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Suitability Information – Change of Broker Dealer or Update Only

Instructions: This should be utilized to provide the necessary suitability information to fulfill your KYC (Know Your Customer) obligations. The use cases for this particular form are:

a) To accompany a Broker-Dealer Change Request form. This will allow a customer record to be built and match up to the direct at fund business that is being taken over.
b) Provide suitability information on new controllers/owners when transferring ownership or control of a variable contract or mutual fund.
c) Provide updated client information for an existing account.

Section 1 - General Information

Account number (if applicable)	Vendor Name	Product Type

Name of owner/applicant

Name of joint owner/applicant

Name of joint owner/applicant

Employment status/occupation for primary owner/applicant:

☐ Employed ☐ Unemployed ☐ Retired

Section 2 - Additional Account Information Aggregated

Net Worth (Do not include primary residence):

☐ Under $50,000 ☐ $50,000 - $99,999 ☐ $100,000 - $249,999 ☐ $250,000 - $499,999
☐ $500,000 - $999,999 ☐ $1,000,000 - $2,999,999 ☐ $3,000,000 +

Liquid Net Worth (Assets easily converted to cash. Do not include residence or business):

☐ Under $20,000 ☐ $20,000 - $49,999 ☐ $50,000 - $99,999 ☐ $100,000 - $249,999
☐ $250,000 - $499,999 ☐ $500,000 - $999,999 ☐ $1,000,000 - $2,999,999 ☐ $3,000,000 +

Annual Income:

☐ Under $20,000 ☐ $20,000 - $49,999 ☐ $50,000 - $99,999 ☐ $100,000 - $159,999
☐ $160,000 - $299,999 ☐ $300,000 - $499,999 ☐ $500,000 +

Source of Income (select all that apply):

☐ Earned/Spousal income ☐ IRA/SEP/SIMPLE/Roth ☐ Qualified plan/pension ☐ Social Security
☐ Investment/Rental ☐ Reverse mortgage ☐ None ☐ Other - _____

Federal Tax Bracket:

☐ 0 - 12% ☐ 13 - 31% ☐ 32% +

Select all prior investment experience and provide approximate current value of assets (exclude this purchase).

Bank Savings, CDs, Money Market Funds	☐ Yes ☐ No	$ _____	Life Insurance (Cash Value)	☐ Yes ☐ No	$ _____
Stocks	☐ Yes ☐ No	$ _____	Variable Annuities	☐ Yes ☐ No	$ _____
Bonds	☐ Yes ☐ No	$ _____	Fixed Annuities	☐ Yes ☐ No	$ _____
Mutual Funds	☐ Yes ☐ No	$ _____	Other	☐ Yes ☐ No	$ _____

_____

☐ Yes ☐ No Does your current income cover your expected day to day living expenses?

☐ Yes ☐ No Do you have cash and/or other liquid assets available to you that may be used in the event of a financial emergency?

Section 3 - Risk Tolerance and Investment Objective

Select the Risk Tolerance the owner/ applicant is willing to accept for this account.

- ☐ Aggressive
- ☐ Moderately Aggressive
- ☐ Moderate
- ☐ Moderately Conservative
- ☐ Conservative

Select the Investment Objective that matches this account's investments.

- ☐ Aggressive Growth
- ☐ Growth
- ☐ Balanced/Conservative Growth
- ☐ Preservation of Principal

Section 4 - Individual Product Information

Purpose (select all that apply):

- ☐ Retirement
- ☐ Income (current or future)
- ☐ Death benefit guarantee
- ☐ Future needs and purchases
- ☐ Bequeath assets to heirs
- ☐ Estate planning
- ☐ Emergency fund
- ☐ Other - _____

Time Horizon: ☐ 0 - 3 years ☐ 4 - 7 years ☐ More than 7 years