



Department: SALES & MARKETING	Version #: 3
Title: AGENT OF RECORD	
Process Owner: Chief Sales Officer	Date Created: 05/08/2018 Last Date Reviewed: 10/01/2021
Document Type: Policy	Approver(s): Policy Review Committee
References: N/A	Date Approved: 10/26/2021

Printed copies are for reference only. Please refer to the S/Policies and Work Instructions for the most recent version.

Purpose: The purpose of this Agent of Record (AOR) policy is to standardize and set forth the guidance for ATRIO staff to know which agent is the member's approved servicing agent and which is to be compensated under the ATRIO Broker Commission work instructions.

Summary: This policy ensures proper matching of compensation to the agent responsible for the enrollment, strengthens the ATRIO/Agent relationship while also strongly discouraging agent predatory practices in the field.

Scope: This policy applies to the Sales & Marketing, Customer Service, Billing and Enrollment and the Finance departments.

Definitions: Agent of Record (AOR): The field agent who assisted the consumer and whose agent ID is entered on the MA plan enrollment application, will be noted as the AOR.

Policy: Agent assignment is used for determining a member's current servicing agent and for calculating payment of commission to the agent responsible for an enrollment.

Under the ATRIO Agent of Record policy, the AOR status and corresponding renewal commissions will be retained, when existing ATRIO members make like-to-like plan change via CMS.gov, atriohp.com, ATRIO telesales agent, or paper enrollment application without the involvement of a renewal eligible agent. The AOR must be appropriately licensed, appointed, and certified to be eligible for commission renewal.

Member/agent relationships can change at times other than enrollment or re-enrollment. Accordingly, it is the policy of ATRIO to allow members to complete and submit an AOR

change form, along with an Authorized Representative form, to change their servicing agent of record. ATRIO reserves the right to review and determine AOR assignment requests on a case-by-case basis. Any approved AOR changes will take effect on January 1st the following year.

Exceptions may be made to this policy when it is in the best interest of the parties involved and has been pre-approved by ATRIO's Chief Sales Officer.

Agents may be removed as the AOR if there is any indication that the agent/member relationship has been disrupted, if a complaint is received, upon a member's or agent's request or for other legal, compliance or regulatory purposes.

Resources:

N/A