**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)** Start Date: / /

***City/State Not Needed***

Line 1: Line 2: Zip code:

**Mailing Address (No PO Boxes)** Start Date: / /

***City/State Not Needed***

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)** Start Date: / /

***City/State Not Needed***

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

**Legal Questions for Contracting and Appointment Requests**

Please answer the following questions. If you answer YES to any question, be sure to provide a full, detailed explanation including specific dates.

Name:

|  |  |  |
| --- | --- | --- |
| 1 | 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 and statutes? Have you ever been on probation? | Yes No |
| 1A | Have you ever been convicted of or plead guilty or no contest to any Felony? | Yes No |
| 1B | Have you ever been convicted of or plead guilty or no contest to any Misdemeanor? | Yes No |
| 1C | Have you ever been convicted of or plead guilty or no contest to a violation of federal or state securities or investment related regulation? | Yes No |
| 1D | Have you ever been convicted of or plead guilty or no contest to a violation of state insurance department regulation or statute? | Yes No |
| 1E | Has any foreign government, court, regulatory agency, or exchange ever entered an order against you related to investments or fraud? | Yes No |
| 1F | Have you ever been charged with any Felony? | Yes No |
| 1G | Have you ever been charged with any Misdemeanor? | Yes No |
| 1H | Have you ever been on probation? | Yes No |
| 2 | Have you ever been or are you currently being investigated, have any pending indictments, lawsuits, or have you ever been in lawsuit with insurance company? | Yes No |
| 2A | Are you currently under investigation by any legal or regulatory authority? | Yes No |
| 2B | Have you been under investigation by any insurance company? | Yes No |
| 2C | 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 |
| 2D | 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 |
| 3 | Have you ever been alleged to have engaged in any fraud? | Yes No |
| 4 | Have you ever been found to have engaged in any fraud? | Yes No |
| 5 | Has any insurance or financial services company, or broker-dealer terminated your contract or appointment or permitted you to resign for reason other than lack of sales? | Yes No |
| 5A | Were you terminated/resigned because you were accused of violating insurance or investment related statutes, regulations, rules or industry standards of conduct? | Yes No |
| 5B | Were you terminated/resigned because you were accused of fraud or the wrongful taking of property? | Yes No |
| 5C | Failure to supervise in connection with insurance or investment related statutes, regulations, rules or industry standards of conduct? | Yes No |
| 6 | Have you ever had an appointment with any insurance company terminated for cause or been denied an appointment? | Yes No |
| 7 | 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? | Yes No |

|  |  |  |
| --- | --- | --- |
| 8 | 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&O coverage? | Yes No |
| 8A | 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 |
| 8B | 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 |
| 14A | Has any regulatory body ever sanctioned, censured, penalized or otherwise disciplined you? | Yes No |
| 14B | Has any state, federal or self-regulatory agency filed a complaint against you, fined or sanctioned you? | Yes No |
| 14C | 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 |
| 15A | Have you personally filed a bankruptcy petition or declared bankruptcy? | Yes No |
| 15B | 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 |
| 15C | 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**

Date of Action: / /

Action: \_\_

Reason:

Explanation:

Date of Action: / /

Action:

Reason:

Explanation:

Date of Action: / /

Action:

Reason:

Explanation:

**\*NOTE\* Use additional paper if necessary**

**LICENSES**

AML Provider: LIMRA NONE OTHER Date Completed: / /

*If Other, Provide Certificate of Completion.*

Are you a Registered Rep with FINRA? Yes No

*If Yes, Broker/Dealer Name:*

*CRD #:*

Please list any Honors you currently hold:

|  |  |
| --- | --- |
| **History** | ***\*NOTE\* Attach additional info if needed*** |
| **Employment** -- Please provide past 7 years of employment history: | |
| From: / / To: / / | |
| Company: Position: | |

Location:

From: / /

To: / /

Company:

Position:

Location:

From: / /

To: / /

Company:

Position:

Location:

**Address History** -- Please provide past 7 years of address history:

***\*NOTE\* Attach additional info if needed***

From: / /

To: / /

***City/State Not Needed***

Line 1: Line 2: Zip code:

From: / / \_ To: / /

***City/State Not Needed***

Line 1: Line 2: Zip code:

From: / /

To: / /

***City/State Not Needed***

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

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.

PRODUCERIDXXX

**ELECTRONIC FUND TRANSFERS (EFT)**

Account Owner Name (Required): Transit/ABA #: ­­­­­­­­­­­­­­­­

Account #: Financial Institution Name:

Branch Address: City: State: Zip:

Account Type: Checking Savings 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 saving account: