

Financial Advisor Questionnaire

HOW MANY YEARS HAVE YOU BEEN IN THE FINANCIAL SERVICES INDUSTRY? _____

ARE YOU LICENSED TO SELL ANNUITIES? _____

ARE YOU LICENSED TO SELL SECURITIES PRODUCTS? _____

ARE YOU REGISTERED AS AN "INVESTMENT ADVISOR"? _____

ARE YOU EMPLOYED BY A FIRM, OR ARE YOU INDEPENDENT? _____

HAVE YOU EVER HAD A FORMAL CONSUMER COMPLAINT FILED AGAINST YOU? _____

HAVE YOU EVER PERSONALLY FILED FOR BANKRUPTCY? _____

DO YOU CHARGE FEES? _____ IF SO, RANGE OF ANNUAL FEES? _____

DO OTHER PARTIES YOU INVEST WITH CHARGE FEES? _____ IF SO, RANGE OF FEES? _____

WHAT PERCENT OF YOUR BUSINESS IS DEDICATED TO ANNUITIES? _____

ASSUMING YOU SELL ANNUITIES, WHICH TYPE(S) OF ANNUITY DO YOU MOST OFTEN SELL?

- A. FIXED INTEREST ANNUITIES
- B. VARIABLE ANNUITIES
- C. FIXED INDEXED ANNUITIES
- D. IMMEDIATE ANNUITIES

HOW MANY YEARS HAVE YOU SOLD ANNUITIES? _____

DURING THAT PERIOD OF TIME, HOW MANY ANNUITIES HAVE YOU SOLD? _____

HOW MUCH – IN THE WAY OF TOTAL PREMIUM OF ANNUITIES – HAVE YOU SOLD? _____

BROKER/AGENT NAME: _____

BROKER/AGENT SIGNATURE: _____

DATED: _____

(Please complete and sign – then return to investor for his/her files)