



11780 US Highway 1, Suite 203N  
 North Palm Beach, FL 33408  
 www.LegendFMS.com  
 561.425.7333

Thank you for requesting a carrier appointment through Legend Financial Marketing Services.

If this is your first time contracting with us, please complete this form and the producer set-up packet in its entirety. If you have completed the SureLC contracting packet in the past and would like an additional carrier appointment, simply complete and return this form. Please note: Your signature is required.

**Recruiting or Sales Support Associate who referred you:** \_\_\_\_\_

**Carriers:** Indicate the top 3-4 core carrier appointments you would like below.

Life	Annuity (Specify product lines)	Life	Annuity (Specify product lines)	Life	Annuity (Specify product lines)
<input type="checkbox"/>	Accordia Life and Annuity Company	<input type="checkbox"/>	EquiTrust Life Insurance Company	<input type="checkbox"/>	Minnesota Life Insurance Company
<input type="checkbox"/>	Allianz Life Insurance Company of North America	<input type="checkbox"/>	Fidelity & Guaranty Life Insurance Company	<input type="checkbox"/>	Mutual of Omaha Insurance Company
<input type="checkbox"/>	Allianz Preferred <sup>SM</sup> Exclusive Sales Platform	<input type="checkbox"/>	Great American Life Insurance Company	<input type="checkbox"/>	National Western Life Insurance Company
<input type="checkbox"/>	American Equity Investment Life Insurance Company	<input type="checkbox"/>	Guaranty Income Life Insurance Company	<input type="checkbox"/>	North American Company for Life and Health Insurance
<input type="checkbox"/>	American General Life Company	<input type="checkbox"/>	Liberty Bankers Life Insurance Company	<input type="checkbox"/>	The State Life Insurance Company <sup>®</sup> a OneAmerica <sup>®</sup> Company
<input type="checkbox"/>	American General Life Company MSG Product Line	<input type="checkbox"/>	Life Insurance Company of the Southwest	<input type="checkbox"/>	Voya Insurance and Annuity Company
<input type="checkbox"/>	American National Life Insurance Company	<input type="checkbox"/>	Lincoln Financial Group		
<input type="checkbox"/>	Athene Annuity and Life Company	<input type="checkbox"/>	Lincoln Financial Group MoneyGuard Product		

Not all available carriers are listed. To view a complete list of annuity carriers offered by Legend Financial Marketing Services, visit [www.legendfms.com](http://www.legendfms.com).

**Special Instructions or Comments:**

\_\_\_\_\_  
 \_\_\_\_\_

**Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Agent Name:** \_\_\_\_\_ **Agent SSN:** \_\_\_\_\_

**Please return completed forms to contracting and licensing at [contracting@legendfms.com](mailto:contracting@legendfms.com).**

If you have questions, call our contracting and licensing team at 561.425.7333.

<b>Home office use</b> Commission Level _____ Upline _____ <input type="checkbox"/> Individual <input type="checkbox"/> Corporation <input type="checkbox"/> LOA
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# Producer Set-Up Packet

\*Use high resolution scanner or high quality fax

Social Security #: \_\_\_\_\_ Gender: \_\_\_\_\_ Date of Birth: \_\_\_/\_\_\_/\_\_\_

