Introduction

This is a supplemental User Guide intended to describe the following SMART features, replacing Security Administration>User Profile Maintenance feature from EFS:
Search/Edit>Broker

This is a sub section of the SMART User Guide. You may contact TechSupport via email to obtain a complete version of the User Guide.

Note: Development is in progress; this guide may be updated as new releases are in place.

Prerequisites

You must have an authorized account with active credentials to SLTX's Electronic Filing System (EFS) or SMART application. SMART utilizes EFS credentials; therefore, separate credentialing is not necessary. Prior to accessing SMART and/or utilizing the API, you are required to accept any licensing agreements: Privacy Policy, Terms of Use, and SMART Connector and/or API User Licensing Agreement (when applicable).

Environments
The following URLS are used for SMART:
Test: https://test.sltx.org/ **Production:** https://smart.sltx.org/

Site Navigation
To navigate back one or more pages, you may use your browser's back button or clickable breadcrumbs at the top of each page, or the left navigation panel.

Supported Browsers
- Google Chrome
- Microsoft's Edge

NOTE: Internet Explorer (IE), regardless of the version, is not supported

Primary Navigation
Step 1: Select Search/ Edit menu and click Brokers
*This allows for viewing of information SLTX maintains about your agency, maintain/create Online filing users' profiles, or reset passwords for existing profiles, and maintain/create Contracts.
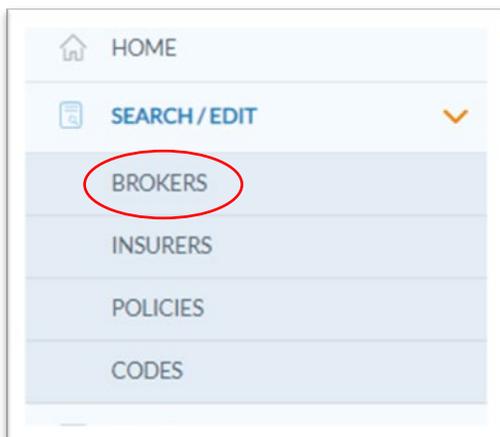
BASIC Search

Step 1: Once you click Broker from Search/Edit menu, you may view license and contact info by selecting License/Contact tab. Info for agent or agency will be shown with authorized credential.

Note: SLTX obtains licensing info directly from Texas Department of Insurance (TDI), while contact info is obtained from you, the user, or other external sources.

SLTX TEST AGENCY

TDI License No. 99999 | TDI Broker ID 666666666 | NPN

LICENSE/CONTACT	MONTHLY TOTALS	FILING / CONTRACTS	LATE FILING	AUDIT	M&A	HISTORY	SECURITY

License Information

Broker Type	License Status	License Effective	License Expiration
Corporate	Active	12/31/2003	12/31/2022

Contact

Contact Name	Email
YOUR NAME	NAME@EMAIL.COM

Phone	Extension	Alternative Phone	Extension
(512) 531-1880		(800) 681-5848	

Alternative Email	Broker Principal Email ⓘ	Website
NAME@EMAIL.COM	SOME OTHER NAME	WWW.SLTX.ORG

