

## Variable Annuity Good Order Checklist

PLEASE READ THE FOLLOWING INSTRUCTIONS TO ENSURE YOUR BUSINESS PROCESSES WITHOUT DELAYS.

**RECEIPT OF AN INCORRECT OR INCOMPLETE APPLICATION OR OTHER REQUIRED FORMS WILL LEAD TO PROCESSING DELAYS OR CANCELLATION OF A PENDING CONTRACT.**

### REMINDERS FOR ALL TYPES OF NEW CONTRACTS

- ☐ Before you present the product material, please ensure that you are licensed, appointed, product trained and suitability CE compliant in the state in which you are making the sale.
- ☐ For contracts issued in New York, complete the Regulation 60 packet.
- ☐ The Owner(s) and the Annuitant must be within the allowed issue ages for the product, and riders.
- ☐ If the Owner is not the Annuitant, please designate an Owner's Beneficiary.
- ☐ The correct state version and most current version of each form must be used. Submission of incorrect versions of forms will create significant delays in issuing the annuity contract. Please check WSEFinancialPartners.com for the most current version of the forms. Outdated forms will not be accepted.
- ☐ Complete and submit all sections on all the forms; especially answer all of the questions asked on the application. Sections that are left blank may create delays. Any corrections will require written authorization from the owner(s).
- ☐ Appropriate signatures and dates, including those of applicable Joint Owners, must be provided on ALL forms. The state where the application was signed must also be indicated.
- ☐ Complete the appropriate Replacement questions on the application.
  - ☐ Agent and Client answers to replacement questions must be in agreement.
- ☐ Replacement Notice: Required in many states if the client has an existing life insurance policy or annuity contract, even when no replacement is occurring (based on individual state regulations). Joint Owners should also sign the notice.
  - ☐ The answers to the questions on this form (if required) are in agreement with the application.
- ☐ Complete the Entity Ownership Certificate if a non-natural person will own the contract instead of an individual.
- ☐ Complete the Spousal Consent section of the application, if this is a contract where the owner resides in (AZ, CA, ID, LA, NM, NV, TX, WA or WI) and the owner's spouse is not named as the sole primary beneficiary.
- ☐ The Sales Representative has signed the application, and provided all of the appropriate information.
- ☐ Submit all pages of each form.

### REPLACEMENT BUSINESS REMINDERS

- ☐ Complete the Notice Regarding Replacement (state variations may apply).
- ☐ Complete the Absolute Assignment IRC Section 1035 Policy Exchange (used for nonqualified contracts) or Authorization for Rollover or Transfer of Tax-Qualified Funds (used for qualified plans).
  - ☐ Provide the complete street address (not a P.O. Box) for the transferring company.
  - ☐ Indicate the estimated amount of the transaction.
- ☐ Provide all required surrendering company forms (contact the surrendering company for requirements).