Email: \_\_\_\_\_ Resident Insurance (Lic. # & State): \_\_\_\_\_

Last Name: \_\_\_\_\_ First Name: \_\_\_\_\_ MI: \_\_\_\_\_

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_ Cell: \_\_\_\_\_

Title: \_\_\_\_\_ Marital Status: \_\_\_\_\_ Maiden Name: \_\_\_\_\_

Driver's Lic. #: \_\_\_\_\_ DL State: \_\_\_\_\_

**Residential Address (No PO Boxes – City / State not needed)** Start Date: \_\_\_/\_\_\_/\_\_\_

Line 1: \_\_\_\_\_ Line 2: \_\_\_\_\_ Zip code: \_\_\_\_\_

**Mailing Address (No PO Boxes – City / State not needed)** Start Date: \_\_\_/\_\_\_/\_\_\_

Line 1: \_\_\_\_\_ Line 2: \_\_\_\_\_ Zip code: \_\_\_\_\_

**Doing Business As:** Individual Business Entity Solicitor/LOA

If DBA Solicitor/LOA, list who you are assigning commissions to: \_\_\_\_\_

**Complete the following only if DBA a Business Entity:**

EIN: \_\_\_\_\_ Business Name: \_\_\_\_\_ Website: \_\_\_\_\_

Your Title: \_\_\_\_\_ Phone: \_\_\_\_\_ Fax: \_\_\_\_\_

Principal Name: \_\_\_\_\_ Principal Title: \_\_\_\_\_ Email: \_\_\_\_\_

**Company Type:** Corporation Partnership LLC LLP

**Corporate Address (No PO Boxes – City / State not needed)** Start Date: \_\_\_/\_\_\_/\_\_\_

Line 1: \_\_\_\_\_ Line 2: \_\_\_\_\_ Zip code: \_\_\_\_\_

## Legal questions for contracting and appointment requests

Name: \_\_\_\_\_

<b>1</b>	<b>Have you ever been charged or convicted of or plead guilty or no contest to any Felony, Misdemeanor, federal/state insurance and/or securities or investments regulations or statutes? Have you ever been on probation?</b>	<b>Yes</b>	<b>No</b>
	A Have you ever been convicted of or plead guilty or no contest to any Felony?	Yes	No
	B Have you ever been convicted of or plead guilty or no contest to any Misdemeanor?	Yes	No
	C Have you ever been convicted of or plead guilty or no contest to a violation of federal or state securities or investment related regulations?	Yes	No
	D Have you ever been convicted of or plead guilty or no contest to a violation of state insurance department regulation or statutes?	Yes	No
	E Has any foreign government, court, regulatory agency, or exchange ever entered an order against you related to investments or fraud?	Yes	No
	F Have you ever been charged with a Felony?	Yes	No
	G Have you ever been charged with a Misdemeanor?	Yes	No
	H Have you ever been on probation?	Yes	No
<b>2</b>	<b>Have you ever been or are you currently being investigated, have any pending indictment, lawsuits, or have you ever been in a lawsuit with an insurance company?</b>	<b>Yes</b>	<b>No</b>
	A Are you currently under investigation by any legal or regulatory authority?	Yes	No
	B Have you been under investigation by any insurance company?	Yes	No
	C Have you ever been or are you currently involved in any pending indictments, lawsuits, civil judgments or other legal proceedings (civil or criminal)(you may omit family court).	Yes	No
	D Have you ever been named as a defendant or codefendant in a lawsuit, or have you ever sued or been sued by an insurance company?	Yes	No
<b>3</b>	<b>Have you ever been alleged to have engaged in any fraud?</b>	<b>Yes</b>	<b>No</b>
<b>4</b>	<b>Have you ever been found to have engaged in any fraud?</b>	<b>Yes</b>	<b>No</b>
<b>5</b>	<b>Has any insurance or financial services company or broker-dealer terminated your contract or appointment or permitted you to resign for a reason other than lack of sales?</b>	<b>Yes</b>	<b>No</b>
	A Were you fired because you were accused of violating insurance or investment related statutes, regulations, rules or industry standards of conduct?	Yes	No
	B Were you fired because you were accused of fraud or the wrongful taking of property?	Yes	No
	C Failure to supervise in connection with insurance or investment related statutes, regulations, rules or industry standards of conduct?	Yes	No
<b>6</b>	<b>Have you ever had an appointment with any insurance company denied or terminated for cause?</b>	<b>Yes</b>	<b>No</b>
<b>7</b>	<b>Does any insurer, insured, or other person claim any commission chargeback or other indebtedness from you as a result of any insurance transactions or business?</b>	<b>Yes</b>	<b>No</b>
<b>8</b>	<b>Has any lawsuit or claim ever been made against your surety company, or errors and omissions insurer, arising out of your sales or practices, or, have you been refused surety bonding or E&amp;O coverage?</b>	<b>Yes</b>	<b>No</b>
	A Has a bonding or surety company ever denied, paid on or revoked a bond for you? Or, have you ever had a claim filed against your surety company?	Yes	No
	B Has any Errors & Omissions (E&O) carrier ever denied, paid claims on or cancelled your coverage? Or, have you ever had a claim filed against your E&O carrier?	Yes	No