TSLA Member

No

Alternative Contacts

NAME	EMAIL	PHONE	EXTENSION
YOUR NAME 3	NAME@EMAIL.COM	(512) 555-1212	1234
YOUR NAME 4	NAME@EMAIL.COM	(512) 555-1212	456

Address

MAILING	OFFICIAL HOME OFFICE	THIRD PARTY FILER

Line 1

805 LAS CIMAS PARKWAY STE 300

Line 2	Line 3
ADDR LINE 2	ADDRESS LINE 3

City	State	Zip
DALLAS	PA	78665

DBA/AKA
Step 1: To View DBAs on file with SLTX, click the down arrow to the right of "DBA/AKA".
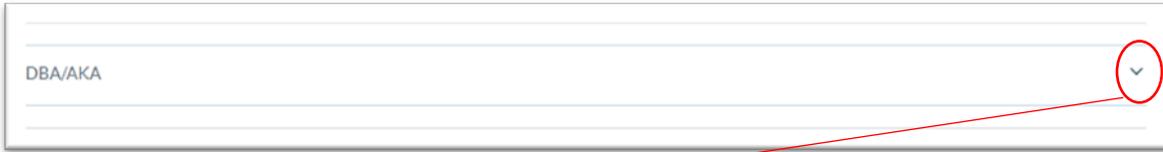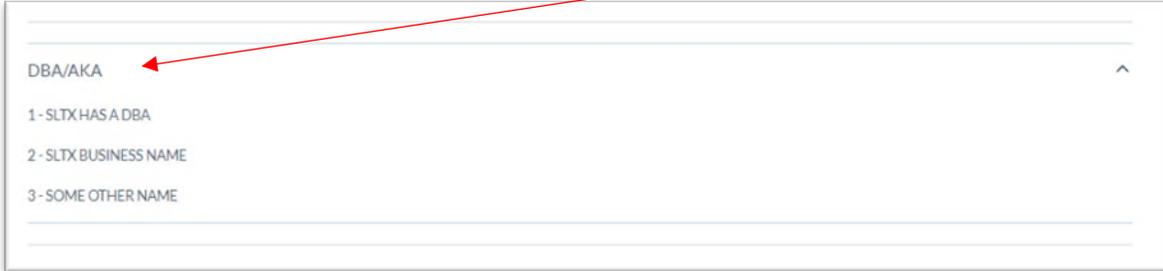
DBA/AKA

DBA/AKA
1 - SLTX HAS A DBA
2 - SLTX BUSINESS NAME
3 - SOME OTHER NAME

Broker Monthly Totals Tab

Step 1: After completing STEP 1 from Primary Navigation section, you may view summarized premium data by selecting Monthly Totals tab. Information relating to premium and filing counts related to your agency will be shown.

Home / Search - Edit / Brokers / 99999

SLTX TEST AGENCY

TDI License No. 99999 | TDI Broker ID 666666666 | NPN

| LICENSE/CONTACT | MONTHLY TOTALS | FILING / CONTRACTS | LATE FILING | AUDIT | M&A | HISTORY | SECURITY |

Monthly Totals

2022 ⌄   Display ⌄

MONTH ↑	ITEM COUNT ⓘ	POLICY COUNT ⓘ	PREMIUM	TAX	STAMPING FEE	SUR TAX	NON-TX (PRE-NRRA)	EXEMPT	NON-TX (POST-NRRA)	TOTAL PREMIUM
January	20	8	$318,820.00	$15,462.78	$239.14	$0.00	$0.00	$50.00	$100.00	$318,970.00
February	4	2	$12,300.00	$596.56	$9.23	$0.00	$0.00	$0.00	$0.00	$12,300.00
March	179	27	$136,156.45	$6,603.60	$132.91	$0.00	$0.00	$0.00	$330.00	$136,486.45
April	266	146	$878,773.75	$42,620.49	$659.15	$0.00	$0.00	$813.00	$2,515.00	$882,101.75
May	52	28	$117,519.56	$5,699.72	$88.15	$0.00	$0.00	$4,000.00	$2,642.76	$124,162.32
June	61	32	$162,540.25	$7,883.25	$121.98	$0.00	$0.00	$30,150.00	$15,800.00	$208,490.25

Filing / Contracts Tab > Contracts sub-tab
Step 1: After completing STEP 1 from Primary Navigation section, you may view Contracts by selecting Contracts from Filing/Contracts tab. Contracts which are associated with your agency will be shown.

Note: A Contract is a regularly used group of insurers and/or syndicates normally used when making policy flings. Any Contract shown may assist in making policy filings by selecting Contract, which will automatically populate insurers and/or syndicates directly into policy filings.

Note: The use of Contracts is not required; and instead, is presented as an optional feature.

View Details: Click down arrow to the right of contract to view insurers, percentage of participation, and syndicates within each contract.

Edit Existing Contracts

Step 1: Click EDIT link to EDIT existing Contracts. Functions include updating Contract ID, Description, Date, Status, and Insurer information. A Contract may also be DELETED.

