your corporation, you will now be asked to set up your corporate profile.
- a. Click on **Set up Corporate Profile**



**Associated Corporations**

Name	Percent Ownership	Contact Person	Setup Completed
Anne Associates Inc.			Set Up Corporate Profile

Previous Next

## + CORPORATION INFORMATION

A. Complete all mandatory fields on this page: **Corporation Type, Business Number**. All other fields are optional. You'll also be asked to upload a scanned copy of your corporate registration documents.

APEXA
English v Logout

**Mariah Anne**

Step 1/2

**Anne Associates Inc.**

Step 1/7

**Details**

! You must provide your business number in order to complete profile setup.

! There is an issue with your articles of incorporation document. You must resolve this issue in order to complete profile setup.

x Your corporation profile name must match your name as it appears on your corporate resident licence. If the name listed here does not match your corporate resident licence, please submit a name change. If you do not have a corporate resident licence, enter your legal corporation name

Legal Name (as shown on corporate resident licence)

Anne Associates Inc. Change name

Trade Name

Corporation Type <sup>\*</sup> v

Privately Held Corporation

Date of Incorporation

YYYY MM DD

YYY MM DD

Business Number <sup>\*</sup> v

# 123456789

If you are a GST/HST registrant, please provide your registration number below

Quebec Enterprise Number (If applicable)

#

If you are a QST registrant, please provide your registration number below

Canadian Insurance Participant Registry Number (CIPR)

#

Website

x Maximum file upload size is 20MB

Please Upload a copy of your corporate registration documents (Example: Articles of Incorporation) <sup>\*</sup>

Article of Incorporation.pdf Remove Browse... v

**Verbal Password**

x A verbal password is used to verify your identity when you call into the call center for assistance. Your verbal password prompt should be a question or phrase to help you remember your verbal password. For example, your verbal password may be ROVER and your password prompt would be MY FIRST DOG.

Verbal Password Prompt <sup>\*</sup> v

My mother's maiden name


Verbal Password <sup>\*</sup> v

Anne

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## + ADDRESSES AND PHONE NUMBERS

B. Provide your corporate addresses for the last five years, including move in and move out dates.


English ▾ Logout

**Mariah Anne**

Step 1/2

**Anne Associates Inc.**

Step 2/7

**Addresses** + Add

✔ There are no outstanding issues with your business addresses.


**Business**

Address	City	Province	Postal Code	Moved In	Moved Out	Current	Contracts
333 Sam St.	Toronto	Ontario	M5M 1K6	2017-01-01		✔	0

Click here to add a new address.

Previous
Next

C. Provide at least one phone number.


English ▾ Logout

**Mariah Anne**

Step 1/2

**Anne Associates Inc.**

Step 3/7

**Phone Numbers** + Add

✔ There are no outstanding issues with your phone numbers.

