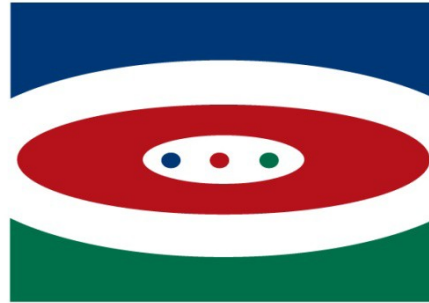


NCRB-NCRF-NCIGA



north carolina

RATE BUREAU

REINSURANCE FACILITY

INSURANCE GUARANTY ASSOCIATION

# ManageOwnership User Guide

Version 1.3 – last updated on 1 April 2022

North Carolina Rate Bureau  
2910 Sumner Boulevard  
Raleigh, NC 27616  
919-783-9790

If at any time during these procedures you need assistance, you may contact the Information Center at:

Phone: 919-582-1056  
E-mail: [support@ncrb.org](mailto:support@ncrb.org)

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# Before You Start...

Welcome to the ManageOwnership web application. ManageOwnership allows an agent or carrier to submit changes for Ownership information.

Online training videos have been created to assist you in using the new features in ManageOwnership application. These are available in the new [NCRB Online Learning Center located here](#). Should you have any questions regarding these systems, please let us know by calling (919) 582-1056 between the hours of 8:00am – 5:00pm (Mondays through Thursdays), 8:00am – 12:00pm (Fridays), or via email at [support@ncrb.org](mailto:support@ncrb.org).

By taking some time to review the first few pages of this user guide, this will prepare any user to quickly learn how to use this powerful online tool. ManageOwnership was designed to be user-friendly and easy-to-use, but if problems occur, reference this guide for help.

Now let's get started!

## Web Browser Specifications

ManageOwnership has been tested and certified working for the Chrome browser. Other browser such as IE11, Firefox, Opera, Netscape and MS EDGE are not supported at this time.



You can download the latest version of Chrome free of charge at <https://www.google.com/chrome/>

## Cookies

ManageOwnership uses **session cookies** to remember important information as you move from page to page within the application. These session cookies reside in your browser's memory only as long as your browser session is active. In other words, when you close your web browser after using ManageOwnership, the session cookie is destroyed, thus protecting any data you entered while using ManageOwnership.


**Note:** Many web applications use **standard cookies** – a standard cookie is written to your hard drive and is used to remember you the next time you visit the application's web site. ManageOwnership uses session cookies, not standard cookies, so no data is written to your hard drive (unless you request to download a file).

## Opening New Windows

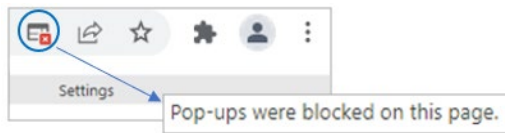
Some pages in ManageOwnership open, or spawn, a new browser window when they are accessed. For example, when you view an ERM-14 form or open an uploaded document, you are spawning a new window. Remember to close the new window whenever you want to exit it and return to where you were in ManageOwnership.

## Configuring Your Pop-up Blocker

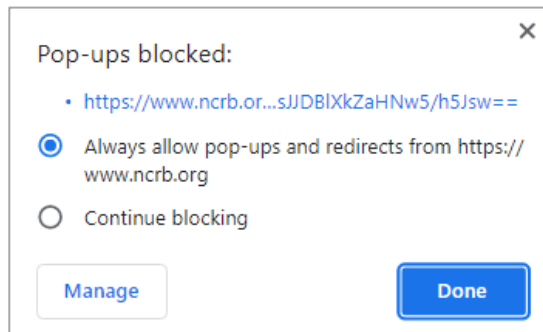
If you have a pop-up blocker installed, you will need to allow pop-ups from the NCRB Web site to properly use ManageOwnership.


**Step 1.** On your computer, open **Chrome** .

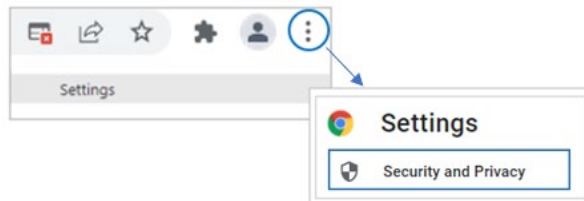
**Step 2.** If you have already received a **Pop-ups blocked** message as shown below, click on the pop-ups blocked icon to manage pop-ups for the selected page.



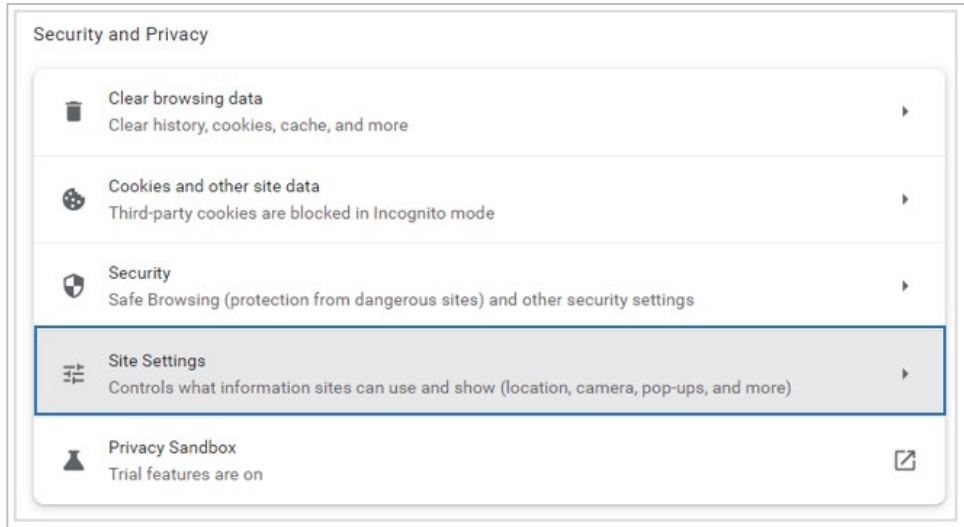
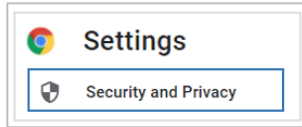
**Step 3.** In the pop-up message, click the radio button to “*Always allow pop-ups and redirects from <https://www.ncrb.org>*” and select **Done**.



**Step 4.** Pop-ups can also be updated under browser settings. In the top right of your screen, click **More**  → **Settings**.



**Step 5.** Under Settings, click **Security and Privacy** → **Site Settings**.



**Step 6.** Under **Site Settings**, locate the **Content** section and select **Pop-ups and redirects**.

**Step 7.** Under Customized behaviors, go to 'Allowed to send pop-ups and use redirects' and click the '**Add**' button. Enter the following URL [www.ncrb.org](http://www.ncrb.org) and click '**Add**'.



**Step 8** Confirm URL [www.ncrb.org](http://www.ncrb.org) has been added and close window to exit

## System Timeout

ManageOwnership times out after it has been inactive for more than one hour. A message displays indicating that the user must log into the system again.

The screenshot shows the login page for the NCRB, NCRF, and NCIGA application portal. The page features a blue header with the organization's name and logo. A red error message at the top reads "Error : 5 : Session Expired". Below this, the "Logon" section explains that access is restricted to authorized personnel and provides instructions for new and existing users. The "Enter Logon Information" section contains input fields for "Logon ID\*" and "Password\*", a "Logon" button, and a "Forgot Your Password?" link. A callout box labeled "Expired session notice" points to the error message.

**Expired session notice**

# Accessing ManageOwnership

ManageOwnership is located under the Workers Compensation section of the NCRB public website (<http://www.ncrb.org>) or directly at the following URL: <https://www.ncrb.org/manageownership/>.


Figure 1: ManageOwnership Landing page

North Carolina Rate Bureau Confidential Request for Ownership Information

The ownership information collected in this web application may be used in establishing premiums for your Workers Compensation and Employers Liability insurance coverages. Your workers compensation policy requires that you report ownership changes and other changes as detailed within, to your insurance carrier in writing within 90 days of the change. If any of the entities are interstate rated (going business in multiple states), completion of an NCCI ERM-14 form may be required. Please contact our Information Center for additional information at 919-582-1056 or via email at [ucinfo@ncrb.org](mailto:ucinfo@ncrb.org)

You hereby certify that you are either 1) the employer subject to this ownership form, or 2) the current carrier of record or producer of record for the employer organization ("Employer"). You agree to defend, indemnify, and hold NCRB and its directors, employees, and affiliates harmless from any and all claims, suits, actions, losses, damages, costs, and expenses (including reasonable attorneys' fees) arising from or relating to your breach of this Certification and Agreement, including without limitation your failure to meet the certification requirements above. You acknowledge that NCRB may electronically capture and store your agreement to these terms along with your identifying information, which will link your acceptance with your email address.

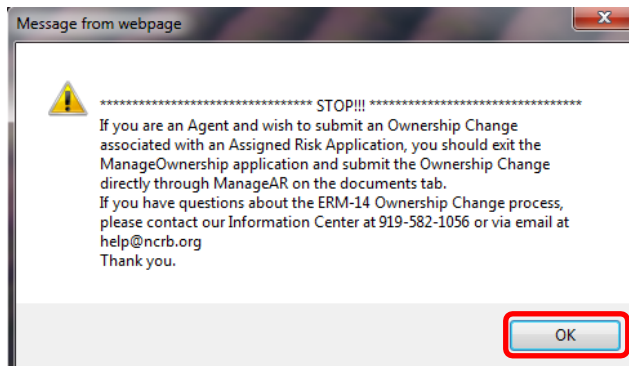
Your Name:  Your Email:  Confirm Email:   
Your Phone:  Your Company:  Your Title:

I'm not a robot 

\* indicates a required field

NOTE: If an Agent or Carrier is logged into the portal and accesses the ManageOwnership application through the public website or Web Security → ManageOwnership, the following message will display:

Figure 2: ManageOwnership Landing page



If you are an Agent attempting to submit an ownership change associated with a ManageAR application, navigate to ManageAR, locate the application and revisit the General Information page (specifically question 3).



# Navigating in ManageOwnership

ManageOwnership was designed with an intuitive user interface that makes it easy to report and submit ownership changes pertaining to their North Carolina business entities. This section provides an overview and explains some rules about navigating in ManageOwnership.

## ManageOwnership Navigation

ManageOwnership is designed to require Users to enter required data on each page before progressing to the next page in the application. When a User enters data and clicks the Save or Next button, the system will validate required fields before allowing a User to navigate to the next page.

If errors are found during validation, error message(s) will display and allow a User to correct any errors. Once a page has been validated, a User may choose to navigate back to a validated page to view and/or make changes. A User may choose to navigate to a previous page by clicking the **Previous** button in a current page or by clicking a menu item in the left side menu.

The order in which the application collects and displays data is as follows:

**Landing Page:** Allows a user to enter credentials to begin a new NC Ownership Form and/or allow a user to access the Search Unsubmitted forms page.

**Ownership Changes Page:** Allows a user to select an Ownership Change Type and begin entering information that will be populated on the ERM-14 form.

**Entities Page:** Allows a User to add, edit, and delete Entities associated with an ownership change.

**Officers Page:** Allows a user to add, edit or delete Officers associated with an Entity via manual entry or by uploading a list.

**Documents Page:** Allows a user to upload supporting documents.

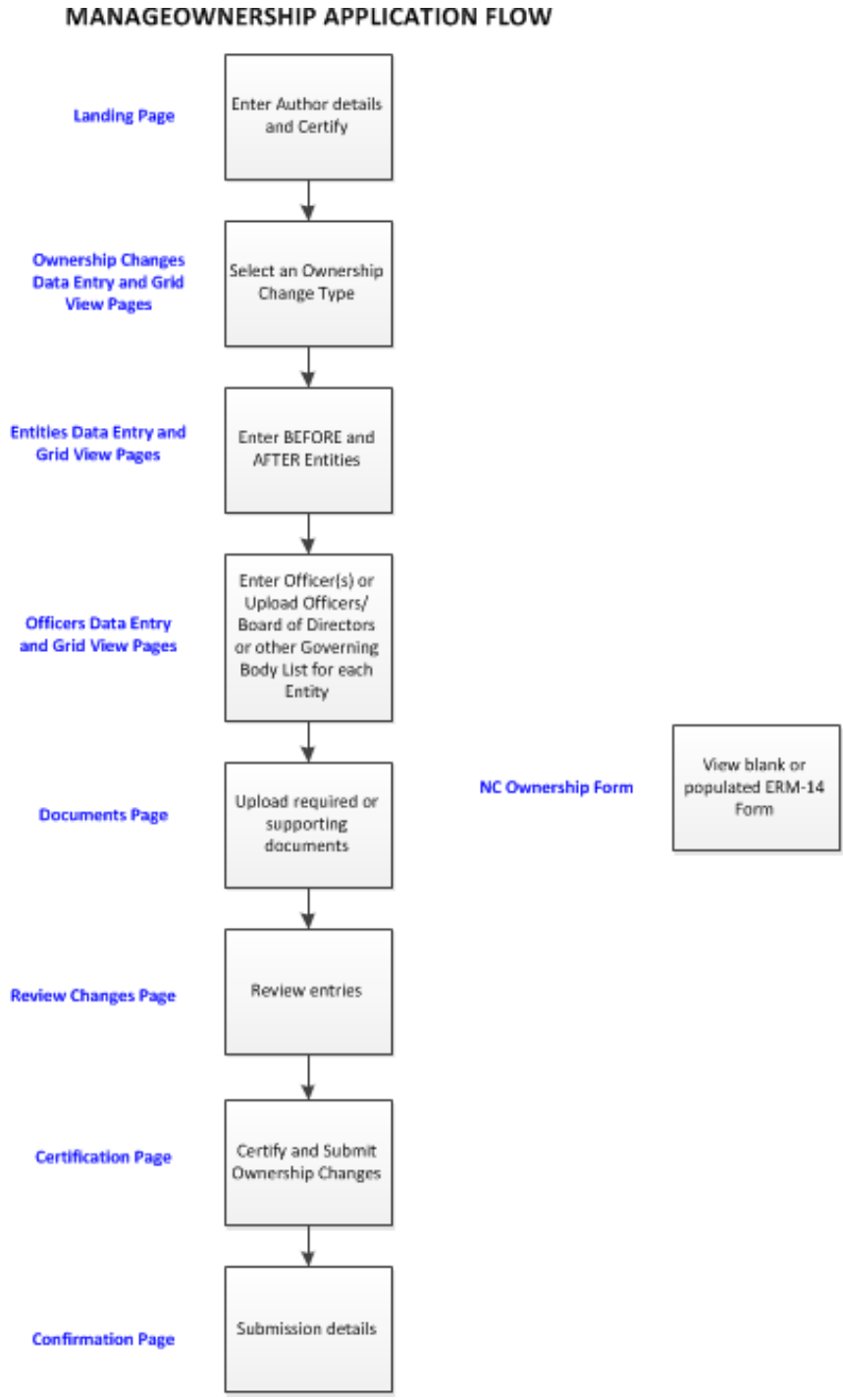
**Review Changes Page:** Allows a user to review and edit entities and review associated Officers for a specific Submission.