Step 2: Once changes have been made, click SAVE. Click CANCEL and you will return to Filing / Contracts Tab without saving changes.

*Clicking CANCEL will not save your changes!

Step 3: To DELETE a Contract, click DELETE.

Note: Confirm delete. It cannot be undone once confirmed.

Add New Contracts

Step 1: Click Add Contract button to create or add a new Contract

*Clicking CANCEL will not save your changes!

Step 2: Input Contract ID, Description, Date, and Status. Additionally, input insurer(s) and corresponding percentage of participation. A type-ahead feature is available for Insurers, allowing users to type TDI license number, Insurer Name, or syndicate number (when applicable). Once complete, click SAVE.

When searching for or selecting one or more Lloyd's syndicates, first select Underwriters at Lloyd's London. It's not necessary to input percentage of participation for any Lloyd's syndicate, but info must be included on insurance document (per 6 TIC 981.101(c)(5)).

Filing / Contracts Tab > Outstanding Errors (Tags) sub-tab

Step 1: After completing STEP 1 from Primary Navigation section, you may view a listing of outstanding errors (tags) by selecting Outstanding Errors (Tags) from Filing/Contracts tab. All outstanding errors (tags) will be shown, sorted by age.

<Future Release> *Ability to navigate to correct or delete errors workflow directly from this page.*

Primarily, users will access this page / feature by clicking "View Error (Tags)" or "Outstanding Error (Tags)" from Broker Landing page.

Broker Late Filing Tab
Step 1: After completing STEP 1 from <u>Primary Navigation</u> section, you may view summary data relating to monthly and annual late filings by selecting Late Filing tab.

<Future Release> *Ability to directly link to monthly or annual reports.*

SLTX TEST AGENCY

TDI License No. 99999 | TDI Broker ID 666666666 | NPN

LICENSE/CONTACT	MONTHLY TOTALS	FILING / CONTRACTS	LATE FILING	AUDIT	M&A	HISTORY	SECURITY

Late Filing

Monthly

Estimated Totals ⓘ

MONTH / YEAR ↓	% LATE POLICIES	TOTAL POLICIES	TOTAL LATE POLICY COUNT	NON-ENFORCEMENT COUNT (FEES)	ENFORCEMENT COUNT	ACTIONS
December 2015	84.84%	1728	1466	33	1433	N/A
December 2014	75.63%	197	149	23	126	N/A
February 2014	0.50%	798	4	3	1	N/A
December 2013	1.20%	6149	74	65	9	N/A

Displaying records 1 - 4 of 4.

Annual Report

YEAR ↓	% LATE POLICIES	TOTAL POLICIES	TOTAL LATE POLICY COUNT	NON-ENFORCEMENT COUNT (FEES)	ENFORCEMENT COUNT	TOTAL FEE	USER	ACTIONS
2015	84.84%	1728	1466	20	1446	$2,000.00	EFSTEST1	N/A

Broker Audit Tab
Step 1: After completing STEP 1 from Primary Navigation section, you may view summary data relating to policy audits by selecting Audit tab.

<Future Release> Ability to directly link to policy audit requests and/or results reports.

Home / Search - Edit / Brokers / 99999

SLTX TEST AGENCY

TDI License No. 99999 | **TDI Broker ID** 666666666 | **NPN**

LICENSE/CONTACT	MONTHLY TOTALS	FILING / CONTRACTS	LATE FILING	AUDIT	M&A	HISTORY	SECURITY

Audit Accuracy

SET NO. ↓	POLICY COUNT	DATA ELEMENTS	CRITICAL ERRORS	MEDIUM ERRORS	LOW ERRORS	ACCURACY RATE	RESULTS DATE	LINK TO RESULTS
(0111)98	1	23	3	0	0	86.96%	Not Applicable	View Results
(0110)99	1	23	3	2	1	81.30%	Not Applicable	View Results
(0110)98	1	23	2	0	0	91.30%	Not Applicable	View Results
(0081)1	1	23	4	2	0	78.26%	Not Applicable	View Results
(0080)1	1	23	2	1	0	89.13%	Not Applicable	View Results
(0075)1	1	23	5	1	1	74.78%	Not Applicable	View Results

Displaying records 1 - 6 of 6.

