



A P E X A

SIMPLY CONNECTED

# CORPORATE PROFILE SET UP

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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.

### CONTRACTING 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 English and French support**

## WHAT YOU'LL NEED

Before you begin, make sure you have everything you'll need to create your Corporation profile on APEXA.

- A digital copy of your Articles of Incorporation
- Your business address history for the last 5 years
- A digital copy of your corporate E&O Coverage certificate, if different from your personal E&O
- A digital copy of your corporate provincial license(s)
- Your corporate selling codes – you may need them to complete an identity verification step
- A list of your shareholder(s), including email address(es) and ownership percentage

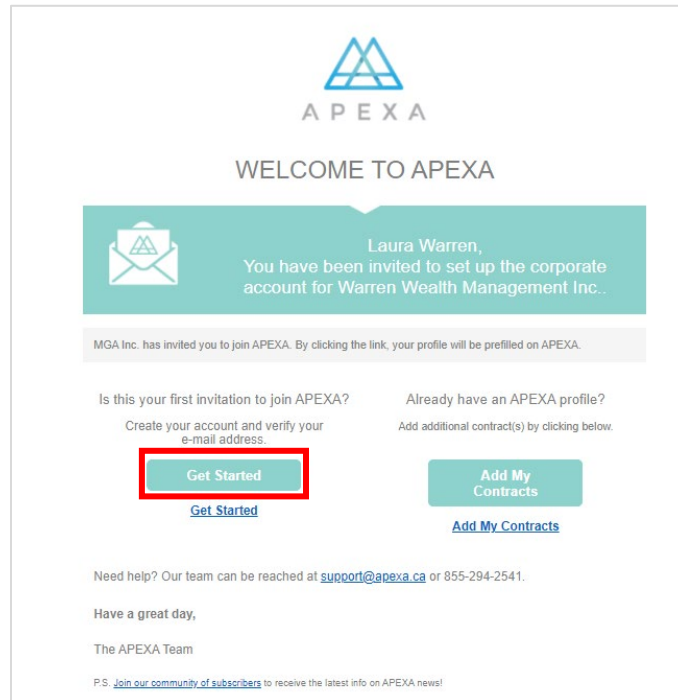
A note about digital copies:

- 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

## REGISTERING YOUR ACCOUNT

APEXA account creation is a two-step process:

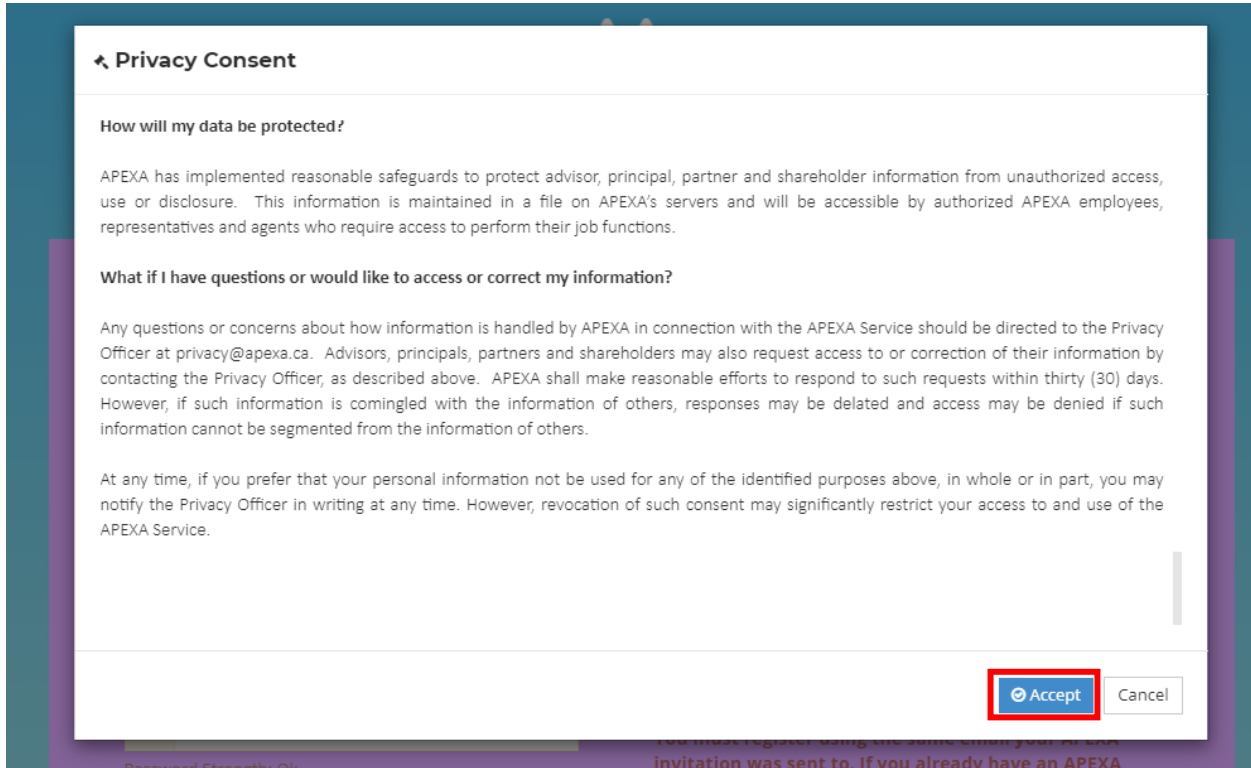
- When you receive your email invitation from your MGA, click on Get Started to begin your registration process.