9	Have you ever had an insurance or securities license denied, suspended, cancelled or revoked?	Yes	No
10	Has any state or federal regulatory body found you to have been a cause of an investment OR insurance-related business having its authorization to do business denied, suspended, revoked, or restricted?	Yes	No
11	Has any state or federal regulatory agency revoked or suspended your license as an attorney, accountant, or federal contractor?	Yes	No
12	Has any state or federal regulatory agency found you to have made a false statement or omission or been dishonest, unfair, or unethical?	Yes	No
13	Have you ever had any interruptions in licensing?	Yes	No
14	Has any state, federal or self-regulatory agency filed a complaint against you, fined, sanctioned, censured, penalized or otherwise disciplined you for a violation of their regulations or state or federal statutes? Have you ever been the subject of a consumer initiated complaint?	Yes	No
	A Has any regulatory body ever sanctioned, censured, penalized or otherwise disciplined you?	Yes	No
	B Has any state, federal or self-regulatory agency filed a complaint against you, fined or sanctioned you?	Yes	No
	C Have you ever been the subject of a consumer initiated complaint?	Yes	No
15	Have you personally or any insurance or securities brokerage firm with whom you have been associated filed a bankruptcy petition or declared bankruptcy?	Yes	No
	A Have you personally filed a bankruptcy petition or declared bankruptcy?	Yes	No
	B Has any insurance or securities brokerage firm with whom you have been associated filed a bankruptcy petition or been declared bankrupt either during your association or within five years after termination of such association?	Yes	No
	C Is the bankruptcy pending?	Yes	No
16	Have you ever had any unsatisfied judgments, garnishments, or liens against you?	Yes	No
17	Are you connected in any way with a bank, savings & loan association, or other lending or financial institution?	Yes	No
18	Have you ever used any other names or aliases?	Yes	No
19	Do you have any unresolved matters pending with the Internal Revenue Service or other taxing authority?	Yes	No

If you answered any questions YES, provide an explanation that includes dates, actions, and descriptions. Attach additional paper if necessary.

I attest that the information I have provided is true to the best of my knowledge. I acknowledge that if any information changes, I will notify my agency office within 5 days of such change. Further, I understand that my agency may contact me when I need to answer carrier specific questions.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

## Letter of Explanation

\*Use additional paper if necessary

Date of Action: \_\_\_/\_\_\_/\_\_\_\_\_

Action: \_\_\_\_\_

Reason: \_\_\_\_\_

Explanation: \_\_\_\_\_

\_\_\_\_\_

Date of Action: \_\_\_/\_\_\_/\_\_\_\_\_

Action: \_\_\_\_\_

Reason: \_\_\_\_\_

Explanation: \_\_\_\_\_

\_\_\_\_\_

## Licenses

AML Provider:    LIMRA    NONE    OTHER    Date Completed: \_\_\_/\_\_\_/\_\_\_\_\_

*If Other, Provide Certificate of Completion*

Are you actively securities licensed?    Yes    No    Inactive

If Yes, Broker/Dealer Name: \_\_\_\_\_ CRD #: \_\_\_\_\_

Which security licenses do you hold?    6    7    24    26    63    65    66    N/A

How does your current B/D treat annuity production?

Not allowed to sell fixed indexed annuities

Supervised only

Supervised, but run through the grid

Treated as an outside business activity

Are you an IAR?    Yes    No

Do you own your own RIA?    Yes    No

## Electronic Fund Transfers (EFT)

Account Owner Name (Required): \_\_\_\_\_

Transit / ABA #: \_\_\_\_\_

Account #: \_\_\_\_\_

Financial Institution Name: \_\_\_\_\_

Brand Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Account Type:       Checking       Saving      Phone: \_\_\_\_\_

By signing below I hereby authorize the Company to initiate credit entries and, if necessary, adjustments for credit entries in error to the checking and/or savings account indicated on this form. This authority is to remain in full effect until the Company has received written notification from me of its termination. I understand that this authorization is subject to the terms of any agent or representative contract, commission agreement, or loan agreement that I may have now, or in the future, with the Company.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Attach copy of the check here for checking account or deposit slip for savings account.