**Certification Page:** Allows a user to certify and submit an NC Ownership Change.

**Confirmation Page:** Provides submission details to the submitter.

**NC Ownership Form:** Allows a user to view entered data in the NC Ownership Form PDF.

Figure 3: ManageOwnership Application Flow

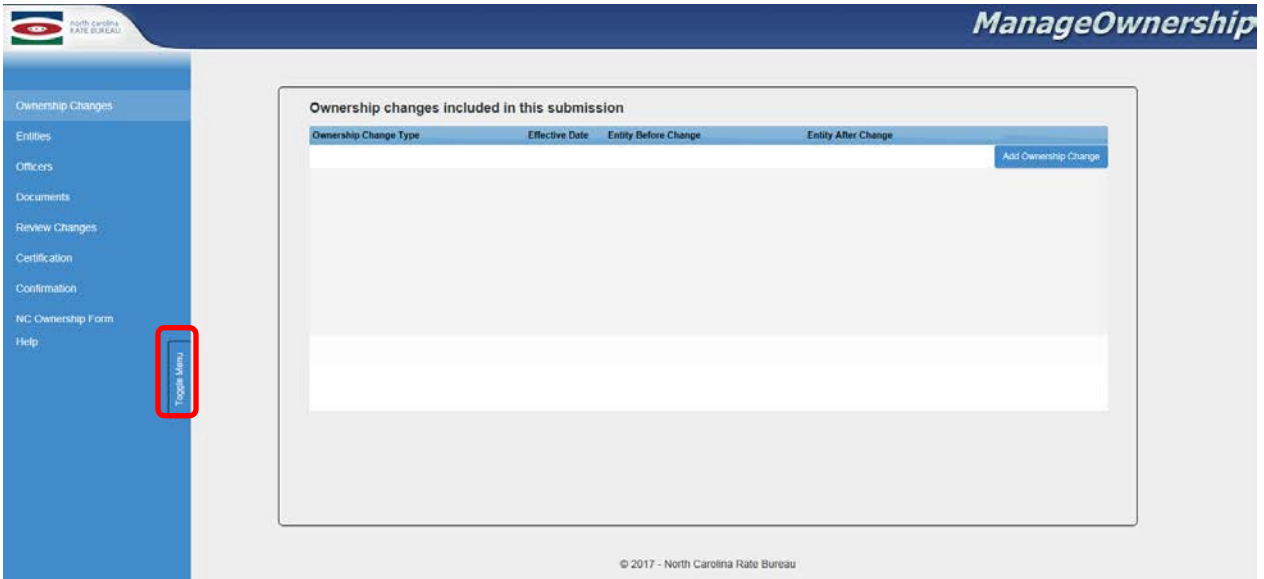


## ManageOwnership Features

A **Toggle Menu** feature is available to allow you to hide or display the left side menu items. Clicking the **Toggle Menu** button will hide or display the left side menu items. Click once to hide, click again to display.

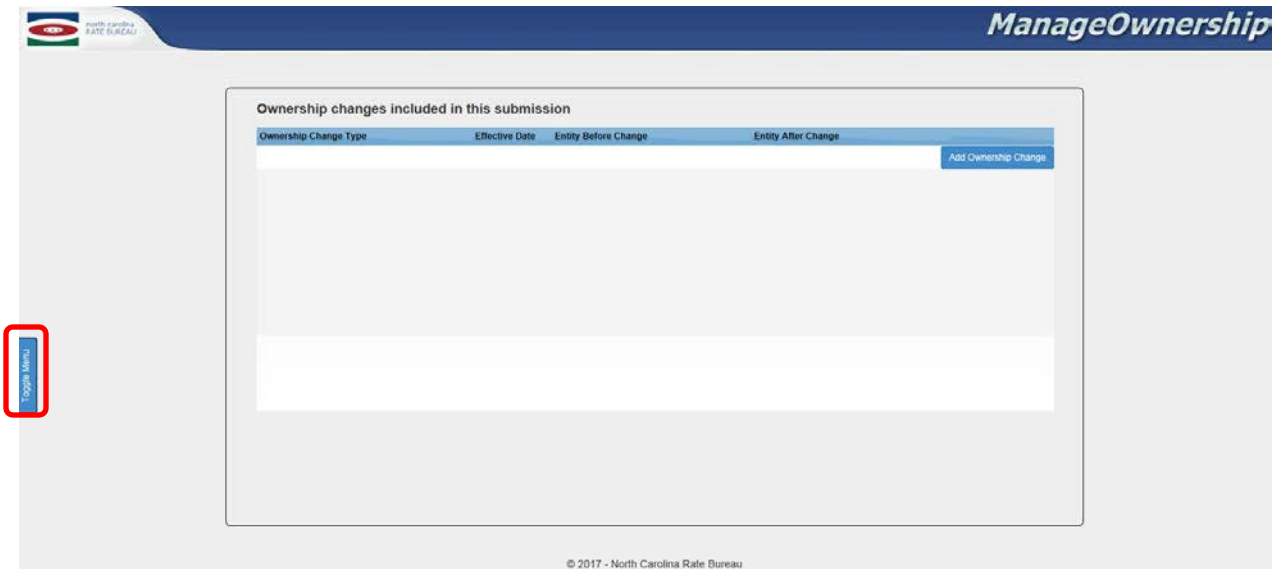
**Toggle Menu** in display mode – left menu is expanded and menu items display:

**Figure 4: Menu displayed**



**Toggle Menu** in hide mode – left menu collapses and menu items are hidden from view:

**Figure 5: Menu hidden**



## ManageOwnership Views

The ManageOwnership application is designed to capture Ownership Change Type details and then provide a summary grid view. Ownership Changes, Entities, Officers and Documents pages will consist of a pop-up to enter detailed data or upload a list or document, and then provide a summary grid view of the saved data and uploaded list or document(s).

Example: Entity Details pop-up – allows a User to enter Entity Details. The red \* indicates the field is required.

Figure 6: Entity details data entry pop-up

Enter the details of this Entity BEFORE Name and/or Legal Entity Change:

Type of Entity:  \*

Name of Entity:  \* Entity FEIN:

Address 1:  \* Foreign Address:

Address 2:

City:  \* State:  \* Zip Code:  \*

Area:  Country:

Contact Name:  \* Contact Email:  \*

Contact Phone:  \* Website:

Insurance Carrier:  Policy Number:

Example: Entity Grid View – allows a User to view a summary of data in a grid view.

Figure 7: Entities summary grid page

**ManageOwnership**

Submitter: **Kenneth Michael (Agent)** Submitter Company: **Karins Company**  
Submission ID: **10123** Submission Status: **INITIATED**  
Ownership ID: **10137** Effective Date: **3/20/2017** Reported Date: **4/3/2017**  
Ownership Change Type: **Merger or consolidation**

**Entities BEFORE Merger or consolidation:**

Entity Name	Address	Insurance Carrier	Policy Number		
Kens Tree Service	A Street Raleigh, NC 27611	Nationwide	P22334566	<input type="button" value="Edit"/>	<input type="button" value="Delete"/>
John's Lawn Mowing	12 Apple Street Raleigh, NC 27614	Geico	P33224567	<input type="button" value="Edit"/>	<input type="button" value="Delete"/>

**Entities AFTER Merger or consolidation:**

Entity Name	Address	Insurance Carrier	Policy Number		
Kens Tree Service and Lawnmowing	A Street Raleigh, NC 27611	Nationwide	P22334566	<input type="button" value="Edit"/>	<input type="button" value="Delete"/>

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## ManageOwnership Buttons

Throughout the ManageOwnership application, a variety of common buttons will display: **View**, **Save**, **Edit**, **Delete**, **Clear**, **Add**, **Previous**, **Next**, **Save & Exit**. Below is an explanation of each button:

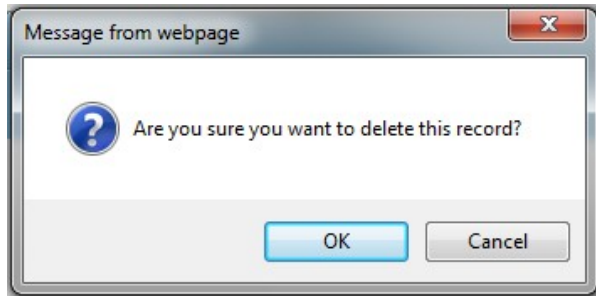
**Save Button:** Allows data to be saved if field requirements have been met.

**Edit Button:** Allows data to be edited. A detail pop-up box will display with populated fields of the record to be edited.

**Delete Button:** Allows data to be deleted.

A message box will display with **OK** and **Cancel** buttons.

**Figure 8: Delete pop-up**



**OK** button will delete data.

**Note:** When deleting an Entity, **all** associated officers data and supporting documents will be deleted from the ManageOwnership application.

**Cancel** button will cancel the delete action.

**Clear Button:** Allows fields on a pop-up to be cleared.

**Add Button:** Allows data to be added.

**Previous Button:** Allows navigation to a previously validated page.

**Next Button:** Allows navigation to the next page in sequence per the following rules:

Validation will be performed on the current page fields and if validation passes, data will be saved and the next page in the sequence of navigation will display.

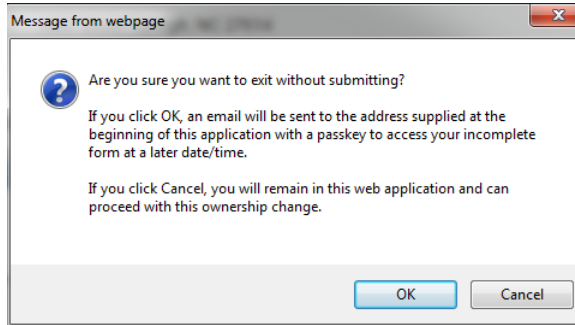
If a page **fails** validation, an error message(s) will display. Correction of all errors is required before progressing to the next page.

**Save & Exit Button:** Allows a User to Save & Exit the ManageOwnership application and return at a later date/time to enter and submit the Ownership Change(s).

**Note:** Requires at least one Entity to be entered and saved.

A message box will display with **OK** and **Cancel** buttons.

**Figure 9: Save & Exit pop-up**



**OK** button will save validated data, close the application, and send an email to the author with instructions on how to re-access an unsubmitted Ownership Change form.