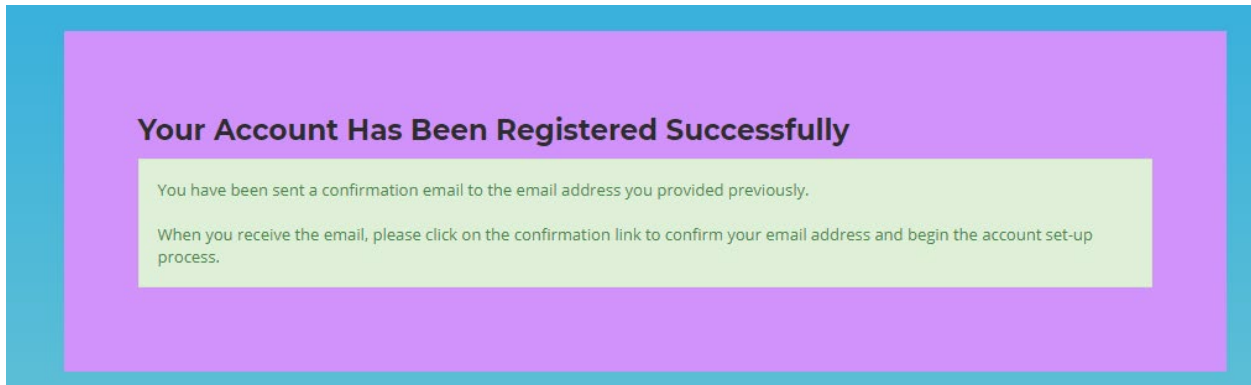
- You will then complete the registration form to create your account, including your name, email address, and a password. Click Register.

The screenshot shows the APEXA registration form. On the left, under "APEXA Registration", there are several input fields: "First Name" (Laura Warren), "Last Name" (Warren), "Email" (warren.wealth@mailinator.com), "Phone" (Y53Q4VDRVDV524KP), "Password" (masked with dots), and "Confirm Password" (masked with dots). Each field has a checkmark to its right. Below the password fields, it says "Password Strength: Ok". At the bottom right of the form is a "Register" button (highlighted with a red box). On the right side, under "What is APEXA?", there is a video player showing a video with a duration of 0:00 / 1:46. Below the video player is a link "Learn more at apexa.ca". At the bottom of this section, there is a note: "You must register using the same email your APEXA invitation was sent to. If you already have an APEXA account, please select the 'Add My Contracts' option from the invitation email. You will have the opportunity to change your email address once your profile is complete".

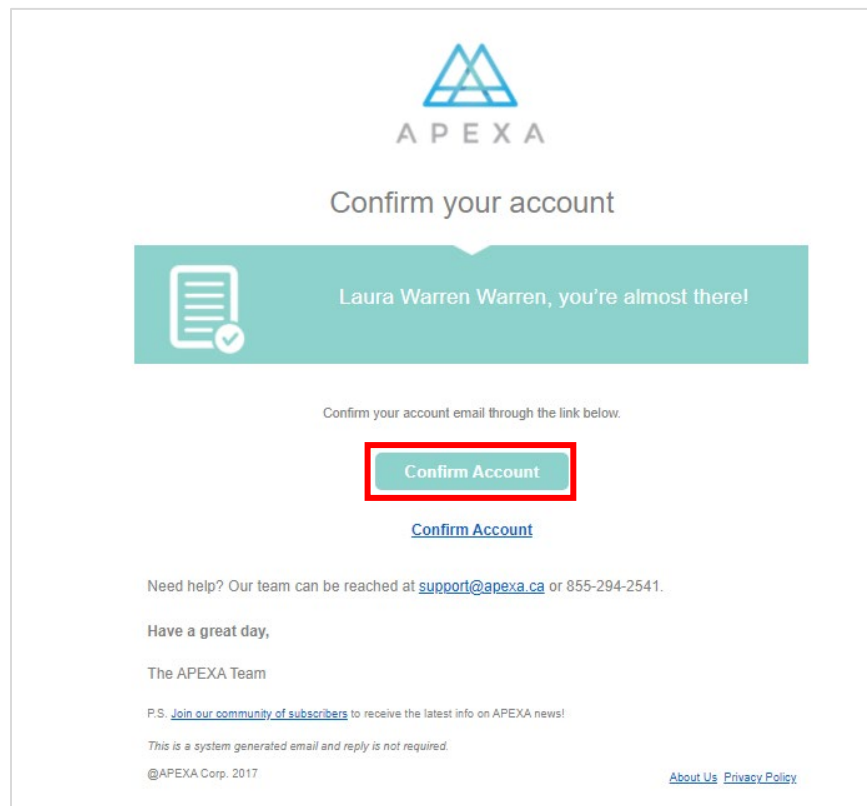
A lightbox pop-up box containing a Privacy Consent form will appear. Please read this form carefully. Once you have reviewed thoroughly, click Accept. The Accept button will become clickable once you have read (and scrolled through) the entirety of the terms.