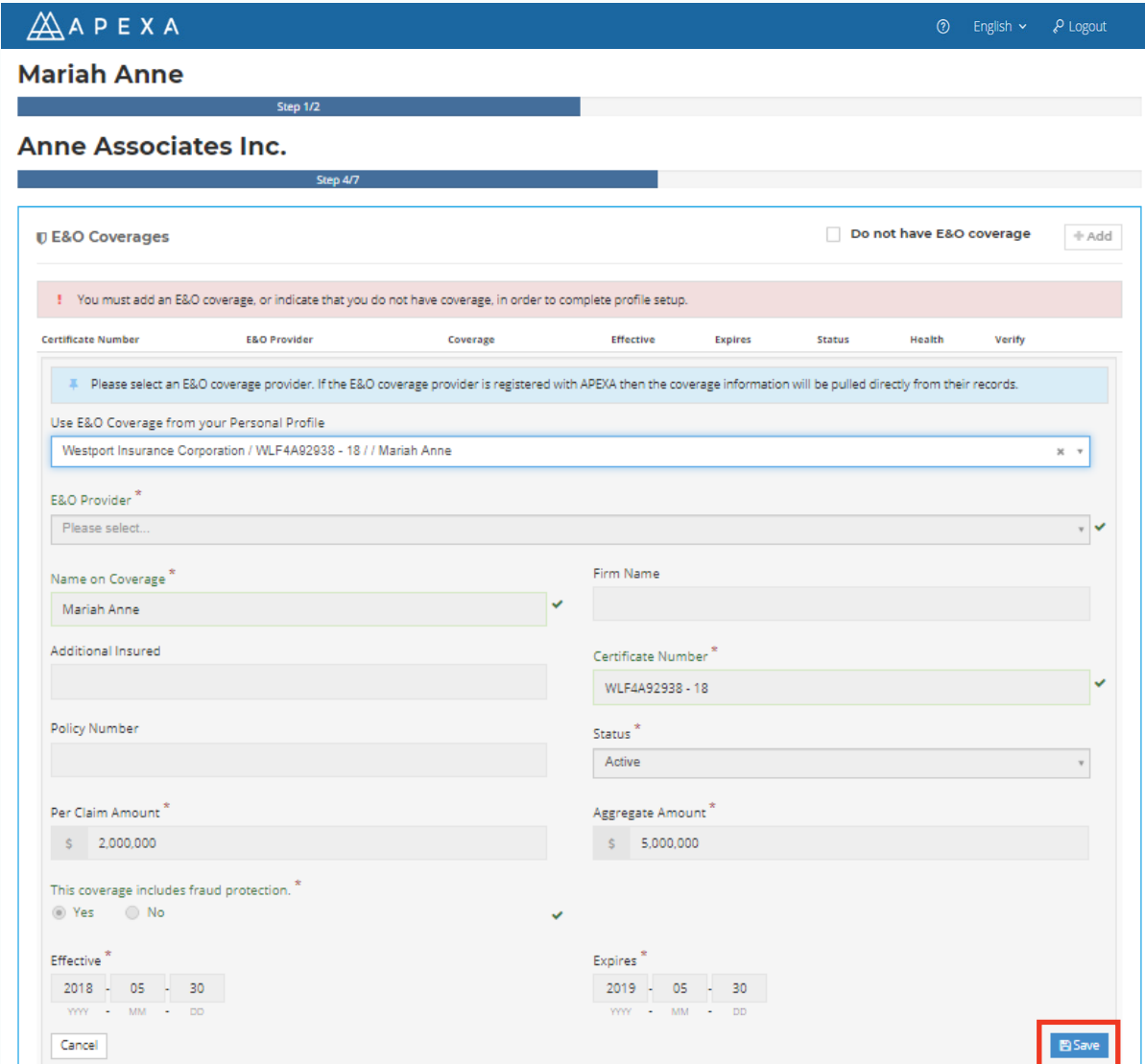
Type	Phone	Extension
Business	(416) 676-4523	

Click here to add a new phone.

Previous
Next


## + E&O COVERAGES & LICENSES

- D. The E&O coverages section is mandatory to complete your corporate profile set up.
- You can use the E&O certificate you've uploaded to your Advisor profile by selecting it under the **Use E&O Coverage from your Personal Profile** dropdown menu.
  - If a different E&O certificate is associated to your corporation, use the dropdown menu to select your E&O coverage provider. If your E&O provider cannot be found, contact APEXA to have it added.
    - Complete all mandatory fields (marked with an asterisk and in red text). All information can be found on your E&O certificate.
    - Upload a copy of the E&O certificate and click Save.
- E. Entering your corporation license is mandatory for APEXA Corporate profile set up.
- Complete all mandatory fields on this screen.



The screenshot shows the APEXA user interface for setting up E&O coverages. The user is Mariah Anne, and the corporation is Anne Associates Inc. The screen is titled "E&O Coverages" and includes a "Do not have E&O coverage" checkbox and an "Add" button. A red warning message states: "You must add an E&O coverage, or indicate that you do not have coverage, in order to complete profile setup." Below this is a table with columns for Certificate Number, E&O Provider, Coverage, Effective, Expires, Status, Health, and Verify. A blue instruction box says: "Please select an E&O coverage provider. If the E&O coverage provider is registered with APEXA then the coverage information will be pulled directly from their records." The form includes a dropdown menu for "Use E&O Coverage from your Personal Profile" with the selected option "Westport Insurance Corporation / WLF4A92938 - 18 // Mariah Anne". Other fields include "E&O Provider" (Please select...), "Name on Coverage" (Mariah Anne), "Firm Name", "Additional Insured", "Certificate Number" (WLF4A92938 - 18), "Policy Number", "Status" (Active), "Per Claim Amount" (\$ 2,000,000), "Aggregate Amount" (\$ 5,000,000), "This coverage includes fraud protection." (Yes selected), "Effective" date (2018-05-30), and "Expires" date (2019-05-30). A "Save" button is highlighted with a red box.

b. Upload a scanned copy of your licence and click **Save**.



