

Simplify The Paperwork Process

Here are some helpful tips to keep in mind when submitting New Business paperwork.

Training

- If applicable in your state, you must complete the required **product-specific training and state approved continuing education course** before soliciting the sale of an annuity product. New business will be rejected and returned if your required training is not completed.

Forms

- Be sure to use the **correct version** of each form based on the state in which the application is signed.
- The signature dates **should be the same** on all forms. Paperwork **must be received within 30 days of the sign date.**
- If any sections are scratched out, the **client must initial the change.**
- If a separate beneficiary sheet will be submitted, it must be **dated and signed by the owner.**
- The following point-of-sale forms must be signed and dated by you and the client on or before the date the application was signed: Client Financial Disclosure Form, Replacement Notice and Comparison & Disclosure Form.
- For all transfer cases, please include the **transfer company's street address and phone number** on the Transfer/Rollover form.
- For the most up-to-date forms, log into **GAconnect.com.**

Suitability

- The **Financial Inventory Worksheet** is required for all IRA and non-qualified cases that are **\$250,000** and over. However, we recommend this form be completed for all IRA and non-qualified sales as it may be requested to **verify the suitability** of the sale.
- Keep the **client information** you gather to determine suitability for the time period required by your state.

Other considerations

- If the new contract is funded with tax-qualified funds, and the owner is over age 70½, then the required minimum distribution (RMD) must be satisfied **prior to funds being transferred.**
- Our overnight address is Great American Insurance Group Tower, 301 E. Fourth St., 8th floor, Cincinnati, OH 45202

State-specific information

- The following state-specific point-of-sale forms must be signed and dated by you and the client on or before the date the application was signed: **Wisconsin** Preliminary Contract Summary, **Vermont** Fixed-Indexed Annuity Overview, **Kansas** Single Premium Deferred Annuity Disclosure Form and **Massachusetts** Notice to Applicants for an Annuity Insurance Information Practices.
- In NAIC 2000 Model Replacement States, a **replacement notice** must be completed for all cases involving a replacement.
- In accordance with state requirements, residents in Massachusetts, Minnesota, Oregon, Utah and Washington are only permitted to purchase annuity products within their **resident state.**

Syed Moinuddin Shibli

Allahabad UP 211016 India



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