**Cancel** button will cancel the Save & Exit action.

**Figure 10: Example Email**

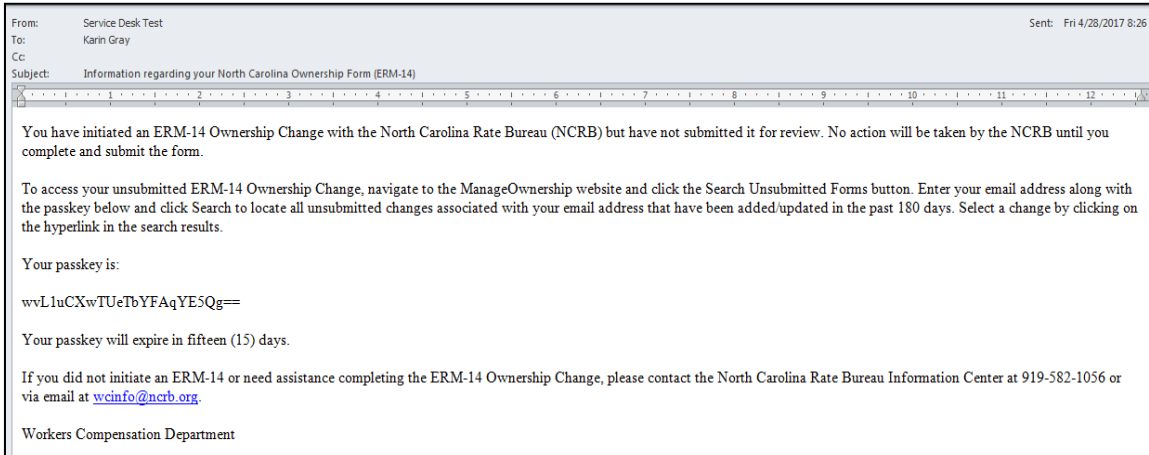


Figure 11: Entities summary grid – example buttons

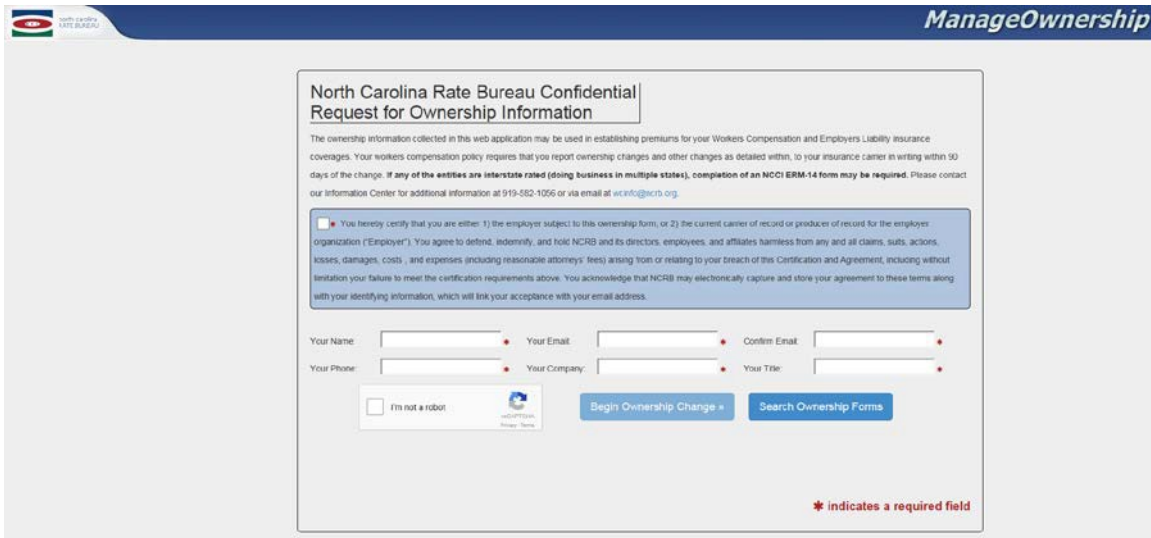
Submitter: <a href="#">Janet Smith (Manager)</a>	Submitter Company: <b>Janet's Dresses</b>															
Submission ID: <b>10126</b>	Submission Status: <b>INITIATED</b>															
Ownership ID: <b>10139</b>	Effective Date: <b>4/3/2017</b> Reported Date: <b>4/4/2017</b>															
Ownership Change Type: <b>Name and/or Legal Entity Change</b>																
<b>Entities BEFORE Name and/or Legal Entity Change</b>																
<table border="1"><thead><tr><th>Entity Name</th><th>Address</th><th>Insurance Carrier</th><th>Policy Number</th><td></td></tr></thead><tbody><tr><td>Janet's Dresses</td><td>112 Main Street Raleigh, NC 27612</td><td>Nationwide</td><td>P444333222</td><td><a href="#">Edit</a> <a href="#">Delete</a></td></tr><tr><td colspan="4"></td><td><a href="#">Add Entity</a></td></tr></tbody></table>		Entity Name	Address	Insurance Carrier	Policy Number		Janet's Dresses	112 Main Street Raleigh, NC 27612	Nationwide	P444333222	<a href="#">Edit</a> <a href="#">Delete</a>					<a href="#">Add Entity</a>
Entity Name	Address	Insurance Carrier	Policy Number													
Janet's Dresses	112 Main Street Raleigh, NC 27612	Nationwide	P444333222	<a href="#">Edit</a> <a href="#">Delete</a>												
				<a href="#">Add Entity</a>												
<b>Entities AFTER Name and/or Legal Entity Change</b>																
<table border="1"><thead><tr><th>Entity Name</th><th>Address</th><th>Insurance Carrier</th><th>Policy Number</th><td></td></tr></thead><tbody><tr><td>Janet's Clothing</td><td>112 Main Street Raleigh, NC 27612</td><td>Nationwide</td><td>P444333222</td><td><a href="#">Edit</a> <a href="#">Delete</a></td></tr><tr><td colspan="4"></td><td><a href="#">Add Entity</a></td></tr></tbody></table>		Entity Name	Address	Insurance Carrier	Policy Number		Janet's Clothing	112 Main Street Raleigh, NC 27612	Nationwide	P444333222	<a href="#">Edit</a> <a href="#">Delete</a>					<a href="#">Add Entity</a>
Entity Name	Address	Insurance Carrier	Policy Number													
Janet's Clothing	112 Main Street Raleigh, NC 27612	Nationwide	P444333222	<a href="#">Edit</a> <a href="#">Delete</a>												
				<a href="#">Add Entity</a>												
<a href="#">Save &amp; Exit</a>	<a href="#">Next »</a>															

## Submit a New Ownership Change

### Landing Page

When the ManageOwnership application opens, the **Landing** page will display. The **Landing** page collects the authors information and obtains certification.

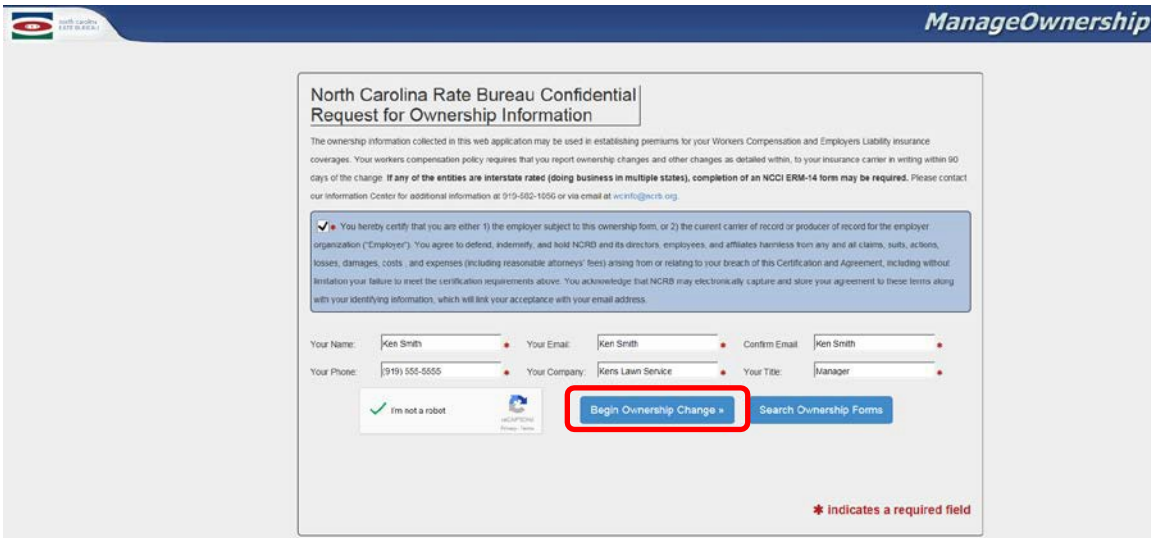
Figure 12: Landing Page



The screenshot shows the 'ManageOwnership' landing page. At the top left is the North Carolina Rate Bureau logo, and at the top right is the 'ManageOwnership' header. The main content area is titled 'North Carolina Rate Bureau Confidential Request for Ownership Information'. Below the title is a paragraph of text explaining the purpose of the form. A large blue box contains a certification statement with a checkbox that is currently unchecked. Below this are several input fields: 'Your Name', 'Your Email', 'Confirm Email', 'Your Phone', 'Your Company', and 'Your Title'. Each field has a red asterisk indicating it is required. At the bottom left is a re-captcha box with the text 'I'm not a robot'. At the bottom right are two buttons: 'Begin Ownership Change' and 'Search Ownership Forms'. A legend at the bottom right states '\* indicates a required field'.

Check the **Certify** box, enter the required fields, and complete the re-captcha (to verify you are not a robot). When the required fields have been entered, the **Begin Ownership Change** button will be enabled.

Figure 13: Landing Page – Begin Ownership Change button enabled



This screenshot is identical to Figure 12, but the 'Begin Ownership Change' button is now highlighted with a red rectangular box. Additionally, the certification checkbox is now checked, and the input fields are populated with sample data: 'Your Name' is 'Ken Smith', 'Your Email' is 'Ken Smith', 'Confirm Email' is 'Ken Smith', 'Your Phone' is '(919) 555-5555', 'Your Company' is 'Kens Lawn Service', and 'Your Title' is 'Manager'. The 'I'm not a robot' re-captcha box now shows a green checkmark.

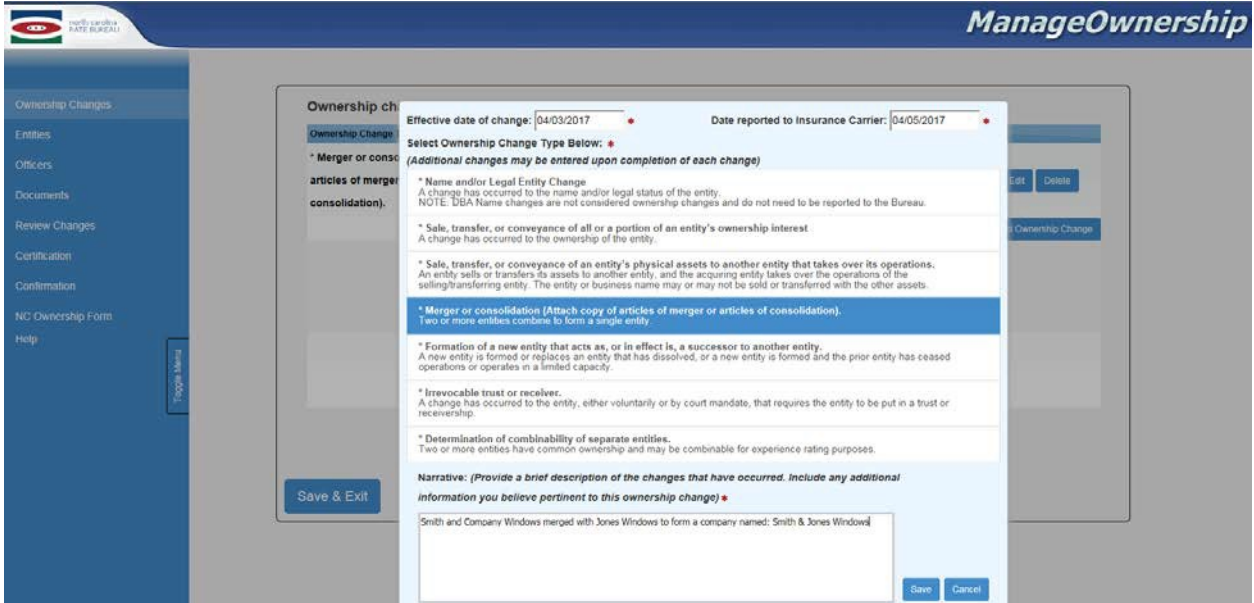
Click the **Begin Ownership Change** button to navigate to the **Ownership Change Type** page.



## Ownership Change Type Page

The Ownership Change Type page captures details for the Ownership Change Type to be reported to the NCRB.

Figure 14: Ownership Changes data entry page



Select or enter dates in the **Effective date of change** and **Date reported to the Insurance Carrier** fields.

Select an **Ownership Change Type** by clicking on the **Change Type** (i.e. Name and/or Legal Change). The selected Ownership Change Type description will be highlighted.

**Note:** If multiple Ownership changes need to be reported, the User will be given an opportunity to enter additional changes upon completion of each change.

Enter a brief description of the Ownership change in the **Narrative** textbox.

Click the **Save** button to save the selected Ownership Change and navigate to the **Entity Data Entry Pop-up**.

Click the **Cancel** button to cancel saving the selected Ownership Change.

## Entity Data Entry Pop-up

The **Entity BEFORE [Ownership Change Type]** data entry pop-up captures the Entity data before a change occurred. The Ownership Change Type selected will display in the header. In this example Ownership Change Type Merger or Consolidation was selected.

Figure 15: Entity details data entry pop-up

Enter the details of this Entity BEFORE Merger or Consolidation:

Type of Entity:  \*

Name of Entity:  \* Entity FEIN:

Address 1:  \* Foreign Address:

Address 2:

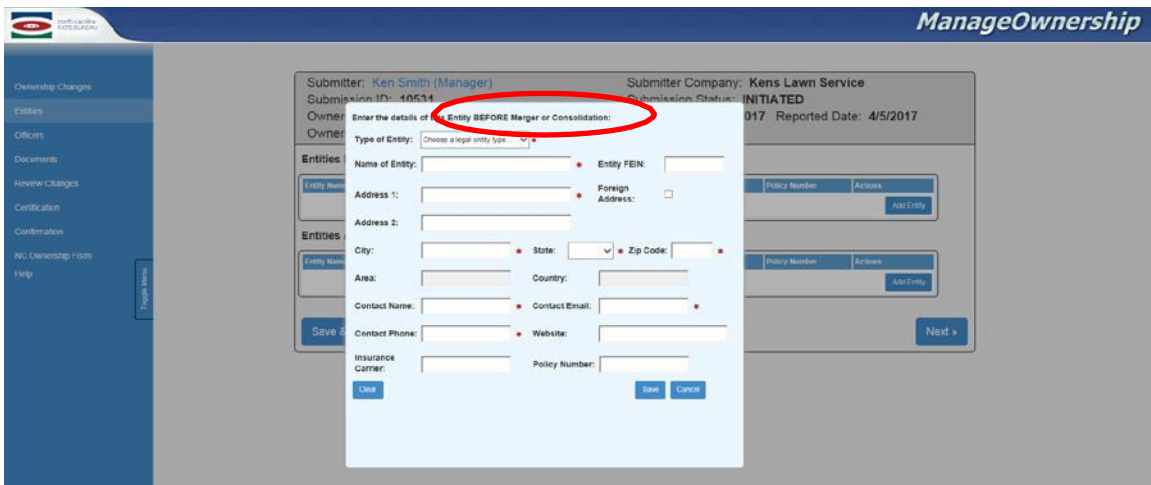
City:  \* State:  \* Zip Code:  \*

Area:  Country:

Contact Name:  \* Contact Email:  \*

Contact Phone:  \* Website:

Insurance Carrier:  Policy Number:



Users are required to enter all Entities BEFORE and all Entities AFTER, for a selected Ownership Change Type.