[?](#) English v [Logout](#)

## Mariah Anne

Step 1/2

## Anne Associates Inc.

Step 5/7

**Licences**
 Do not have a licence
[+ Add](#)

**!** You must add a licence that matches the province of your business address in order to complete profile setup.

Licence Number	Issuing Province	Type	Issued	Expires	Status	Resident	Health	Verify
<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p><b>Issuing Province *</b></p> <div style="border: 1px solid #ccc; padding: 2px;">Ontario <span style="float: right;">v</span></div> </div> <div style="width: 45%;"> <p><b>Full Legal Name of Firm *</b></p> <div style="border: 1px solid #ccc; padding: 2px;">Anne Associates Inc. <span style="float: right;">v</span></div> </div> </div> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <div style="width: 45%;"> <p><b>Type *</b></p> <div style="border: 1px solid #ccc; padding: 2px;">Life Insurance and A&amp;S Insurance Agent <span style="float: right;">v</span></div> </div> <div style="width: 45%;"> <p><b>Status *</b></p> <div style="border: 1px solid #ccc; padding: 2px;">Active <span style="float: right;">v</span></div> </div> </div> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <div style="width: 45%;"> <p><b>Licence Number *</b></p> <div style="border: 1px solid #ccc; padding: 2px;">9996C <span style="float: right;">v</span></div> </div> <div style="width: 45%;"> <p><b>Sponsor/Supervisor</b></p> <div style="border: 1px solid #ccc; padding: 2px; height: 20px;"></div> </div> </div> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <div style="width: 45%;"> <p><b>Issued *</b></p> <div style="display: flex; justify-content: space-between; font-size: x-small;"> <div style="border: 1px solid #ccc; padding: 2px;">2018</div> <div style="border: 1px solid #ccc; padding: 2px;">03</div> <div style="border: 1px solid #ccc; padding: 2px;">21</div> </div> <p style="font-size: x-small; text-align: center;">YYY - MM - DD</p> </div> <div style="width: 45%;"> <p><b>Expires *</b></p> <div style="display: flex; justify-content: space-between; font-size: x-small;"> <div style="border: 1px solid #ccc; padding: 2px;">2020</div> <div style="border: 1px solid #ccc; padding: 2px;">04</div> <div style="border: 1px solid #ccc; padding: 2px;">14</div> </div> <p style="font-size: x-small; text-align: center;">YYY - MM - DD</p> </div> </div> <p><b>Conditions</b></p> <div style="border: 1px solid #ccc; padding: 2px; height: 20px;"></div>								
<p>Maximum file upload size is 20MB</p>								
<p><b>Licence Upload *</b></p> <div style="display: flex; align-items: center; border: 1px solid #ccc; padding: 2px;"> <div style="margin-right: 10px;"> Corp Licence.pdf</div> <div style="flex-grow: 1; border-bottom: 1px solid #ccc;"></div> <div style="margin-left: 10px; font-size: x-small;"> <span>Remove</span> <span>Browse...</span> </div> </div> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <span>Cancel</span> <span style="border: 2px solid red; padding: 2px 5px; color: white; font-weight: bold;">Save</span> </div>								

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**+ BANKING INFORMATION**

- F. Completing your banking information during Corporate profile set up is optional, however, it is required for contracting with a new party. You have the option to add banking information for both your Advisor and Corporation profile set up
- a. Complete account name, account number, bank number, and transit number as per your void cheque.
  - b. Upload a copy of your void cheque.