Broker M&A Tab

Step 1: After completing STEP 1 from Primary Navigation section, you may view mergers and/or acquisitions relating to your agency by selecting M&A tab.

Home / Search - Edit / Brokers / 99999

SLTX TEST AGENCY

TDI License No. 99999 | **TDI Broker ID** 666666666 | **NPN**

LICENSE/CONTACT   MONTHLY TOTALS   FILING / CONTRACTS   LATE FILING   AUDIT   M&A   HISTORY   SECURITY

Mergers/Acquisitions

TEST LICENSE

TDI License No. 5555   **TDI Broker ID** 363636   **Effective Date** 02/15/2021

Broker History Tab
Step 1: After completing STEP 1 from Primary Navigation section, you may view history relating to your agency by selecting History tab.

Home / Search - Edit / Brokers / 99999

SLTX TEST AGENCY

TDI License No. 99999 | TDI Broker ID 666666666 | **NPN**

| LICENSE/CONTACT | MONTHLY TOTALS | FILING / CONTRACTS | LATE FILING | AUDIT | M&A | HISTORY | SECURITY |

History

EFFECTIVE DATE	CHANGE TYPE	PREVIOUS VALUE	USER	DATE ↓
09/05/2022	Agent Name change	SLTX TEST AGENCY 08/17	CHERRERA	09/05/2022 8:38:45 PM
08/17/2022	Agent Name change	SLTX TEST AGENCY	E_CHEYENNE	08/17/2022 2:59:36 PM
07/31/2022	National Producer Number	123456789	CHERRERA	07/31/2022 5:29:22 PM
07/20/2022	Agent Name change	SLTX TEST AGENCY 07/20	CHERRERA	07/20/2022 9:47:19 PM
07/20/2022	Agent Name change	SLTX TEST AGENCY	E_CHEYENNE	07/20/2022 9:00:44 AM
11/28/2021	Agent Name change	SLTX TEST AGENCY(NOV)	CHERRERA	11/28/2021 10:20:07 PM
11/08/2021	Agent Name change	SLTX TEST AGENCY	E_CHEYENNE	11/08/2021 12:57:28 AM
09/27/2021	Agent DBA 3 change	[New Record]	CHERRERA	09/27/2021 7:21:51 PM
09/27/2021	Agent DBA 2 change	DISK CHANGE INCREASE DBA	CHERRERA	09/27/2021 7:21:51 PM
09/27/2021	Agent DBA 1 change	SLTX TEST AGENCY DBA CHANGE	CHERRERA	09/27/2021 7:21:51 PM

Displaying records 1 - 10 of 38.

1 2 3 4 › »

Broker Security Tab
Step 1: After completing STEP 1 from Primary Navigation section, you may view Online Filing Users by selecting Security tab. Users associated with your agency will be shown.

Note: This table, separated by sub-sections, includes details for each User ID, including user type, status, number of invalid log-in attempts, and when password is set to expire. It will also let you know status of each user's acceptance of any necessary SMART End User Licensing Agreements EULA), Terms of Service (TOS), and/or Privacy Policies (PP).

Home / Search - Edit / Brokers / 99999

SLTX TEST AGENCY

TDI License No. 99999 | TDI Broker ID 666666666 | NPN

LICENSE/CONTACT   MONTHLY TOTALS   FILING / CONTRACTS   LATE FILING   AUDIT   M&A   HISTORY   **SECURITY**

Security   Edit

Profile

Phone	Primary Email	Secondary Email
(512) 555-1212	CHERRERA@SLTX.ORG	CHERRERA@SLTX.ORG

Broker Status	Max Login Attempts	Password Expire Days
Active	10	90

Users   Documents   Pending Approval   Sent Invitations   Add User   Invite New User   Display ⌄

USER ID	NAME ↓	EMAIL	ROLE	STATUS	TYPE OF ACCESS ⓘ	APPROVED BY ⓘ	LOGIN ATTEMPTS	PASSWORD EXPIRES	ACTION
NONADMIN	YOUR USER NAME	NAME@EMAIL.COM	User	Active	Filing & Payments		0	12/15/2021	✎

Edit Primary / Secondary (Online Filing) Contacts
Step 1: From Security section, click EDIT button to edit primary and secondary (online filing) contact information. Functions include updating Phone Number, Primary Email, and Secondary Email.