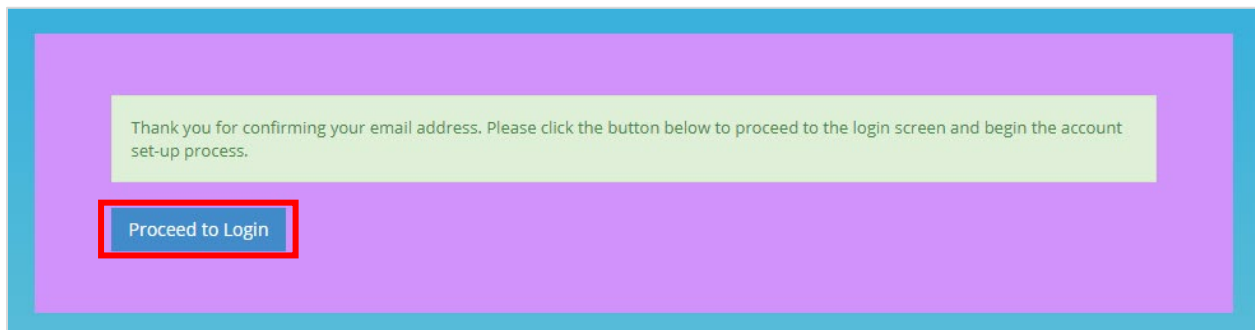
- Once you click Accept, a message will display stating Your Account Has Been Registered Successfully. Please navigate to the email inbox you used to register the profile.



- 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.



- Once you click Confirm Account, you will be directed back to APEXA. Click Proceed to Login:



- You can now proceed to log in to APEXA to set up your profile. Enter the credentials you used to create your APEXA account and click Login.

**Welcome to the APEXA Portal**

**Login to your account**

**Login**

[Forgot your Password?](#)

- Once you successfully login, Welcome to the APEXA Advisor Portal will display. Click Begin Profile Setup to get started.

**Welcome to the APEXA Advisor Portal**

You're about to complete the profile set-up process. The initial set-up will take some time, but once it's complete all of the Carriers and MGAs that you work with on APEXA will have access to this information and any updates you make in the future will be automatically provided to them.

**Before you begin, make sure you have the following things you'll need to complete your profile:**

- Your address history for the last 5 years
- Digital copy of your E&O Coverage policy
- Digital copy of your provincial licence(s)
- Information about the Insurance carriers you have worked for in the past
- Digital copy of your banking information (void cheque)

**If you're responsible for a corporation, you'll need a few additional items:**


- Your company's date of incorporation
- Digital copy of your Articles of Incorporation
- A list of shareholders for your company

**Begin Profile Setup**



## CORPORATION INFORMATION

1. Complete all mandatory fields on this page: **Corporation Type, Business Number and Phone Service Password and Answer** (if you call our Help Desk, we'll use this password to confirm your identity). You'll also be required to upload a scanned copy of your corporate registration documents.

 English Logout

### Warren Wealth Management Inc.

[Details](#) [Addresses](#) [Phones](#) [E&O](#) [Licences](#) [Shareholders](#)

#### 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.

**\*** 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 Corporate Name  
Warren Wealth Management Inc.

[Change name](#)

Trade Name

Corporation Type <sup>\*</sup> Privately Held Corporation

Business Number <sup>\*</sup> # 123456789

**!** Maximum file upload size is 20MB

Please Upload a copy of your corporate registration documents <sup>\*</sup>

[Remove](#) [Browse...](#)

What corporate documents are accepted to verify my corporation? **!**

#### Phone Service Password

Choose a Question <sup>\*</sup> First Car You Owned

Answer <sup>\*</sup> Honda Civic

What is this password used for? **!**

[Previous](#) [Next](#)

## ADDRESSES AND PHONE NUMBERS

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

**Warren Wealth Management Inc.**

Details Addresses Phones E&O Licences Shareholders

**Addresses** + Add

There are no outstanding issues with your business addresses.

