



17110 Marcy Street, Suite 100 • Omaha, NE 68118 • (800) 397-9999 • fax: (402) 334-6300  
www.financial-brokerage.com

Please complete the attached forms along with the documents noted below and return via secure email to [licensing@fb-inc.com](mailto:licensing@fb-inc.com) or fax to 402-334-6300. Forms may also be uploaded securely at: <https://financial-brokerage.com/secure-file-sharing-service/>

**! Please be advised that a wet signature is required on the signature page.**

- Copy of your insurance license
- Copy of your E&O certificate (if you carry it)
- Copy of a voided check for direct deposit
- Copy of proof of anti-money laundering training
- Copy of written explanation for any background issues (outlined on the Background Information page)
- Copy of CE training certificate (if required in your state)
- If applying as principal of a corporation, please provide a corporate license and voided check in addition to your individual license.
- Please be advised that some carriers charge resident and-or non-resident appointment fees.

Unlock the power of Indexed Universal Life  
so you can transform your business.

[Learn More >](#)

Create a Recurring Revenue Stream  
Unlimited Referral Bonus for 10 Years!

[Learn More >](#)

We need experienced agents to help us by  
meeting with orphan clients that we believe  
might need some advice.

[Learn More >](#)

## Contract Application:

Agent Name: \_\_\_\_\_ SSN: \_\_\_\_\_ - -

Agency Name (if applicable): \_\_\_\_\_ Tax ID: \_\_\_\_\_ -

Personal Name or Principal: \_\_\_\_\_

Insurance License Number: \_\_\_\_\_ Birth Date  
(mm/dd/yyyy): \_\_\_\_/\_\_\_\_/\_\_\_\_

NPN Number: \_\_\_\_\_

Male  Female

Agent Home Address: \_\_\_\_\_

City, State, ZIP: \_\_\_\_\_ County: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

City, State, ZIP: \_\_\_\_\_ County: \_\_\_\_\_

UPS Street Address: \_\_\_\_\_

City, State, ZIP: \_\_\_\_\_ County: \_\_\_\_\_

Phone Res: \_\_\_\_\_ Business: \_\_\_\_\_

Fax: \_\_\_\_\_ Mobile: \_\_\_\_\_

Email Address: \_\_\_\_\_

Previous Address in the last 10 years: \_\_\_\_\_

City, State, ZIP: \_\_\_\_\_ County: \_\_\_\_\_

\_\_\_\_\_  
Initials

\_\_\_\_\_  
Date

# Background Information:

All Yes Answers Must Have an Explanation to be Processed

Is there any indebtedness to any insurance company? If yes, provide the name of the company, amount, and the repayment agreement:  Yes  No

Have you ever been convicted of a felony or misdemeanor other than a traffic offense? If yes, explain and provide the date(s) of each:  Yes  No

Have you had your driver's license revoked? If yes, explain and provide date(s):  Yes  No

Are you in the process of, or have you ever, filed for bankruptcy? If yes, explain and answer the following questions:  Yes  No

Have you ever filed bankruptcy, have been declared bankrupt or insolvent, or had your salary garnished?  Yes  No

Have you, or any business of which you were presently are a principal, been involved in a bankruptcy action, or compromised liabilities with creditors?  Yes  No

Have you ever filed a petition for bankruptcy or for protection from creditors?  Yes  No

Has any insurance or securities brokerage firm, with whom you have been associated, ever filed a bankruptcy petition or been declared bankrupt (either during your association or within 5 years after termination of such association)?  Yes  No

When was bankruptcy filed (mm/dd/yyyy)? \_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_

What was the amount of your bankruptcy? \_\_\_\_\_

Please select which you filed:  Chapter 7  Chapter 11  Chapter 13

Please provide the date you filed for bankruptcy (mm/dd/yyyy): \_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_

Please provide the date your bankruptcy was paid off (if applicable) (mm/dd/yyyy): \_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_

Are you now, or have you ever been, employed by, or associated with to any degree, directly or indirectly, a bank, savings and loan, or other financial institution?  Yes  No

Are you now subject of any complaint, investigation, or proceeding which could result in a yes answer to any of the preceding questions?  Yes  No

\_\_\_\_\_  
Initials

\_\_\_\_\_  
Date

# Financial Brokerage INC.

800-397-9999

www.financial-brokerage.com

Have you ever been refused a bond or Errors and Omissions Insurance? If yes, please explain:  Yes  No

Have you ever had your insurance license suspended or revoked? If yes, please explain:  Yes  No

Have you ever had disciplinary action taken against you with any Department of Insurance? If yes, please explain:  Yes  No

Are you, or at this present time, or have you been within the past five years, involved in any civil litigation, judgments, liens, or foreclosures? If yes, please explain:  Yes  No

Have you ever been denied an appointment with any insurance company? If yes, please explain:  Yes  No

Have you ever had disciplinary action taken against you with any Department of Insurance? If yes, please explain:  Yes  No