Home / Search - Edit / Brokers / 99999

SLTX TEST AGENCY

TDI License No. 99999 | TDI Broker ID 666666666 | NPN

LICENSE/CONTACT   MONTHLY TOTALS   FILING / CONTRACTS   LATE FILING   AUDIT   M&A   HISTORY   SECURITY

Security

Profile

Phone	Primary Email	Secondary Email
(512) 555-1212	CHERRERA@SLTX.ORG	CHERRERA@SLTX.ORG

Broker Status	Max Login Attempts	Password Expire Days
Active	10	90

Cancel   **SAVE**

Step 2: Once changes have been made, click SAVE. Click CANCEL and return to Security Tab without saving changes.

Users sub-section

Edit Existing Users

Step 1: Click pencil icon from ACTION column to EDIT existing user profiles. Functions include updating User's Name, Email, Authority, Password, and/or inactivating or deleting a profile.

Note: Once created, User ID cannot be changed.

Step 2: Once changes have been made, click SAVE. Click CANCEL and return to Security Tab without saving changes.

*Clicking CANCEL will not save your changes!

Step 3: To DELETE a user's profile, click DELETE.

Note: Confirm delete. It cannot be undone once confirmed.

Add New Users

Step 1: Click Add User button to create or add a new user profile
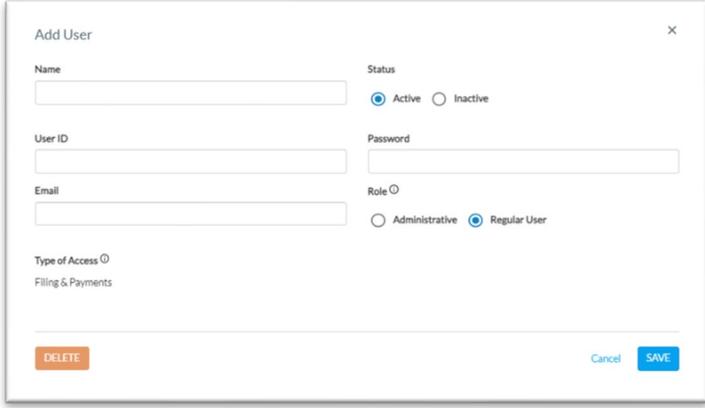
Step 2: Input User's Name, User ID, Email, and Password. Once appropriate role for the user is selected, click SAVE.
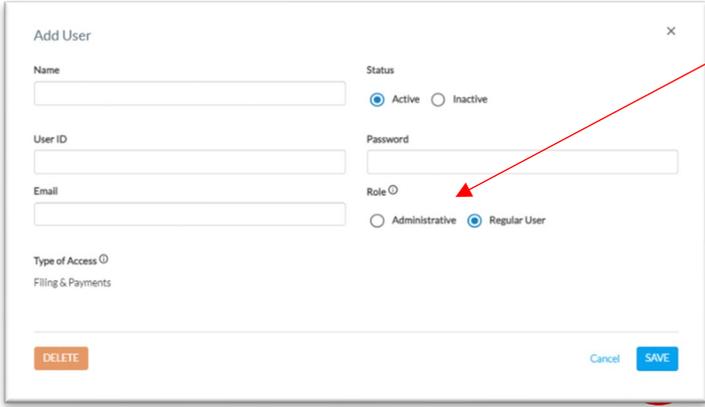
*Clicking CANCEL will not save your changes!

Note: Administrative Authority allows user to create new and/or maintain user profiles.

Password Requirements

Must be a combination of alphanumeric characters, containing at least 1 special character, and between 8 and 20 characters long.

Note: A password may not contain the broker or user's name(s) or User ID.