The following chart lists the required number of Entities BEFORE and Entities AFTER for an Ownership Change Type:

<b>Ownership Change Types</b>	<b>Least # of Before Entities</b>	<b>Least # of After Entities</b>
Name and/or legal entity Change	1	1
Sale, transfer or conveyance of all or a portion of an entity's ownership interest	1	1
Sale, transfer or conveyance of an entity's physical assets to another entity that takes over its operation	1	1
Merger or consolidation	2	1
Formation of a new entity that acts as, or in effect is, a successor to another entity	1	1
Irrevocable trust or receiver	1	1
Determination of combinability of separate entities	2	0

After the required number of **Entities BEFORE** and **Entities AFTER** have been entered and saved, the **Entities Grid** page will display.

**Example:**

Smith and Company Windows is merging with Jones Windows to Form a Company named Smith & Jones Windows. The Ownership Change Type = Merger or Consolidation.

The Entities BEFORE are:  
 -Smith and Company Windows  
 -Jones Windows

The resulting Entity AFTER is:  
 -Smith & Jones Windows

In the **Entities BEFORE** data entry pop-up, a User will enter Smith and Company Windows and click the **Save** button.

Next, the **Entities BEFORE** data entry pop-up will display again, this time a User will enter Jones Windows and click the **Save** button.

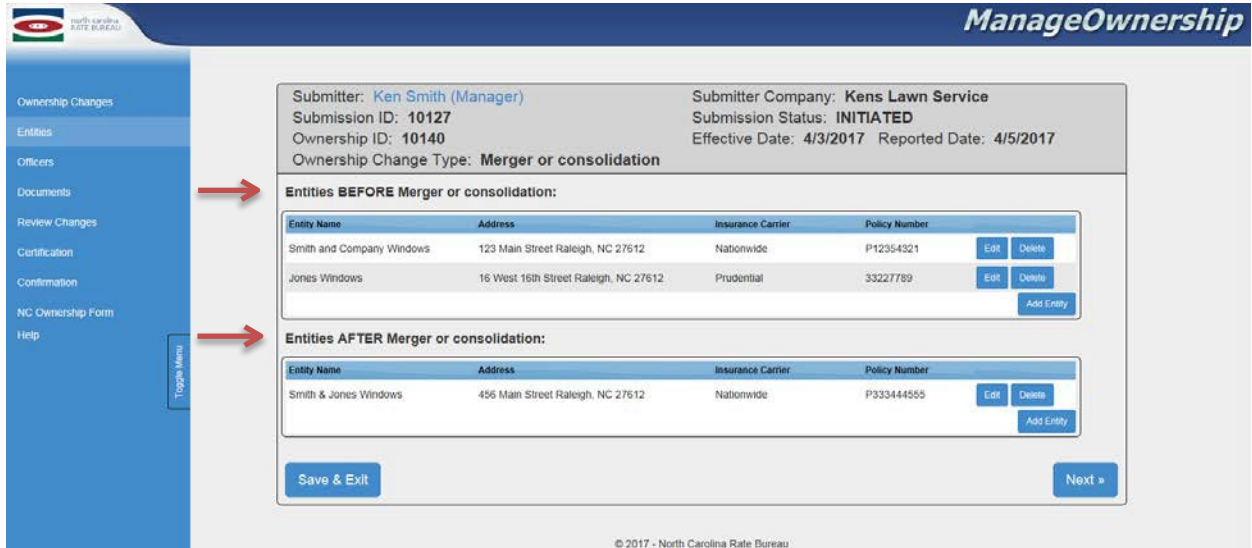
Next, the **Entities AFTER** data entry pop-up will display, a User will enter Smith & Jones Windows (the name of the company after the merge) and click the **Save** button. The **Entities Grid** view will display.

**Note:** Once one entity has been added, a **Copy existing** dropdown is populated with values from previously entered entities. Select an entity from the **Copy existing** dropdown list and click the **Copy** button. Fields in view will pre-populate with selected entity data. A User may then edit the fields as needed.

## Entities Grid View

Data entered in the Entities BEFORE data entry pop-up will display on the Entities BEFORE section. Data entered in the Entities AFTER data entry pop-up will display on the Entities AFTER section.

Figure 16: Entities summary grid view page



### Edit an Entity

To edit an Entity, click the Edit button for the Entity to be edited. The data entry page for the selected Entity will display and fields will be populated with the entity data. A User may then edit the data and save the changes.

### Delete an Entity

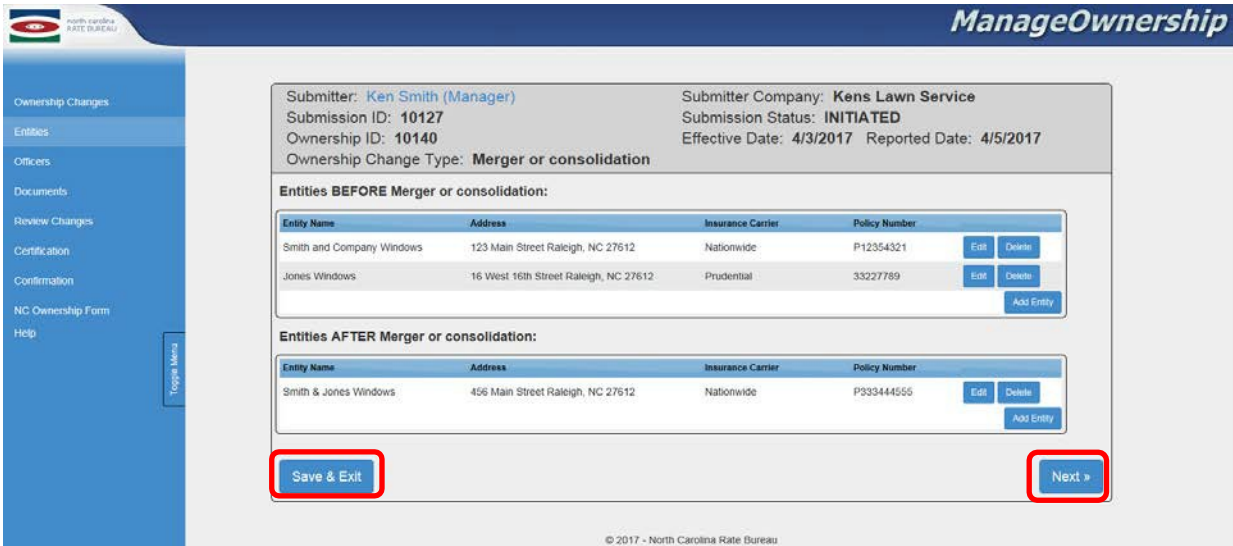
To delete an Entity, click the Delete button.

**Note:** Deleting an Entity also deletes all associated Officer records and associated uploaded documents.

### Add an Entity

To add an entity, click the **Add Entity** button in the BEFORE section or AFTER section on the Entity Grid page. The Entities data entry pop-up will display.

Figure 17: Entities summary grid view page



Once all Entities have been entered, click the **Next** button to validate entity data and navigate to the **Officers** page.

If a User wishes to save data and exit the application and return to complete it at a later date, click the **Save & Exit** button. The system will generate an email to the User with instructions on how to access an unsubmitted Ownership form.

## Officers Page

The **Officers** page allows a User to manually enter officer data, or upload Officers/Board of Directors/Governing Body list. At least one officer or one uploaded list is required to be entered/uploaded for each Entity BEFORE and each Entity AFTER, as listed in the **Entity Grid** page.

Figure 18: Officers Page

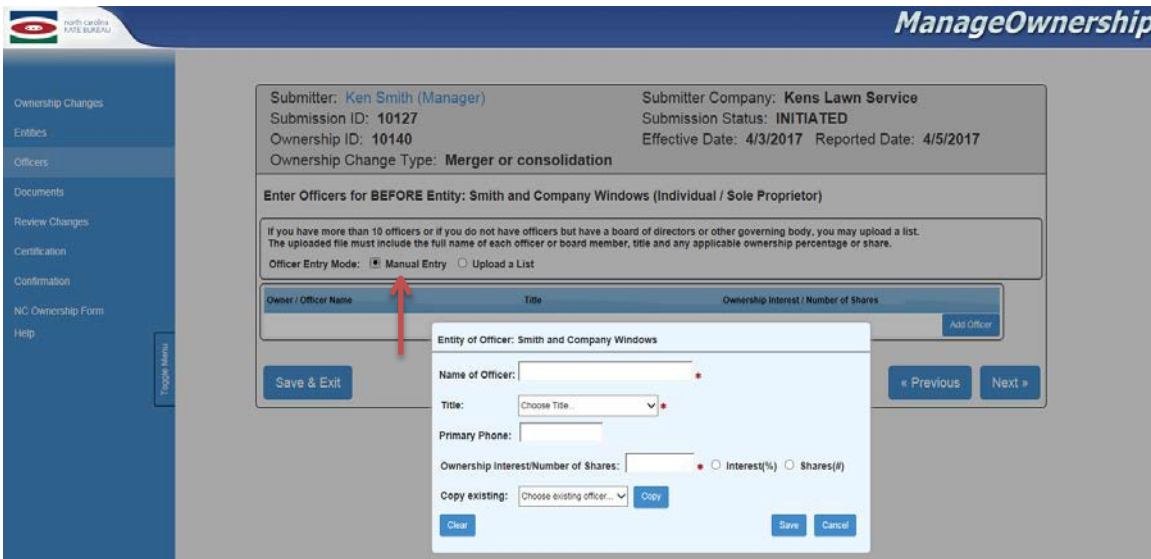
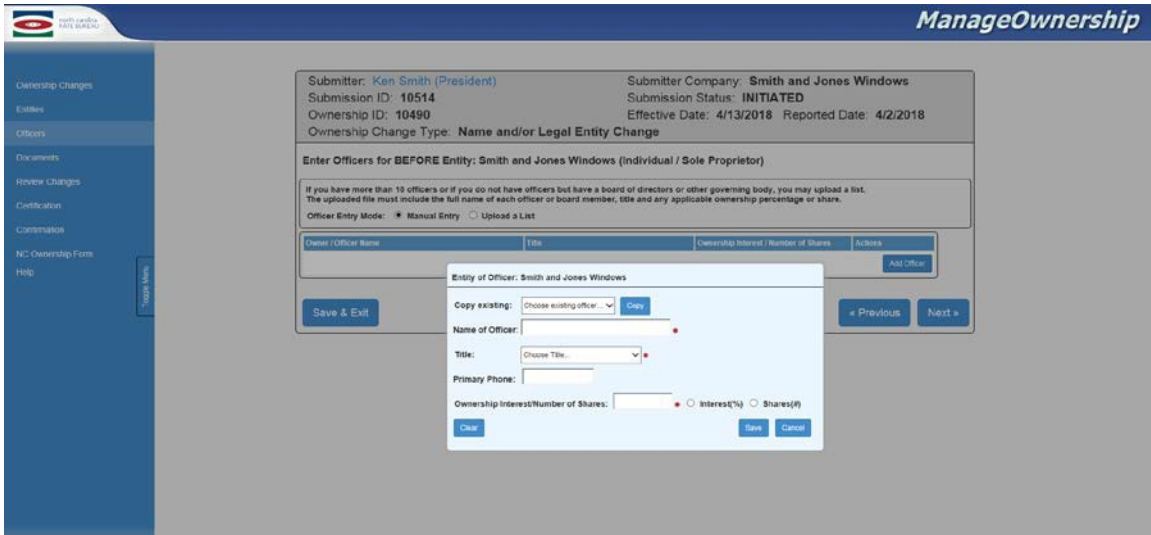


## Officers - Manual Entry of Officer Data

Select the **Manual Entry** radio button in the **Officers** page.

**Note:** a maximum of ten (10) officers may be manually entered. Use the **Upload a List** feature if there are more than ten (10) officers to enter or have a board of directors or other governing body.

Figure 19: Officers page – Manual Entry



The Officers data entry page will display and list the first entered Entity name (i.e. Smith and Company Windows) at the top.

Figure 20: Entity of Officer data entry pop-up

Entity of Officer: Smith and Company Windows

Name of Officer: David Bower \*

Title: Individual \*

Primary Phone: (919) 555-4474

Ownership Interest/Number of Shares: 50 \*  Interest(%)  Shares(#)

Copy existing: Choose existing officer...

Enter the required officer fields as denoted by the red \*.

Click the **Save** button to save the entered data.