## Employment History

\*Attach additional info if needed

Please provide past 5 years of employment history:

From: \_\_\_/\_\_\_/\_\_\_ To: \_\_\_/\_\_\_/\_\_\_

Company: \_\_\_\_\_ Position: \_\_\_\_\_

Location: \_\_\_\_\_

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From: \_\_\_/\_\_\_/\_\_\_ To: \_\_\_/\_\_\_/\_\_\_

Company: \_\_\_\_\_ Position: \_\_\_\_\_

Location: \_\_\_\_\_

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From: \_\_\_/\_\_\_/\_\_\_ To: \_\_\_/\_\_\_/\_\_\_

Company: \_\_\_\_\_ Position: \_\_\_\_\_

Location: \_\_\_\_\_

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## Address History

\*Attach additional info if needed

Please provide past 5 years of address history:

From: \_\_\_/\_\_\_/\_\_\_ To: \_\_\_/\_\_\_/\_\_\_ (City / State not needed)

Line 1: \_\_\_\_\_ Line 2: \_\_\_\_\_ Zip code: \_\_\_\_\_

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From: \_\_\_/\_\_\_/\_\_\_ To: \_\_\_/\_\_\_/\_\_\_ (City / State not needed)

Line 1: \_\_\_\_\_ Line 2: \_\_\_\_\_ Zip code: \_\_\_\_\_

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From: \_\_\_/\_\_\_/\_\_\_ To: \_\_\_/\_\_\_/\_\_\_ (City / State not needed)

Line 1: \_\_\_\_\_ Line 2: \_\_\_\_\_ Zip code: \_\_\_\_\_

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## Business History

Total fixed annuity premium:      \$1 - \$999K      \$1M - \$1.9M      \$2M - \$4.9M      \$5M+

Total life insurance premium:      \$1 - \$25K      \$26K - \$99K      \$100K - \$249K      \$250K+

What types of business do you offer? (check all that apply)

Fixed Annuities      Life Insurance      Variable Annuities      Investment Advisory Business      Securities

# Replace this page with a copy of your E&O Insurance Certificate of Coverage

**IMPORTANT: E&O Certificate must list your full name as the insured.  
Please refer to the following examples.**

**Correct:**

My Insurance Agency Inc.  
Joe Agent  
123 Main Ave.  
City, State, 12345

**Incorrect:**

My Insurance Agency Inc.  
123 Main Ave.  
City, State, 12345

If the individual name is not listed correctly please provide a letter from the  
E&O Carrier listing agents covered under agency policy.



## Signature Authorization

PLEASE READ THIS AUTHORIZATION, SIGN IN THE BOX BELOW AND SUBMIT THIS FORM BY FOLLOWING THE INSTRUCTIONS PROVIDED ON THE COVER PAGE.

I, \_\_\_\_\_, hereby authorize SuranceBay, LLC and its general agency customers (the "Authorized Parties") to affix or append a copy of my signature, as set forth below, to any and all required signature fields on forms and agreements of any insurance carrier (a "Carrier") designated by me through the SureLC software or through any other means, including without limitation, by e-mail or orally. The Authorized Parties shall be permitted to complete and submit all such forms and agreements on my behalf for the purpose of becoming authorized to sell Carrier insurance products. I hereby release, indemnify and hold harmless the Authorized Parties against any and all claims, demands, losses, damages, and causes of action, including expenses, costs and reasonable attorneys' fees which they may sustain or incur as a result of carrying out the authority granted hereunder.

By my signature below, I certify that the information I have submitted to the Authorized Parties is correct to the best of my knowledge and acknowledge that I have read and reviewed the forms and agreements which the Authorized Parties have been authorized to affix my signature. I agree to indemnify and hold any third party harmless from and against any and all claims, demands, losses, damages, and causes of action, including expenses, costs and reasonable attorneys' fees which such third party may incur as a result of its reliance on any form or agreement bearing my signature pursuant to this authorization.

Please sign in the center of the box below. Please use BLACK ink.



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