User ID Requirements

Must be between 3 and 10 characters long and unique. You will be prompted to select another User ID if prompted one is in use. Once created, a User ID cannot be changed.

Approved By

Name of SLTX employee who approved agency's user's test transactions, or license number of broker or agency where the user previously tested.

Invite New Users (Alternative Workflow from "Add New User")
Step 1: Click Invite New User button to invite new user to SMART, which allows invited user to create profile and password

Step 2: Input User's Name and Email. Once appropriate role and type of access is selected, click INVITE.
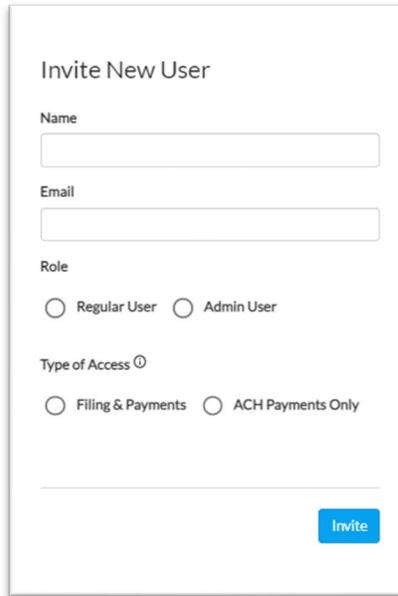
Note: Administrative Authority allows user to create new and/or maintain user profiles.

Step 3: Invited user will receive an email from SMART, which includes a link to allow final set-up of SMART user profile.

Step 4: After clicking link within Invitation email, invited **user** will be presented with assigned User ID and allowed to input a password.

Step 5: After noting assigned User ID and password, click REGISTER to allow the **invited user** to complete setup of user profile.

Documents sub-section

USER ID ↓	PRIVACY POLICY	TERMS OF SERVICE	API END USER LICENSE AGREEMENT	SMART CONNECTOR END USER LICENSE AGREEMENT
TPWD	✖	✖	✖	✖
TESTPOST	✔	✔	✔	✔
TESTCRT	✖	✖	✖	✖

Users   **Documents**   Pending Approval   Sent Invitations

Sent Invitations sub-section

Reflects any outstanding or incomplete invitations. If necessary, administrative user may resend invitation by clicking RESEND.

Note: once an invited user accepts and completes the New User Invitation, they will no longer be shown in the "Sent Invitations" sub-section.

Users	Documents	Pending Approval	**Sent Invitations**					
NAME	**EMAIL**	**STATUS**	**TYPE OF ACCESS** ⓘ	**ROLE**	**DATE SENT** ↑	**EXPIRE DATE**	**SENT BY**	**ACTIONS**
CNH TEST	CHERRERA@SLTX.ORG	Expired	Filing & Payments	User	02/17/2022	02/20/2022	TESTPOST	Resend Cancel
CHEYENNE HERRERA	CHERRERA@SLTX.ORG	Expired	Filing & Payments	Administrative	07/13/2022	07/16/2022	CHERRERA	Resend Cancel
TEST INVITE	TECHSUPPORT@SLTX.ORG	Pending	ACH Payments Only	User	09/07/2022	09/10/2022	CHERRERA	Resend Cancel

Displaying records 1 - 3 of 3.

Display Option for Users table

Step 1: After navigating to Security tab, you may also control which basic information is displayed within Users table.

Note: Once selected, SMART will remember selection.

Version Changes

4.1

    Added new feature within Filing/Contracts tab: Outstanding Tags (Errors)

    Updated Filing/Contracts>Contracts sub-tab screens to reflect most recent layout

4.0

    Added new broker search tabs: Monthly Totals, Late Filing, Audit, M&A, and History

    Updated language for consistency

3.1

    Updated User Maintenance screens to reflect most recent layout

    Added "Invite New User" workflow

    Added "Sent Invitations" sub-section

    Added ability to edit primary / secondary online filing contact information

3.0

    Added Broker>Filing/Contracts tab

    Updated layout of Broker>Security tab by adding sub-tabs

2.2

    First documentation released for Search/Edit>Brokers