APEXA
English v Logout

**Mariah Anne**

Step 1/2

**Anne Associates Inc.**

Step 6/7

**Banking Information** + Add

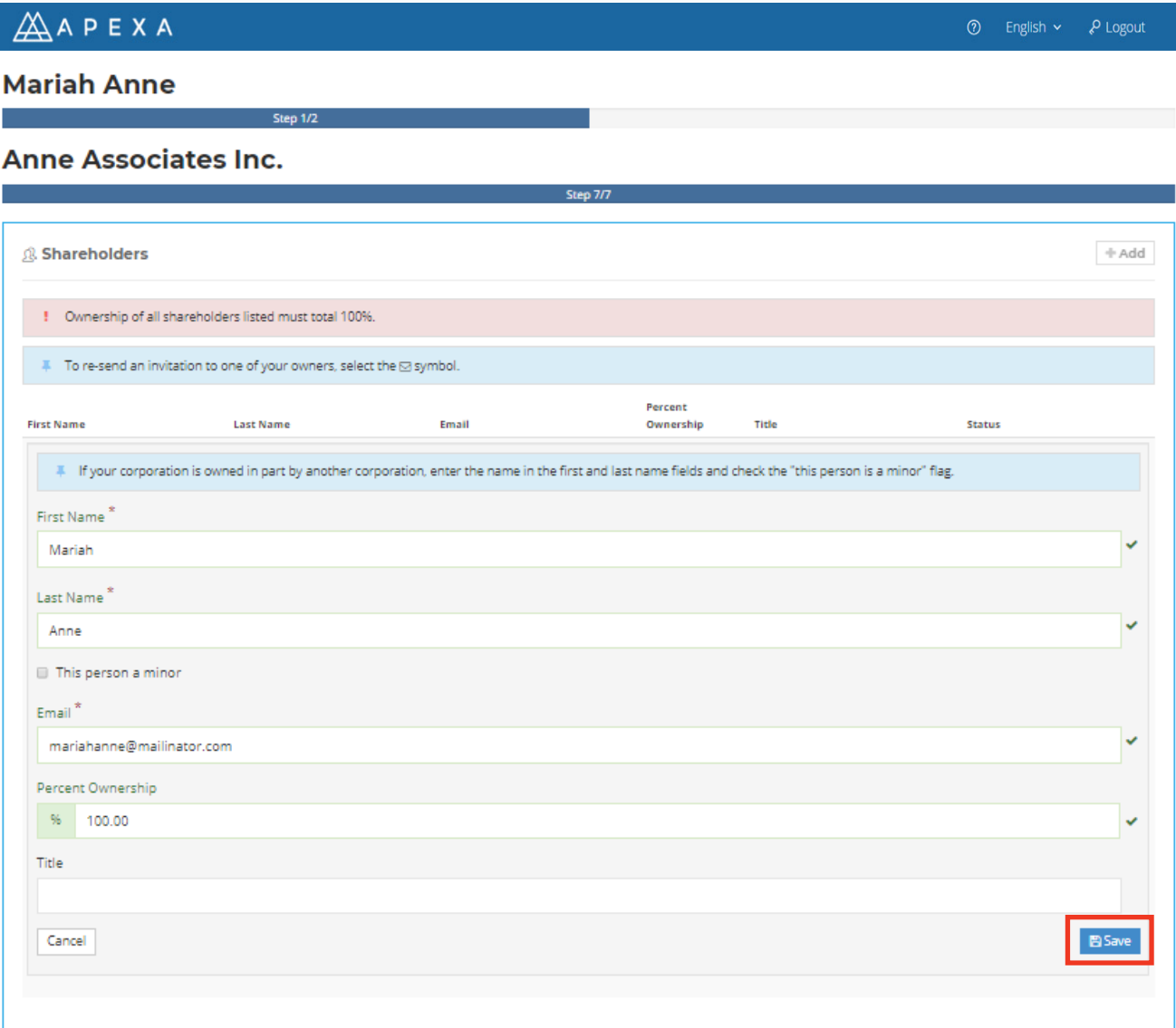
Account Name	Transit	Bank	Account	Void Cheque	Contracts	Status	
Transit *							
#	12345					✓	
Bank *							
#	123					✓	
Account *							
#	9876543					✓	
Account Name *							
Anne Associates Inc.							✓
<span style="font-size: 0.8em;">✖</span> Maximum file upload size is 20MB							
Please upload a void cheque. *							
<input type="text" value="Void cheque.png"/>				<input type="button" value="Remove"/>	<input type="button" value="Browse..."/>	✓	
<input type="button" value="Cancel"/>						<input style="border: 2px solid red;" type="button" value="Save"/>	

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## + SHAREHOLDERS

- G. Documenting shareholders of your corporation is mandatory for APEXA Corporate profile set up. Ownership of all shareholders listed must total 100%. Note that shareholders who own 20% or more of a corporation must complete an APEXA Advisor profile.
- Complete all mandatory fields on this screen and click **Save**.
  - Once all owners are documented, press **Finish**.



**Shareholders** → Add

! Ownership of all shareholders listed must total 100%.

✖ To re-send an invitation to one of your owners, select the ✉ symbol.