Click the **Cancel** button to cancel saving the action.

**Note:** For each Entity, all entered Officers Ownership Interest must be Stake(%) OR Shares(#).

If a User selects Entity Type 'Individual' or 'Partnership' in the Entity details pop-up, and then selects Stake(%) in the Officers data entry pop-up, the combined Officers Ownership Interest must add up to 100%.

Example:

A User entered the first officer with **Ownership Interest:** 50, and selected **Stake(%)** in the Officers detail pop-up.

Figure 21: Entity of Officer Stake % example 1

Entity of Officer: Smith and Company Windows

Name of Officer: John Smith \*

Title: Individual \*

Primary Phone: (919) 478-5566

Ownership Interest/Number of Shares: 50 \*  Interest(%)  Shares(#)

Copy existing: Choose existing officer...

Next, a User entered the second officer with **Ownership interest**: 50 and selected **Stake(%)**.

**Figure 22: Entity of Officer Stake % example 2**

Entity of Officer: ACME International Inc.

Name of Officer: John Smith

Title: President

Primary Phone: 919-111-2222

Ownership Interest / Number of Shares: 50 Stake(%) Shares(%)

Copy existing: Choose existing officer... Copy

Clear Save Cancel

Both Officer records **Ownership Interest** sums up to 100%.

After an Officer is entered, the **Officers Grid View** page will display. The **Entity Name** for which the Officer was entered will display in the subheading, and the officer data will display in the Owner/Officer Name section.

**Figure 23: Officers grid view page**

Submitter: Ken Smith (Manager) Submitter Company: Kens Lawn Service  
Submission ID: 10127 Submission Status: INITIATED  
Ownership ID: 10140 Effective Date: 4/3/2017 Reported Date: 4/5/2017  
Ownership Change Type: Merger or consolidation

Enter Officers for BEFORE Entity: Smith and Company Windows (Individual / Sole Proprietor)

If you have more than 10 officers or if you do not have officers but have a board of directors or other governing body, you may upload a list. The uploaded file must include the full name of each officer or board member, title and any applicable ownership percentage or share.  
Officer Entry Mode:  Manual Entry  Upload a List

Owner / Officer Name	Title	Ownership Interest / Number of Shares		
David Bower	Individual	50%	Edit	Delete
John Smith	Individual	50%	Edit	Delete

Add Officer

Save & Exit « Previous Next »

### Edit an Officer

To edit an Officer, click the **Edit** button for the Officer to be edited. The data entry page for the selected Officer will display and fields in view will be populated with the officer data. A User may then edit the data and save the changes.

### Delete an Officer

To delete an Officer, click the **Delete** button.



## Add an Officer

To add an Officer, click the **Add Officer** button. The Officers data entry pop-up will display.

## Edit an Officer

To edit an Officer record, click the **Edit** button and the Officers data entry pop-up will display.

## Previous

Click the **Previous** button to navigate to the previous page (Entities).

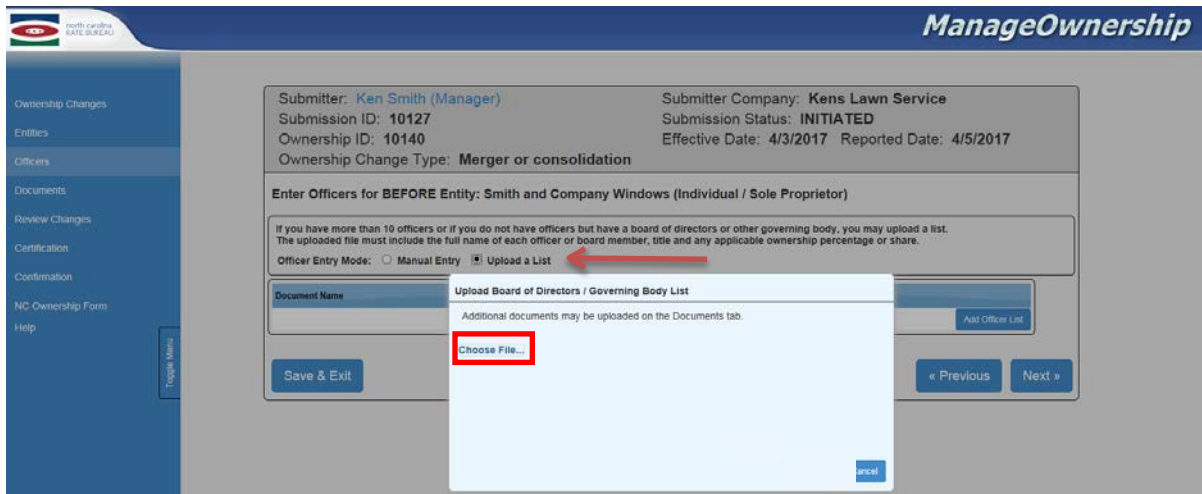
If all officer data has been entered for an Entity, click the **Next** button on the **Officers** Grid View page, and the next Entity will display to allow officer data to be entered. At least one officer must be entered or a list must be uploaded for each Entity.

Continue entering officer data for all entities included for the Ownership Change. Once all officers have been entered, click the **Next** button to navigate to the **Documents** page.

## Officers - Upload a List

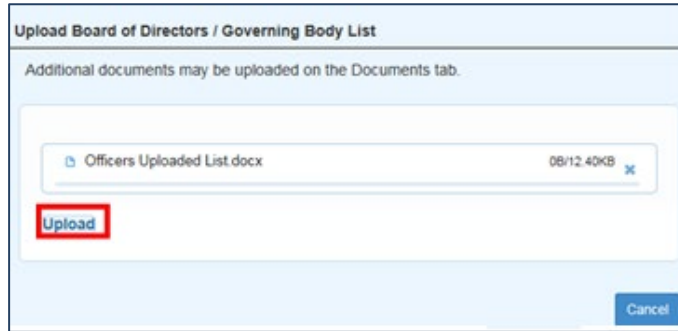
Select the **Upload a List** radio button in the **Officers** page if you want to upload a list of Officers, or have more than ten (10) Officers, or have a Board of Directors or Governing Body. The **Upload Board of Directors/Governing Body List** pop-up will display.

Figure 24: Officers Upload Board of Directors/Governing Body List Pop-up



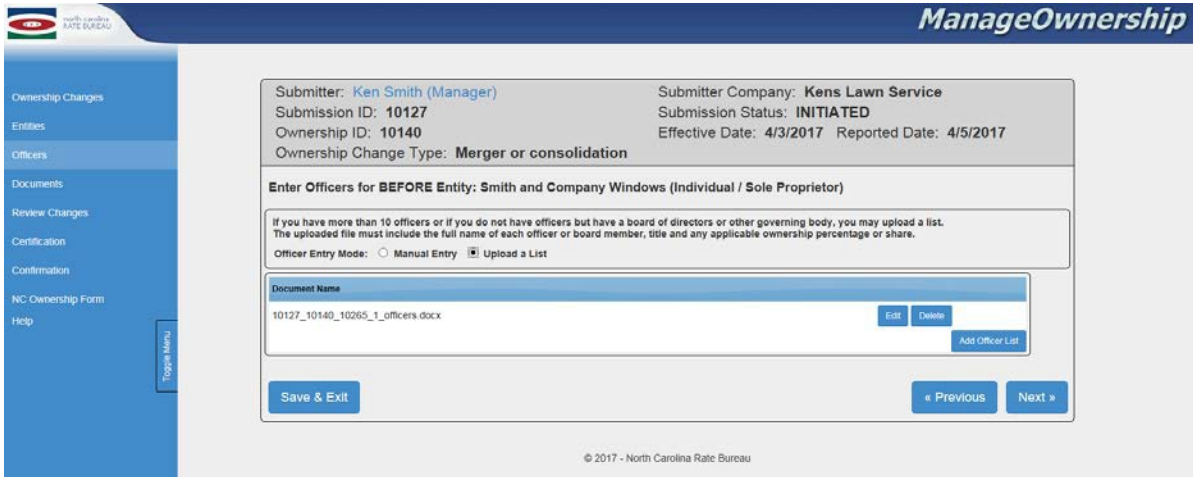
Click the **Choose File** button, select a file, and then click the **Upload** button to upload the file. Accepted file types are: pdf, doc, docx, xls, xlsx, txt, jpg, jpeg, png, gif.

Figure 25: Officers Upload a Document pop-up



The file will be uploaded and display in the **Officer Uploaded List** grid with a link to view the document. Click the **Upload a List** radio button to navigate to the uploaded document.

Figure 26: Officers Uploaded List grid view page



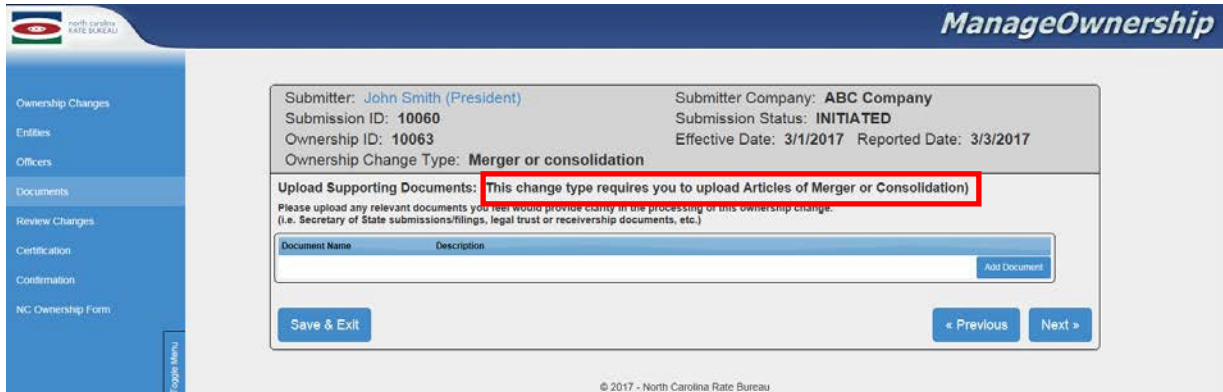
**Note:** only one (1) list may be uploaded for each Entity.

After the required list is uploaded, click the **Next** button to navigate to the next Entity or **Documents** page.

## Documents Page

The Documents page allows a User to upload supporting documents. If the Ownership Change Type selected is **Merger or Consolidation**, a message will display asking the User to upload Articles of Merger or Consolidation.

Figure 27: Upload Supporting Documents grid view page



The User may choose to upload a maximum of three (3) supporting documents for each Ownership Change.

Click the **Choose Files** button in the **Upload Supporting Documents** pop-up. Accepted file types are: pdf, doc, docx, xls, xlsx, txt, jpg, jpeg, png, gif.

Figure 28: Upload Supporting Documents pop-up

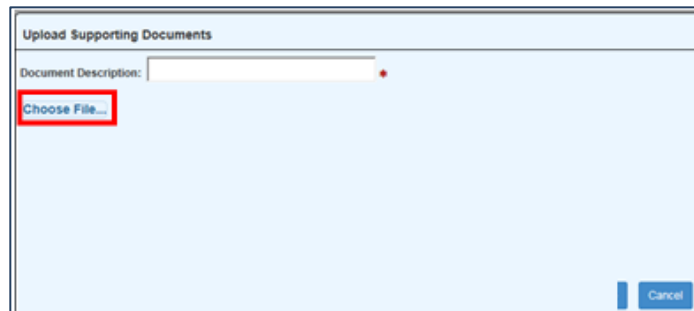
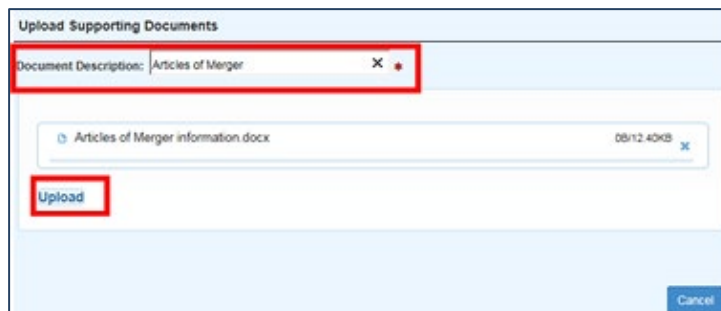
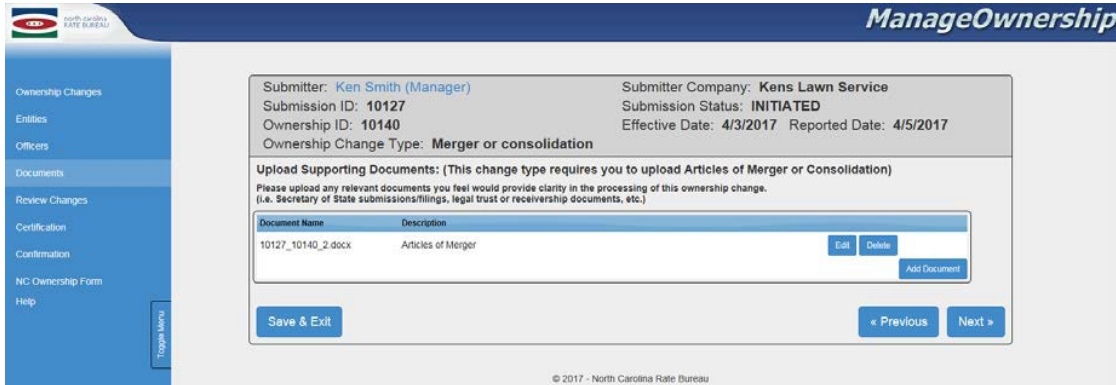


Figure 29: Upload Supporting Documents – enter Description and Upload



Enter a **Document Description** and then select a file and click the **Upload** button. The uploaded document will display in the **Documents** grid page with a hyperlink to view the document.

