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## SUITABILITY IN ANNUITY TRANSACTIONS

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Must be completed and accompany applications for annuities

Applicant's Name \_\_\_\_\_

Applicant's Address \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

I have made reasonable efforts to obtain the following information regarding the applicant's financial status and objectives prior to making the recommendation of this product.

- |  |   |
|--|---|
| <input type="checkbox"/> Tax Status            | <input type="checkbox"/> Source of funds              |
| <input type="checkbox"/> Investment Objectives | <input type="checkbox"/> Dependent information        |
| <input type="checkbox"/> Liquidity needs       | <input type="checkbox"/> Need for Income              |
| <input type="checkbox"/> Investment experience | <input type="checkbox"/> Need for an annuity contract |

Other \_\_\_\_\_

I understand I must keep records of the information used in making this recommendation, and I agree that I will provide those records to the insurer upon request. The time period for record retention will be no less than that required by the Suitability in Annuity Transactions regulation as adopted by the state in which the contract is issued.

\_\_\_\_\_  
Agent's Signature

\_\_\_\_\_  
Date

If the annuity sold is not the product recommended, the applicant must read the following statement and sign below.

I have chosen to purchase an annuity other than the recommended product.

\_\_\_\_\_  
Applicant's Signature

\_\_\_\_\_  
Date

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## SUITABILITY IN ANNUITY TRANSACTIONS

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Must be completed and accompany applications for annuities

Applicant's Name \_\_\_\_\_

Applicant's Address \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

I certify that I have truly and accurately recorded on the application the information provided by the applicant.

I have made reasonable efforts to obtain the following information regarding the applicant's financial status and objectives prior to making the recommendation of this product.

- |  |   |
|--|---|
| <input type="checkbox"/> Tax Status            | <input type="checkbox"/> Source of funds              |
| <input type="checkbox"/> Investment Objectives | <input type="checkbox"/> Dependent information        |
| <input type="checkbox"/> Liquidity needs       | <input type="checkbox"/> Need for Income              |
| <input type="checkbox"/> Investment experience | <input type="checkbox"/> Need for an annuity contract |

Other \_\_\_\_\_

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Agent's Signature

\_\_\_\_\_  
Date

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Applicant's Signature

\_\_\_\_\_  
Date