**Business**

Address	City	Province	Postal Code	Moved In	Moved Out	Current	Contracts
123 Fake Street	Toronto	Ontario	M6H 2H6	2001-01-01		✓	0

[Click here to add a new address.](#)

Previous Next

3. Provide at least one phone number.

**Warren Wealth Management Inc.**

Details Addresses Phones E&O Licences Shareholders

**Phone Numbers** + Add

There are no outstanding issues with your phone numbers.

Type	Phone	Extension
Business	(416) 999-9999	

[Click here to add a new phone.](#)

Previous Next

## E&O COVERAGES & LICENSES

4. The E&O coverages section is mandatory to complete your corporate profile set up. 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.
  - i. Complete all mandatory fields (marked with an asterisk and in red text). All information can be found on your E&O certificate.
  - ii. Upload a copy of the E&O certificate and click Save.

**Warren Wealth Management Inc.**

Details Addresses Phones **E&O** Licences Shareholders

**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.							

E&O Provider \*  
Westport Insurance Corporation ✓  
[Unable To Find E&O Provider? Click here to send message to Help Desk.](#)

Name on Coverage \*  
Warren Wealth Management Inc. ✓

Firm Name  
[Empty]

Additional Insured  
[Empty]

Certificate Number \*  
123456789 ✓

Policy Number  
[Empty]

Status \*  
Active ✓

Per Claim Amount \*  
\$ 1,000,000 ✓

Aggregate Amount \*  
\$ 2,000,000 ✓

This coverage includes fraud protection. \*  
 Yes  No ✓

Effective \*  
2021-01-01 ✓  
YYYY-MM-DD

Expires \*  
2023-01-01 ✓  
YYYY-MM-DD

Maximum file upload size is 20MB

Please upload a scanned copy of the E&O certificate. \*

Warren Wealth - E&O.pdf Remove Browse... ✓

Cancel **Save**

5. Entering your corporation's resident license is mandatory for APEXA Corporate profile set up.

- i. Complete all mandatory fields on this screen.
- ii. Upload a scanned copy of our license and click **Save**.
- iii. Follow the above steps for any non-resident corporate licenses held.

**APEXA** English Logout

### Warren Wealth Management Inc.

Details Addresses Phones E&O Licences Shareholders

**Licences**  Do not have a licence Declared no licence on: 2021-03-10 **+ Add**

There are no outstanding issues with your licence details.

Licence Number	Issuing Province	Type	Issued	Expires	Status	Resident	Health	Verify
	Ontario	Life Insurance and A&S Insurance Agent	2021-01-01	2022-01-01	Active			

Issuing Province \*  
Ontario ✓

Full Legal Name of Firm \*  
Warren Wealth Management Inc. ✓

Type \*  
Life Insurance and A&S Insurance Agent ✓

Status \*  
Active ✓

Licence Number \*  
123456789 ✓

Sponsor/Supervisor

Issued \*  
2021-01-01 ✓  
YYY - MM - DD

Expires \*  
2022-01-01 ✓  
YYY - MM - DD

Conditions

Maximum file upload size is 20MB

Licence Upload \*  
Warren Wealth - Ontario License.pdf Remove Browse... ✓

Cancel **Save**

## SHAREHOLDERS

6. 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; an invite will automatically be sent to any Shareholders who are required to complete an APEXA profile once the Corporation profile setup is complete.
  - i. Complete all mandatory fields on this screen and click Save.
  - ii. Once all owners are documented, press Finish.

**Corporation Owners** + Add

! Ownership of all shareholders listed must total 100% in order for this business to contract with other parties.

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 *					
Laura					✓
Last Name *					
Warren					✓
<input type="checkbox"/> This person a minor					
Email *					
warren.wealth@mailinator.com					✓
Percent Ownership					
% 100.00					✓
Title					
President					
Cancel					Save




**APEXA** English Logout

### Warren Wealth Management Inc.

Details | Addresses | Phones | E&O | Licences | Shareholders

#### Shareholders + Add

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

First Name	Last Name	Email	Percent Ownership	Title	Status	
Laura	Warren	warren.wealth@mailinator.com	100.00%	President	Pending	  

[Click here](#) to add a new organization owner record.

Previous Finish

7. Congratulations! You have completed your APEXA corporation profile set up and the MGA that initiated the invitation will be notified. After you click Ok, you will be redirected to the APEXA Dashboard.

## 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.