Annuity Department Procedures

Case Development:

1. **Contact one of the Annuity Specialists** (Kent Jacquay or Clayton Duvall):
   - Kent Jacquay: kent@gordonmarketing.com 1-800-388-8342 x 374
   - Clayton Duvall: clayton@gordonmarketing.com 1-800-388-8342 x 385
2. **Provide details of your case:**
   - State
   - Age of client
   - Amount of Premium
   - Qualified or Non-Qualified?
   - Client's goal for money (accumulation, lifetime income/deferral period)
3. Annuity Specialist will put together recommendations and contact you to discuss
4. Once you have decided on a specific product, your Annuity Specialist will send you the necessary Illustrations, applications and brochures.
5. Your Marketer will send you carrier appointment/contracting paperwork. And the Annuity Assistant will send over the product training link and any other requirements to write the product selected.

Compliance (all must be done prior to application date):

1. Complete contracting paperwork
2. Complete Carrier Specific Product Training
3. Submit 4 hour General CE Certificate
4. Anti-Money Laundering (AML) Course needs to be done every 2 yrs

*** Contact Rhonda Butler for any annuity/product training questions:*

Rhonda@gordonmarketing.com
Fax: 800-388-8342 x 384
Phone: 800-388-8342 x 374

New Business Procedure:

1. Fax or scan and email a completed application to Rhonda Miles:

rmiles@gordonmarketing.com
Fax: 877-210-1666
Phone: 800-388-8342 x 358

** *If money is coming from a transfer, please make sure to include appropriate transfer paperwork***

2. If there is a RUSH on your business please make Rhonda Miles and your Annuity Specialist aware that you are sending it in and it will be put at the top of the priority list.
3. The New business department will contact you with any changes that are necessary and once everything is in good order, with instructions to forward your original application to the carrier.
4. You will be responsible for "real time" status updates. We will provide a weekly status update, based on the carrier website, unless special circumstances require additional assistance from Rhonda Miles.

Pre Appointment Checklist

- ☐ Contracting paperwork
- ☐ State specific NAIC required CE
- ☐ AML (anti money laundering) required every two years
- ☐ Carrier specific product training
- ☐ Current application for the state

Appointment Checklist

- ☐ Signatures and initials (double check)
- ☐ Complete financial suitability (be thorough)
- ☐ Transfer/1035 exchange paperwork complete
- ☐ Call the transferring company with the client, ask:
  - Do you require any additional paperwork?
  - Do you require any additional signature guarantees?
  - Are there any fees associated with this this transfer?
  - What address do we send the transfer to?
- ☐ Additional required documents when applicable:
  - Replacement
  - Trust Verification
  - Additional Beneficiary
  - State specific required forms
- ☐ Set expectations appropriately for timeline and additional communication