Figure 30: Documents grid view page – uploaded document



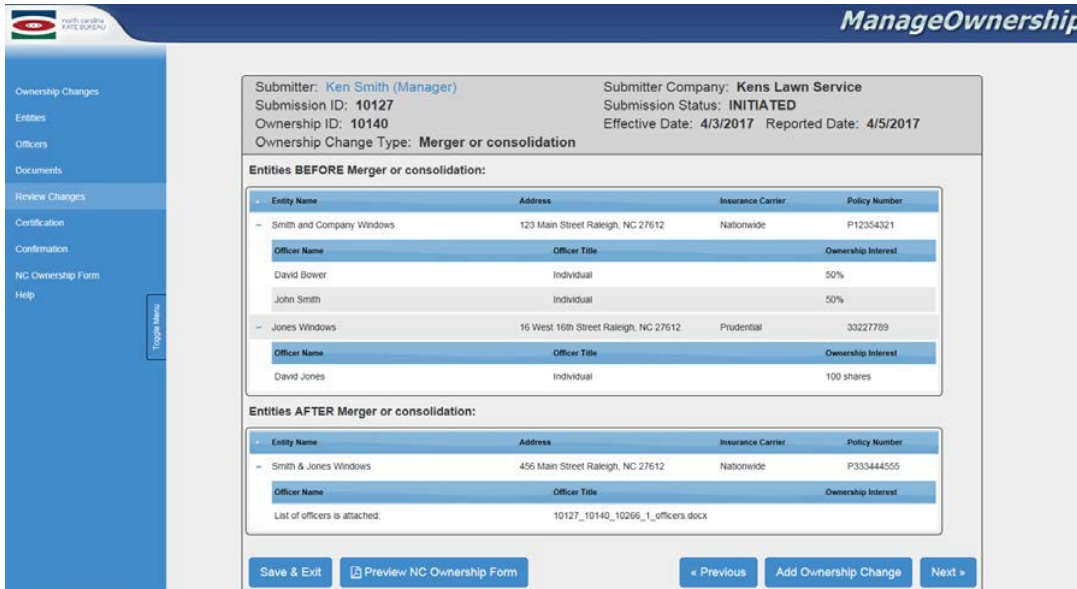
Once the required and/or other supporting documents have been uploaded, click the **Next** button to navigate to the **Review Changes** page.

## Review Changes Page

The **Review Changes** page allows a User to view the Entities and Officers for each entity for each Ownership Change Type included in a submission.

If there is more than one Ownership Change Type included in a submission, the Ownership Change Types will display in the order they were entered by clicking the **Next** button. Otherwise, the **Certification** page will display.

Figure 31: Review Changes grid view page



Once a User views all Ownership Change Types, and no other changes are needed, the User may choose to click the **Preview NC Ownership Form** button to view how the entered data will display on the form. Uploaded documents will be merged into a single pdf file for each Ownership Change.

Figure 32: ERM-14 Form – populated page 1

1 / 3 78.7%

Page 1 of 2

### North Carolina Rate Bureau ERM-14 Confidential Request for Ownership Information

The following ownership statements may be used only in establishing premiums for your Workers Compensation and Employers Liability insurance coverages; otherwise this information will be maintained in confidence. Your workers compensation policy requires that you report ownership changes, and other changes as detailed below, to your insurance carrier in writing within 90 days of the change. If you have questions, contact your agent, insurance carrier, or the North Carolina Rate Bureau (Bureau). Once completed, this form must be submitted to the Bureau by you, your agent, or your insurance carrier. If this form does not provide the means to explain the transaction(s), enter as much information on the form as possible and supplement the form with a narrative on the employer's letterhead, signed by an owner, partner, or executive officer. If you need assistance completing this form, contact the Bureau at 919-582-1056 or via e-mail at [wcinfo@ncrb.org](mailto:wcinfo@ncrb.org).

**Note:** This form is for North Carolina policyholders to report ownership changes pertaining to their North Carolina business entities. Any entity with exposure in multiple states should complete the national version of the ERM-14 form and submit it to the National Council on Compensation Insurance, Inc. (NCCI) for review. The national ERM-14 form can be accessed on NCCI's website at [www.ncci.com](http://www.ncci.com).

**Section 1- Type of Transaction**  
Check all that apply.  
*\*If multiple changes are being reported and they did not occur on the same date, complete a separate ERM-14 for each transaction.*

- Name and/or Legal Entity Change**  
*A change has occurred to the name and/or legal status of the entity.*  
NOTE: DBA Name changes are not considered ownership changes and do not need to be reported to the Bureau.
- Sale, transfer, or conveyance of all or a portion of an entity's ownership interest**  
*A change has occurred to the ownership of the entity.*
- Sale, transfer, or conveyance of an entity's physical assets to another entity that takes over its operations**  
*An entity sells or transfers its assets to another entity, and the acquiring entity takes over the operations of the selling/transferring entity. The entity or business name may or may not be sold or transferred with the other assets.*
- Merger or consolidation (Attach copy of articles of merger or articles of consolidation)**  
*Two or more entities combine to form a single entity.*
- Formation of a new entity that acts as, or in effect is, a successor to another entity**  
*A new entity is formed or replaces an entity that has dissolved, or a new entity is formed and the prior entity has ceased operations or operates in a limited capacity.*
- Irrevocable trust or receiver**  
*A change has occurred to the entity, either voluntarily or by court mandate, that requires the entity to be put in a trust or receivership.*
- Determination of combinability of separate entities**  
*Two or more entities have common ownership and may be combinable for experience rating purposes.*

\*Effective date of change(s): 4/13/2018      \*Date Reported to the Insurance Carrier: 4/2/2018

**Section 2- Narrative**  
Provide a brief description of the changes that have occurred. Include any additional information you believe pertinent to the transaction(s) reported on this form.

Name change

NCRB ERM-14 Form

Rev. 6/1/2016



**Section 3- Ownership Detail of Each Entity**

Provide details below for each entity involved in the ownership change transaction(s). This must include entity information for "before" the change and "after" the change. If more than 3 entities are involved in the change, use additional copies of page 2.

Col. I = Ownership before change      or      Col. I & II = Ownership before change  
 Col. II = Ownership after change      Col. III = Ownership after change

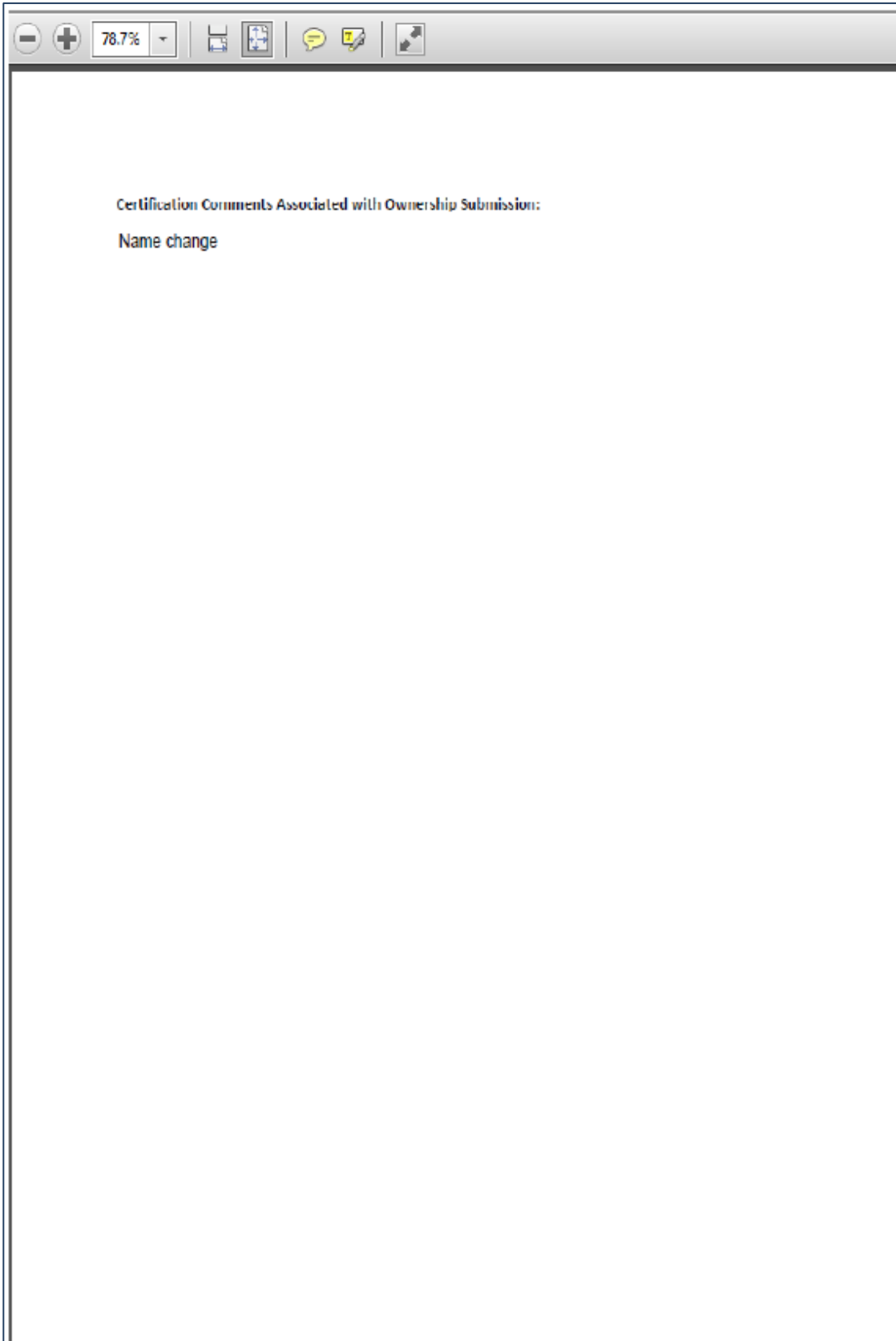
Information	Column 1	Column 2	Column 3
Name of Entity	Smith and Jones Windows	Smith and Jones Windows Inc	
Entity Information: <ul style="list-style-type: none"> <li>Address</li> <li>Phone Number</li> <li>E-mail Address</li> <li>Website</li> <li>Primary Contact</li> </ul>	123 Test Drive Raleigh, NC 12365 (919) 888-5566 bue@ncrb.org Ken Smith	123 Test Drive Raleigh, NC 12543 (919) 888-5566 bue@ncrb.org Ken Smith	
Entity FEIN			
Insurance Carrier Name			
Policy Number			
Type of Entity (Corporation, Partnership, Individual, LLC, etc.)	Individual / Sole Proprietor	Individual / Sole Proprietor	
Ownership  List all owners, members, partners, officers, etc., along with a percentage of ownership or shares of voting stock.  If no "owners" or voting stock, provide list of board of directors or comparable governing body.	Smith and Jones Windows Inc Individual 100%	Ken Smith Individual 100%	
Total Ownership Interest or Number of Shares	100%	100%	

Person completing form:  
 Name: Ken Smith Phone Number: (919) 888-5566  
 Company Name: Smith and Jones Windows Title: President

**Section 4- Certification**

The person signing below certifies that the information contained in this form is complete and correct.

Entity Owner, Partner, Member, or Executive Officer:  
 Name: Ken Smith Phone Number: (919) 888-5566  
 Entity Name: Smith and Jones windows Title: President  
 Signature: Signature on File with Submitter Date: 4/13/2018



NC\_ERM-14.pdf - Adobe Reader

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### North Carolina Rate Bureau ERM-14 Confidential Request for Ownership Information

The following ownership statements may be used only in establishing premiums for your Workers Compensation and Employers Liability insurance coverages; otherwise this information will be maintained in confidence. Your workers compensation policy requires that you report ownership changes, and other changes as detailed below, to your insurance carrier in writing within 90 days of the change. If you have questions, contact your agent, insurance carrier, or the North Carolina Rate Bureau (Bureau). Once completed, this form must be submitted to the Bureau by you, your agent, or your insurance carrier. If this form does not provide the means to explain the transaction(s), enter as much information on the form as possible and supplement the form with a narrative on the employer's letterhead, signed by an owner, partner, or executive officer. If you need assistance completing this form, contact the Bureau at 919-582-1056 or via e-mail at [winfo@ncrb.org](mailto:winfo@ncrb.org).

**Note:** This form is for North Carolina policyholders to report ownership changes pertaining to their North Carolina business entities. Any entity with exposure in multiple states should complete the national version of the ERM-14 form and submit it to the National Council on Compensation Insurance, Inc. (NCCI) for review. The national ERM-14 form can be accessed on NCCI's website at [www.ncci.com](http://www.ncci.com).

#### Section 1- Type of Transaction

Check all that apply.  
\*If multiple changes are being reported and they did not occur on the same date, complete a separate ERM-14 for each transaction.