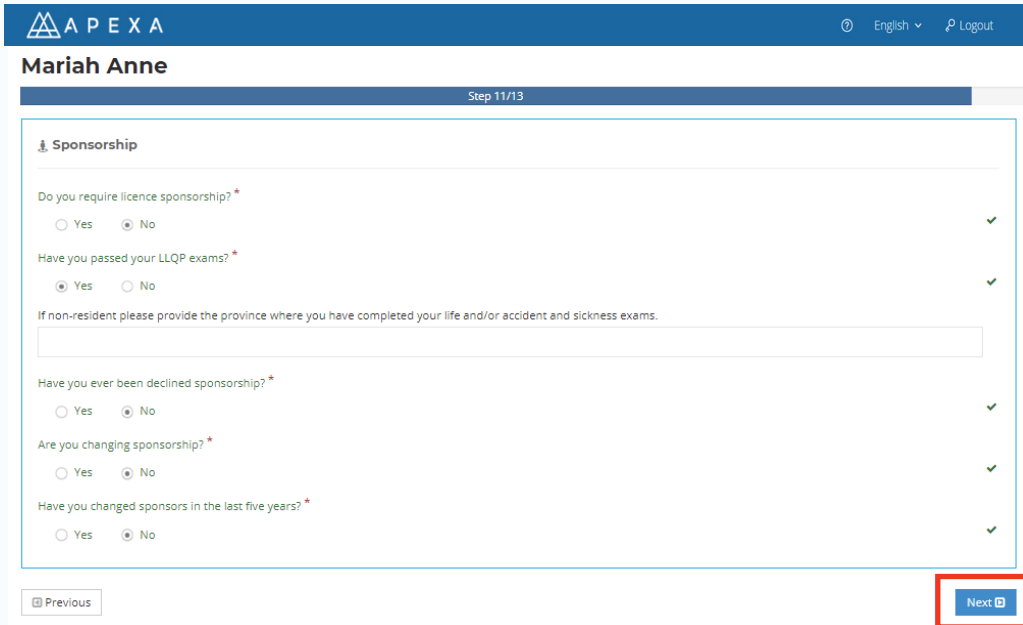
First Name	Last Name	Email	Percent Ownership	Title	Status
✖ If your corporation is owned in part by another corporation, enter the name in the first and last name fields and check the "this person is a minor" flag.					
First Name *	Last Name *	Email *	Percent Ownership	Title	Status
Mariah	Anne	mariahanne@mailinator.com	% 100.00		
<input type="checkbox"/> This person a minor					
<div style="display: flex; justify-content: space-between;"> <span>Cancel</span> <span>Save</span> </div>					

← Previous Finish →

Your APEXA Corporate profile is now complete. You will be asked to finalize your Advisor profile.

## + SPONSORSHIP

11) Respond to all questions regarding sponsorship in order to proceed with profile set up.



**APEXA** English Logout

**Mariah Anne** Step 11/13

**Sponsorship**

Do you require licence sponsorship? \*  
 Yes  No ✓

Have you passed your LLQP exams? \*  
 Yes  No ✓

If non-resident please provide the province where you have completed your life and/or accident and sickness exams.

Have you ever been declined sponsorship? \*  
 Yes  No ✓

Are you changing sponsorship? \*  
 Yes  No ✓

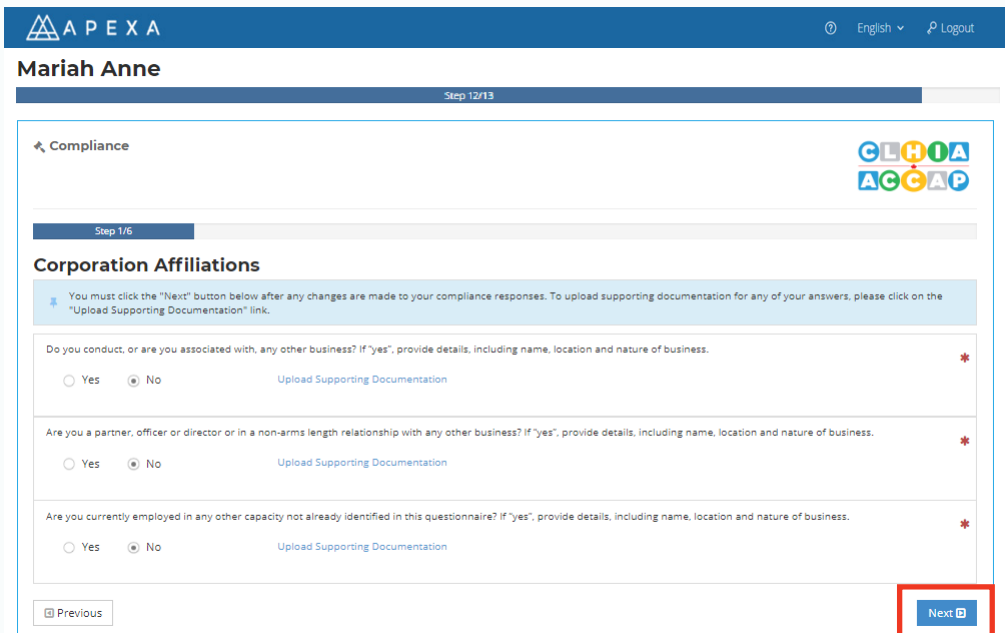
Have you changed sponsors in the last five years? \*  
 Yes  No ✓

