



THE ANNUITY STORE

SUCCESS MADE SIMPLE

84-24 Agent Checklist

Financial Professional Name _____

Customer Name _____ Application Date _____

Carrier _____ Product Name _____ Premium Amount _____

Policy # _____ Product Type FIA FA FIUL Other _____

	Description:	Date Completed:
1.	Complete Carrier Specific PTE 84-24 Training (if available)	
2.	Prefill customer and case information in the 84-24 Disclosure Statement	
3.	Document the required disclosures relating to compensation and material conflicts of interest. Ensure these are accurate and complete	
4.	Review 84-24 Disclosure Statement to customer prior to execution of the transaction or as otherwise required by the Insurance Carrier. Customer to acknowledge receipt of the disclosure via signature. Deliver signed copy of the Disclosure Statement to the Applicant. Retain original in customer file	
5.	Complete any other carrier required forms. These may include a Financial Professional Report, Product Specific Disclosure Form, Product Prospectus, Statement of Understanding, Rider Disclosure Form or Life Insurance Product Illustration. Retain copy in customer file	
6.	Obtain signed copies of carrier product application forms and requirements. Retain copy in customer file	

Additional Note: Retain in a separate file and update annually per licensing period:

- Carrier Contracting Forms
- Current E&O Fiduciary Coverage
- Required Training completion certificates
- License Copy
- Completed NAIC Carrier Specific Product Training

ABOVE ARE ITEMS TO BE MAINTAINED FOR EACH CUSTOMER FOR SIX (6) YEARS TO COMPLY WITH THE RECORDKEEPING REQUIREMENTS OF PTE 84-24. THIS FORM IS VALID FOR USE WITH PTE 84-24 DURING THE TRANSITION PERIOD ONLY, FROM 6/9/17 TO 12/31/17. FAILURE TO SATISFY THE REQUIREMENTS OF PTE 84-24 MAY EXPOSE THE FINANCIAL PROFESSIONAL TO EXCISE TAX PENALITIES, FEES, AND COSTS FOR PARTICIPATING IN A PROHIBITED TRANSACTION IN VIOLATION OF ERISA REGULATIONS AND LAWS. FINANCIAL PROFESSIONALS ARE ENCOURAGED TO CONSULT WITH YOUR OWN LEGAL COUNSEL FOR SPECIFIC LEGAL ADVICE AND ASSISTANCE.