- Name and/or Legal Entity Change**  
A change has occurred to the name and/or legal status of the entity.  
NOTE: DBA Name changes are not considered ownership changes and do not need to be reported to the Bureau.
- Sale, transfer, or conveyance of all or a portion of an entity's ownership interest**  
A change has occurred to the ownership of the entity.
- Sale, transfer, or conveyance of an entity's physical assets to another entity that takes over its operations**  
An entity sells or transfers its assets to another entity, and the acquiring entity takes over the operations of the selling/transferring entity. The entity or business name may or may not be sold or transferred with the other assets.
- Merger or consolidation (Attach copy of articles of merger or articles of consolidation)**  
Two or more entities combine to form a single entity.
- Formation of a new entity that acts as, or in effect is, a successor to another entity**  
A new entity is formed or replaces an entity that has dissolved, or a new entity is formed and the prior entity has ceased operations or operates in a limited capacity.
- Irrevocable trust or receiver**  
A change has occurred to the entity, either voluntarily or by court mandate, that requires the entity to be put in a trust or receivership.
- Determination of combinability of separate entities**  
Two or more entities have common ownership and may be combinable for experience rating purposes.

\*Effective date of change(s): 4/3/2017      \*Date Reported to the Insurance Carrier: 4/5/2017

#### Section 2- Narrative

Provide a brief description of the changes that have occurred. Include any additional information you believe pertinent to the transaction(s) reported on this form.

Smith and Company Windows merged with Jones Windows to form a company named: Smith & Jones Windows

NCRB ERM-14 Form      Rev. 6/1/2016



Figure 33: ERM-14 Form – populated page 2

NC\_ERM-14.pdf - Adobe Reader

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Page 2 of 2

**Section 3- Ownership Detail of Each Entity**  
 Provide details below for each entity involved in the ownership change transaction(s). This must include entity information for "before" the change and "after" the change. If more than 3 entities are involved in the change, use additional copies of page 2.

Col. I = Ownership before change      or      Col. I & II = Ownership before change  
 Col. II = Ownership after change      Col. III = Ownership after change

Information	Column 1	Column 2	Column 3
<b>Name of Entity</b>	Smith and Company Windows	Smith & Jones Windows	Jones Windows
<b>Entity Information:</b> • Address • Phone Number • E-mail Address • Website • Primary Contact	123 Main Street Raleigh, NC 27612 (919) 888-8888 ksmith@aol.com http://Smithwindows.com Ken Smith	456 Main Street Raleigh, NC 27612 (919) 444-7777 jdavid@aol.com http://smithjoneswindows.com John Davis	16 West 18th Street Raleigh, NC 27612 (919) 555-4545 kjones@aol.com http://joneswindows.com Ken Jones
<b>Entity FEIN</b>	****55555	****78889	****88888
<b>Insurance Carrier Name</b>	Nationwide	Nationwide	Prudential
<b>Policy Number</b>	P12354321	P333444555	33227789
<b>Type of Entity</b> (Corporation, Partnership, Individual, LLC, etc.)	Individual / Sole Proprietor	Individual / Sole Proprietor	Individual / Sole Proprietor
<b>Ownership</b>  List all owners, members, partners, officers, etc., along with a percentage of ownership or shares of voting stock.  if no "owners" or voting stock, provide list of board of directors or comparable governing body.	David Bower Individual 50% John Smith Individual 50%	See attached list.	David Jones Individual 100 shares
<b>Total Ownership Interest or Number of Shares</b>	100%		100 shares

**Person completing form:**  
 Name: Ken Smith Phone Number: (919) 888-8855  
 Company Name: Kens Lawn Service Title: Manager

**Section 4- Certification**  
 The person signing below certifies that the information contained in this form is complete and correct.

**Entity Owner, Partner, Member, or Executive Officer:**  
 Name: \_\_\_\_\_ Phone Number: \_\_\_\_\_  
 Entity Name: \_\_\_\_\_ Title: \_\_\_\_\_  
 Signature: \_\_\_\_\_ Date: \_\_\_\_\_

NCRB ERM-14 Form Rev. 5/1/2016

An ERM-14 Form will be created for each unique **Effective Date of Change**. Uploaded documents will be merged into a single pdf document for each ERM-14 Form and display after each ERM-14 Form.

## Certification Page

The **Certification** page collects the Authors details and obtains certification.

Figure 34: Certification page

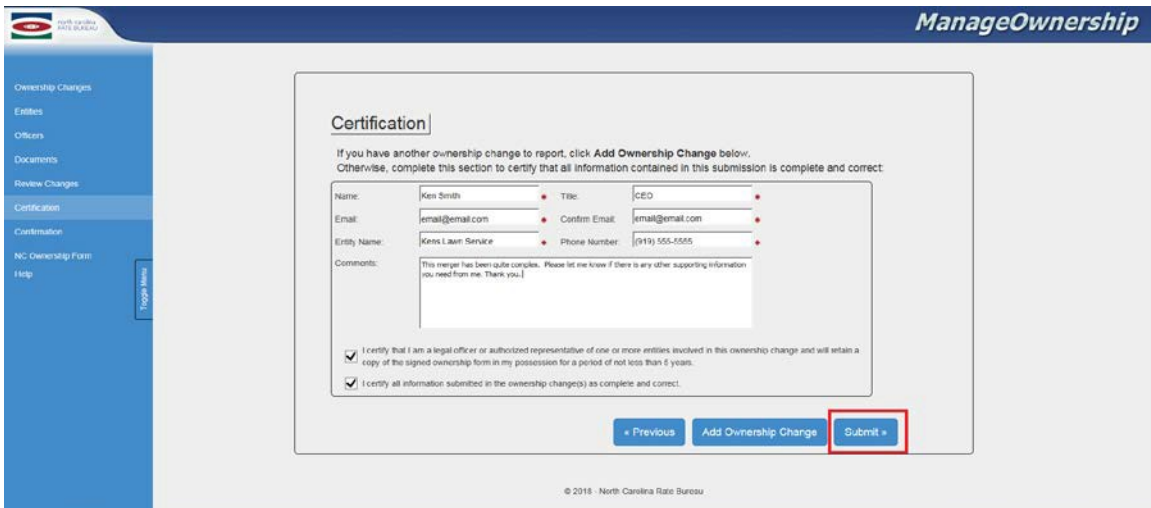
The screenshot shows the 'Certification' page in the ManageOwnership system. The page has a blue sidebar on the left with navigation links: Ownership Changes, Entities, Officers, Documents, Review Changes, Certification (highlighted), Confirmation, NC Ownership Form, and Help. The main content area is titled 'Certification' and contains the following text: 'If you have another ownership change to report, click **Add Ownership Change** below. Otherwise, complete this section to certify that all information contained in this submission is complete and correct:'. Below this text is a form with the following fields: Name, Title, Email, Confirm Email, Entity Name, and Phone Number. Each field has a red asterisk indicating it is required. There is also a large text area for 'Comments'. At the bottom of the form are two checkboxes: 'I certify that I am a legal officer or authorized representative of one or more entities involved in this ownership change and will retain a copy of the signed ownership form in my possession for a period of not less than 5 years.' and 'I certify all information submitted in the ownership change(s) as complete and correct.'. At the bottom right of the form are three buttons: '< Previous', 'Add Ownership Change', and 'Submit >'. The 'Submit >' button is currently disabled.

The screenshot shows the 'Certification' page with the form fields populated. The fields are: Name: Ken Smith, Title: CEO, Email: jemail@email.com, Confirm Email: jemail@email.com, Entity Name: Kents Lawn Service, and Phone Number: (919) 555-5555. The 'Comments' field contains the text: 'This merger has been quite complex. Please let me know if there is any other supporting information you need from me. Thank you.'. The two checkboxes are now checked. The 'Submit >' button is now enabled. At the bottom of the page, there is a small copyright notice: '© 2015 - North Carolina Rate Bureau'.

Enter the required fields and check the certification boxes.

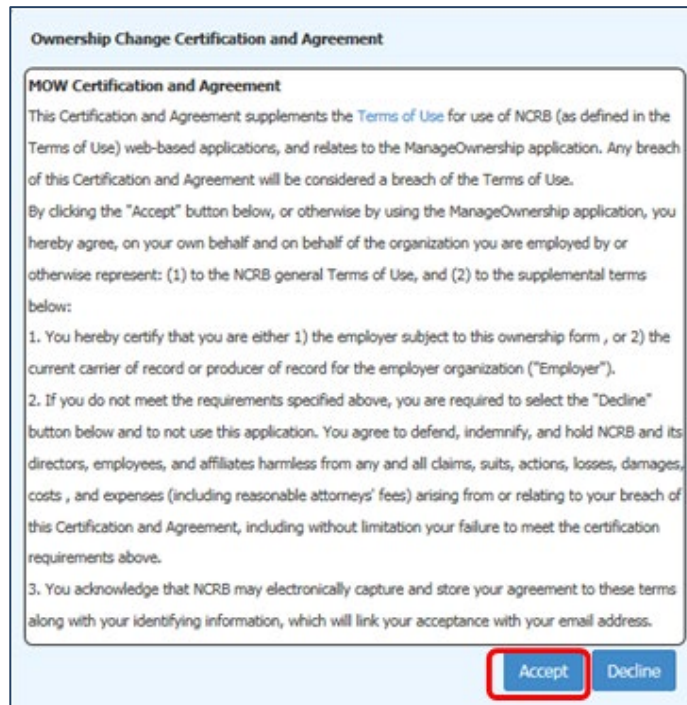
The **Submit** button will be enabled once fields are entered and boxes are checked.

Figure 35: Certification page – Submit button enabled



Click the **Submit** button on the **Certification** page. The **Ownership Change Certification and Agreement** pop-up will display.

Figure 36: Ownership Change Certification and Agreement pop-up

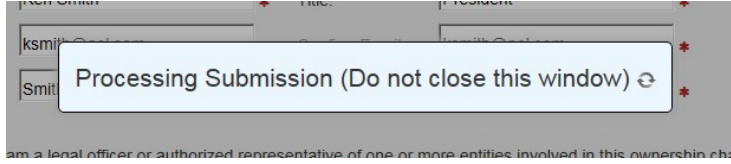


Click the **Accept** button to submit the entered Ownership Change Type(s) to the NCRB.

Click the **Decline** button to return to the **Certification** page.

After the User clicks the **Accept** button, a **Confirmation** page will display.

Note: while the Ownership Change is being processed, a message will display to let the User know to wait for the confirmation.

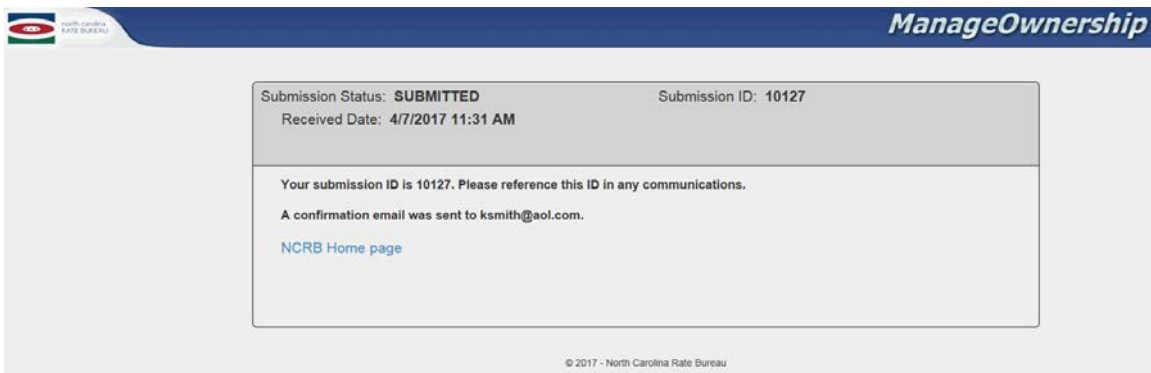


## Confirmation Page

The **Confirmation** page displays submission details to the Author.

- Submission Status
- Submission ID
- Received Date
- Confirmation email address

**Figure 37: Confirmation page**



The **Submission Status** will change to **SUBMITTED** after a User submits an Ownership Change.

Submitted forms are no longer viewable via the Public ManageOwnership website.

A confirmation email will be sent to the email address on file and will contain a copy of the pre-filled ERM-14 form along with any attachments that were uploaded for the submission.

An NCRB associate will review the submitted Ownership Change Type(s) and be in contact with the author if there are any questions.

## Access an Unsubmitted Ownership Form While In ManageAR

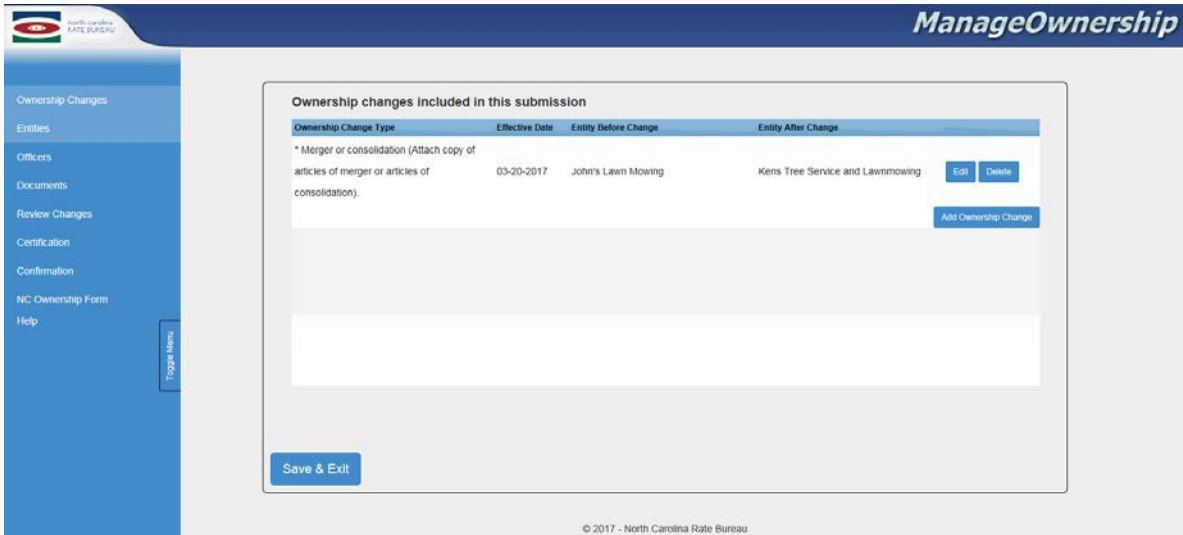
If a User previously started an Ownership Change from within ManageAR, and clicked on the Save & Exit button, a User will be able to re-access the Ownership application by clicking on the [View Ownership Change \(opens new window\)](#) link.