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## + COMPLIANCE

12) The remainder of the individual profile set up is the **CLHIA Advisor Screening Questionnaire**. It is mandatory to answer all questions.

- a. Complete each question in the next six screens, and upload supporting documentation as needed.



**APEXA** English Logout

**Mariah Anne** Step 12/13

**Compliance** CLHIA ACP

Step 1/6

**Corporation Affiliations**

You must click the "Next" button below after any changes are made to your compliance responses. To upload supporting documentation for any of your answers, please click on the "Upload Supporting Documentation" link.

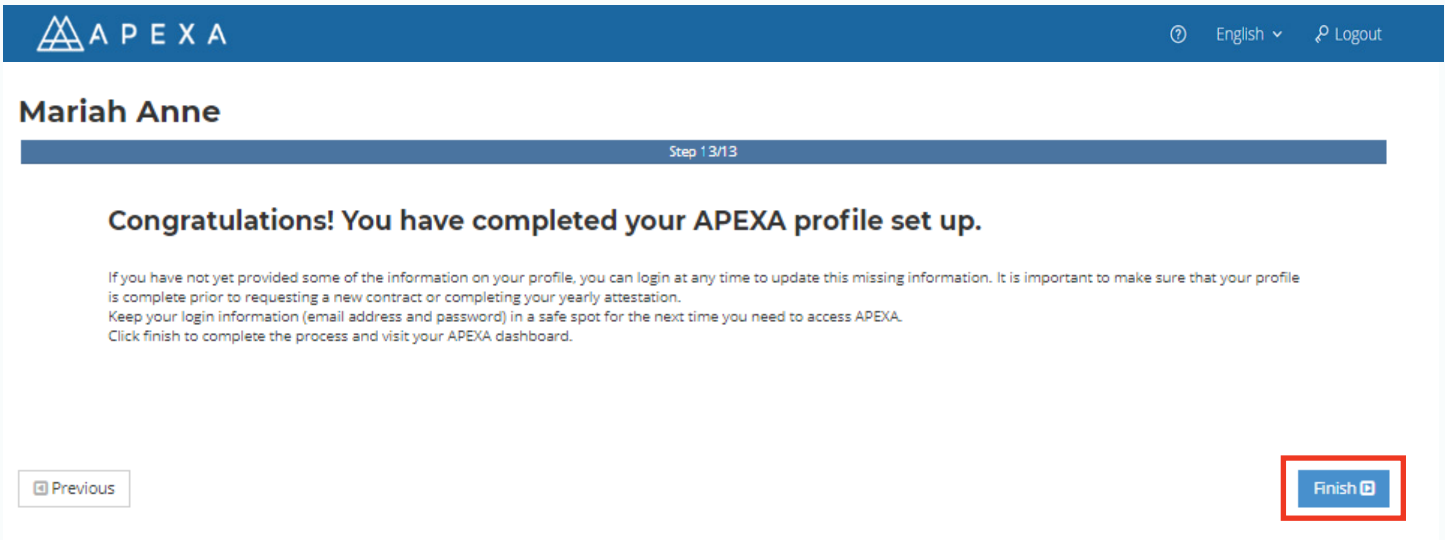
Do you conduct, or are you associated with, any other business? If "yes", provide details, including name, location and nature of business. \*  
 Yes  No Upload Supporting Documentation

Are you a partner, officer or director or in a non-arms length relationship with any other business? If "yes", provide details, including name, location and nature of business. \*  
 Yes  No Upload Supporting Documentation

Are you currently employed in any other capacity not already identified in this questionnaire? If "yes", provide details, including name, location and nature of business. \*  
 Yes  No Upload Supporting Documentation

Previous **Next**

13) Congratulations! You have completed your APEXA profile set up. After you click **Finish**, you will be redirected to the APEXA Dashboard.