Figure 38: View Ownership Change Link



When the Ownership applications opens, the **Ownership Changes** page will display with data previously entered and saved.

Figure 39: Default Page When Re-accessing an Ownership Change



At this point, a User may click on a menu item in the left side menu to navigate to a page where data was previously entered and saved or click on the **Edit** button to edit the Ownership Change.

Note: a User will not be able to access any page from the left menu that does not already have saved data.

Example: A User previously selected an Ownership Change and entered the BEFORE and AFTER Entities, then clicked on the **Save & Exit** button and exited the application. Upon re-accessing the Ownership application, the User may only access the **Ownership Changes** and **Entities** pages, as these pages already have data entered and saved.

## Search Ownership Forms

The Ownership application **Search Ownership Forms Page** will allow a User to view a list of returned or unsubmitted NC Ownership Forms and either correct or continue working on them upon entering valid credentials (email address & Passkey). For those users that cannot locate their Passkey, this page offers the functionality to request one so long as the user supplies an email address that matches at least one unsubmitted NC Ownership Form in the system (Passkeys are valid for 15 days). Returned and unsubmitted NC Ownership Forms that match the credentials entered on this form will display in a search results grid allowing the user to select one by clicking on the Submission ID and continue adding/editing content.

To search for an unsubmitted form, click the **Search Ownership Forms** button.

Figure 40: Landing page – Search Ownership Forms

The screenshot shows the 'ManageOwnership' landing page. At the top left is the North Carolina Rate Bureau logo, and at the top right is the 'ManageOwnership' header. The main content area is titled 'North Carolina Rate Bureau Confidential Request for Ownership Information'. Below the title is a paragraph of text explaining the use of ownership information. A large blue box contains a certification statement: 'You hereby certify that you are either 1) the employer subject to this ownership form, or 2) the current carrier of record or producer of record for the employer organization ("Employer"). You agree to defend, indemnify, and hold NCRB and its directors, employees, and affiliates harmless from any and all claims, suits, actions, losses, damages, costs, and expenses (including reasonable attorneys' fees) arising from or relating to your breach of this Certification and Agreement, including without limitation your failure to meet the certification requirements above. You acknowledge that NCRB may electronically capture and store your agreement to these terms along with your identifying information, which will link your acceptance with your email address.' Below this is a form with fields for 'Your Name', 'Your Email', 'Confirm Email', 'Your Phone', 'Your Company', and 'Your Title'. There is also a 'I'm not a robot' checkbox and a 'Begin Ownership Change' button. The 'Search Ownership Forms' button is highlighted with a red rectangle.

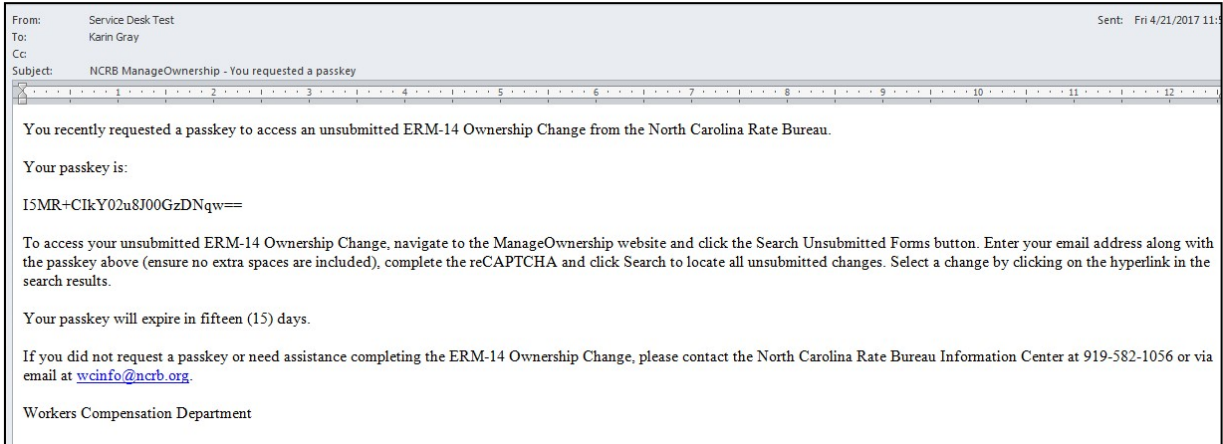
The **Search Unsubmitted Ownership Forms** page will display.

Figure 41: Search Ownership Forms page

The screenshot shows the 'Search Ownership Forms' page. At the top left is the North Carolina Rate Bureau logo, and at the top right is the 'ManageOwnership' header. The main content area is titled 'Search Ownership Forms' and contains the text 'Please enter the information below to locate your existing unsubmitted / returned ERM-14 in the system:'. Below this is a form with fields for 'Your Email', 'Date Entered', and 'Passkey'. There is also a 'I'm not a robot' checkbox and a 'Search' button. The 'Request Passkey' button is highlighted with a red rectangle. At the bottom of the page, there is a copyright notice: '© 2018 - North Carolina Rate Bureau'.

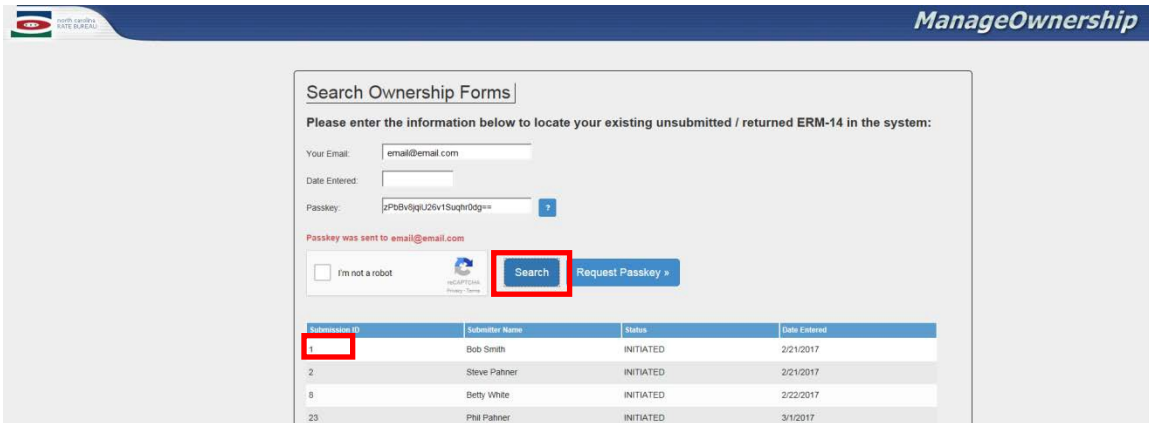
If a Passkey is needed, enter **Your Email** and click the **Request Passkey** button. An email will be sent to the email address entered in **Your Email** (if matches an email on file for an unsubmitted form) and contain a new Passkey. Passkeys are valid for a period of fifteen (15) days.

Figure 42: Request Passkey Email



Enter the required fields and complete the reCAPTCHA and click the **Search** button. Unsubmitted Ownership Forms that match entered criteria will display in the search results grid.

Figure 43: Search Ownership Ownership Forms – search results grid



Click the **Submission ID** column to access a returned or unsubmitted form.

The **Ownership changes included in this submission** page will display.

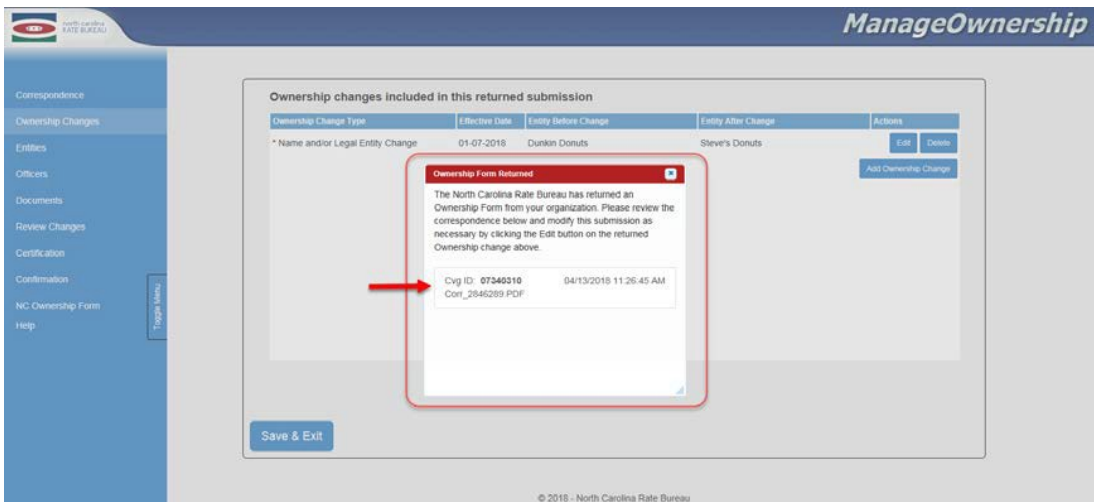
Users may continue entering/editing data and submit the ownership change.

## Returned Ownership Forms

Follow instructions above under the Search Ownership Forms section to learn how to access a returned ownership form. When accessing a returned ownership change, a pop-up message will display informing the user that the form was returned. Correspondence associated with the returned form is available for the user to view as seen in the screenshot below. NOTE: this is the same file attached to the email the user receives when an ownership change is returned.

For ownership changes that were submitted within a ManageAR application, a similar pop-up will display, however, it will not contain the correspondence PDF. For information on why the owner change(s) associated with the ManageAR application was returned, refer to the email sent from the [support@ncrb.org](mailto:support@ncrb.org) account that requests additional information for the AR application.

Figure 44: Returned Ownership Change Pop-up



As noted in the pop-up, modify the submission as requested in the correspondence. To start that process, click the edit button of the applicable ownership change and follow the same flow performed in the initial submission applying corrections as necessary being sure to submit the application once complete.

If you need to get back to the correspondence at any point prior to resubmission, click the Correspondence link in the left navigation as seen below.

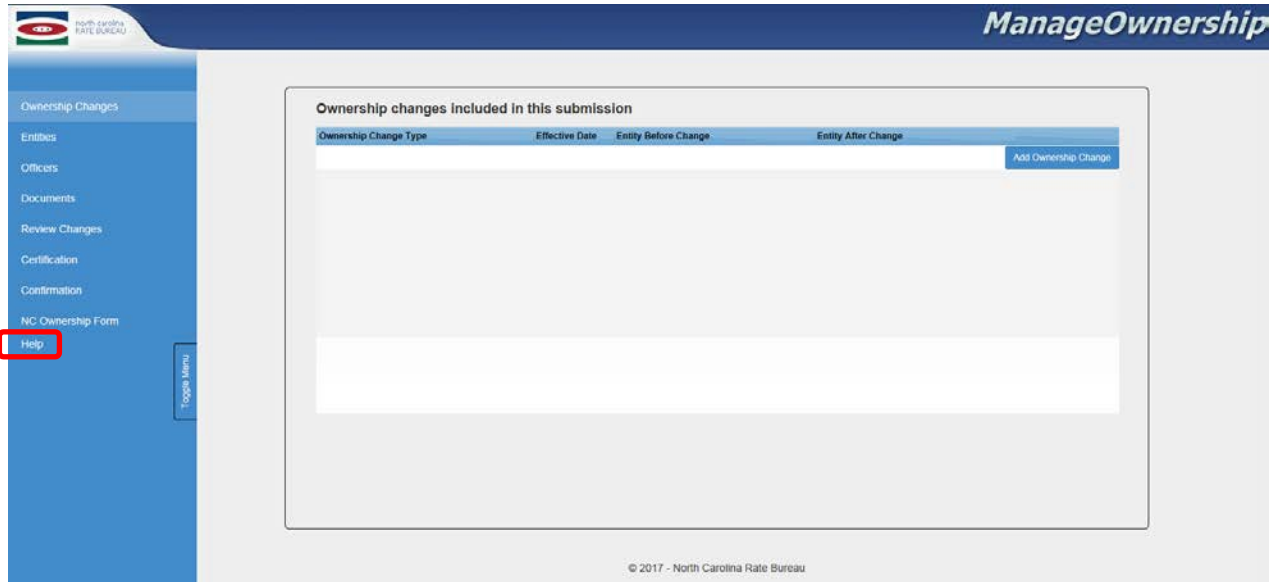
Figure 45: Correspondence





# Help

Select the **Help** menu to view Frequently Asked Questions and a link to the ManageOwnership User Guide.



# Appendix A: Abbreviations and Definitions

Term / Abbreviation	Definition
ERM-14	Workers Compensation Confidential Request for Ownership Information
NCRB	North Carolina Rate Bureau