The screenshot shows the APEXA user interface. At the top left is the APEXA logo. At the top right are links for help (question mark icon), language (English with a dropdown arrow), and logout (person icon). Below the header, the user's name "Mariah Anne" is displayed. A progress bar indicates "Step 13/13". The main content area features a large heading: "Congratulations! You have completed your APEXA profile set up." Below this heading is a paragraph of text: "If you have not yet provided some of the information on your profile, you can login at any time to update this missing information. It is important to make sure that your profile is complete prior to requesting a new contract or completing your yearly attestation. Keep your login information (email address and password) in a safe spot for the next time you need to access APEXA. Click finish to complete the process and visit your APEXA dashboard." At the bottom left is a "Previous" button with a left arrow icon. At the bottom right is a "Finish" button with a right arrow icon, which is highlighted with a red rectangular border.

**+ GLOSSARY OF TERMS**

<b>Accepting Entity</b>	In a contract transfer situation, this is the party to whom the Advisor is transferring (the party accepting the transfer).
<b>Advisor</b>	Individual who is licensed to sell insurance (Agent, Contractor, Broker, Producer).
<b>Agreement</b>	This is the (once physical) signable document that passes between parties to create the contract.
<b>APEXA ID</b>	This is the unique (to APEXA) identifier for a Corporation or an Advisor.
<b>APEXA Portal</b>	The term used to describe the APEXA system, less the In-Trust database.
<b>Application ID</b>	This is the unique (to APEXA) identifier for a contract.
<b>Attestation</b>	Attestation Annual process whereby an Advisor is required to verify and update their APEXA profile. Each Advisor has their own annual period during which they must perform attestation. This process creates a snapshot of the Advisor's profile, which must be signed by the Advisor.
<b>Background Check</b>	A criminal record check performed by a third party vendor, SterlingBackcheck.
<b>Carrier</b>	Insurance Company
<b>CIPR</b>	Canadian Insurance Participant Registry
<b>Contract</b>	This is the relationship between parties within APEXA.
<b>Contract Codes</b>	The unifying term for all codes (of any type) applied to a contract.
<b>Corporation</b>	A non-billable business formed by or employing one or more Advisors.
<b>Credit Check</b>	A credit check performed by third party vendor, Equifax Canada.
<b>Disciplinary Action</b>	Records of proceedings or decisions made by Provincial regulators, MFDA or IIROC related to Advisor conduct.
<b>Direct Contract</b>	A contractual relationship between the Advisor and Carrier, without any intermediaries in the contracting chain.
<b>Document</b>	A read-only file included in a package to be downloaded, read and accepted by parties within the contract.
<b>E&amp;O Coverage</b>	E&O Coverage Errors and Omissions Insurance Coverage

<b>FundServ Code</b>	FundServ Code Fundserv is the code registrar for the Canadian mutual fund industry. Codes are used to identify your company through the life of a transaction, whether placed on Fundserv or manually outside of the network.
<b>Industry Debt</b>	Commission-related debt which has been accumulated by an Advisor and is owed to their MGA or Carrier Partner, and where recovery attempts have already been made.
<b>MGA</b>	Managing General Agency; holds at least one direct brokerage contract with a Carrier.
<b>Monitoring</b>	“Monitoring” is an on-going process to be carried out by MGAs and Carriers for managing identified risks and identifying additional risks in Advisors.
<b>Onboarding</b>	Process whereby Advisors create their account and populate their initial profile
<b>Package</b>	A set made up of agreements, documents and/or requirements passed between parties in the system to establish contracts, gather additional information, or facilitate contract transfers.
<b>Partner Organization</b>	A billable Corporation that has partnered with APEXA and is granted additional functionality.
<b>Primary Party</b>	This refers to the owner of a contract – the top party in the contracting chain.
<b>Relinquishing Entity</b>	In a contract transfer situation, this is the party from whom the Advisor is transferring (the party relinquishing the transfer).
<b>Selling Code</b>	Unique Code associated with each contract. It is typically recorded on each insurance application by the contractor.
<b>Token</b>	APEXA- generated artifact for attributing ownership of legacy contracts to an Advisor.