## Banking Information

Bank Routing Number (9 digits): \_\_\_\_\_

Account Number: \_\_\_\_\_

Branch Name or Location: \_\_\_\_\_

**BE SURE TO ATTACH A VOIDED CHECK**

## Other Information

List a Beneficiary: \_\_\_\_\_ Relationship: \_\_\_\_\_

Resident Driver's License State: \_\_\_\_\_ Driver's License Number: \_\_\_\_\_

Have you taken out an AML (Anti-Money Laundering) course within the past two years?  Yes  No

Date (mm/yyyy): \_\_\_\_/\_\_\_\_/\_\_\_\_ Course Name: \_\_\_\_\_

Where were you born? (City, State) \_\_\_\_\_

### **LONG TERM CARE PARTNERSHIP CERTIFICATION: PLEASE ATTACH CERTIFICATE OR CE UPDATE**

*I confirm that all information is true and correct, and I have given Financial Brokerage my permission to enter the information on my behalf.*

\_\_\_\_\_  
Initials

\_\_\_\_\_  
Date

## Letter of Explanation

Date of Action: \_\_\_\_/\_\_\_\_/\_\_\_\_

Action: \_\_\_\_\_

Reason: \_\_\_\_\_

Explanation:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Date of Action: \_\_\_\_/\_\_\_\_/\_\_\_\_

Action: \_\_\_\_\_

Reason: \_\_\_\_\_

Explanation:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Date of Action: \_\_\_\_/\_\_\_\_/\_\_\_\_

Action: \_\_\_\_\_

Reason: \_\_\_\_\_

Explanation:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

### USE ADDITIONAL PAPER IF NECESSARY

#### Licenses

AML Provider:  Limra  None  Other

Expiration Date (mm/dd/yyyy): \_\_\_\_/\_\_\_\_/\_\_\_\_

If other, please provide certificate of completion

Are you a Registered Rep with FINRA?  Yes  No

If yes, Broker/Dealer Name: \_\_\_\_\_ CRD#: \_\_\_\_\_

## Create a Recurring Revenue Stream!

# Unlimited Referral Bonus for 10 Years!

Refer agents to Financial Brokerage and earn the following overrides on their 1<sup>st</sup> year paid/target premium for the next ten years.

Life Products	5%
Final Expense	2.50%
Single Premium Life	0.25%
Hybrid (Linked Benefits)	0.25%
Long-Term Care / DI / CI	5%
Short-Term Care	3%
Annuity - Indexed Products	0.25%
Annuity - Non-Indexed	0.10%
Medicare Supplement	1%

Agent Name: \_\_\_\_\_ Phone: \_\_\_\_\_ Relationship: \_\_\_\_\_

Agent Name: \_\_\_\_\_ Phone: \_\_\_\_\_ Relationship: \_\_\_\_\_

Agent Name: \_\_\_\_\_ Phone: \_\_\_\_\_ Relationship: \_\_\_\_\_

Agent Name: \_\_\_\_\_ Phone: \_\_\_\_\_ Relationship: \_\_\_\_\_

Agent Name: \_\_\_\_\_ Phone: \_\_\_\_\_ Relationship: \_\_\_\_\_

## Replace this page with a copy of your E&O Insurance Certificate of Coverage

### **IMPORTANT:**

E&O Certificate must list your full name as the insured.  
Please use the following examples as reference:

#### **CORRECT:**

Name of Insurance Agency  
**Full Agent Name**  
Address Line 1  
Address Line 2  
City, State, ZIP

#### **INCORRECT:**

Name of Insurance Agency  
Address Line 1  
Address Line 2  
City, State, ZIP

If an individual's name is not listed correctly, please provide a letter from the E&O Carrier listing agents covered under agency policy.



## Signature

GENERAL AGENT: Pinnacle Financial Services

I, \_\_\_\_\_, hereby authorize Pinnacle Financial Services to affix or append a facsimile of my signature, as set forth below, to all required signature fields on all Insurance Carrier documents through the software or through any other means, including without limitation, by e-mail or orally. For which I have authorized Pinnacle Financial Services to submit all such forms and agreements on my behalf, for the purposes of being Contracted to sell products of Carriers through Pinnacle Financial Services. I hereby release, indemnify and hold harmless Pinnacle Financial Services 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.

I affirm that the information I have submitted through the interview process to Pinnacle Financial Services is correct to the best of my knowledge and acknowledge that I have read and reviewed the documents for which I am authorizing my signature to be affixed to. I acknowledge and agree to indemnify and hold harmless any third party 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 and acceptance on any form or agreement of a facsimile of my signature.

By signing this form, I acknowledge that all information is true and correct to the best of my knowledge.

Please read, sign, and fax back to **402-334-6300**  
Additionally, please sign in the center of the box below:

CONFIDENTIAL

**Example:**

John Doe



## Medicare Supplement Carriers

Check the box next to the carrier names that you would like to select.  
For non-resident state requests, please write in State next to the carrier.

American National

Aetna

Bankers Fidelity

Central States Indemnity

Cigna

Liberty Bankers Life

Manhattan Life

Medico

Mutual of Omaha

Standard Life and Accident

Thrivent Financial

Transamerica

*Please be advised that some carriers charge resident and/or non-resident appointment fees. If you are requesting non-resident appointment, please indicate which states in the block provided.*

\_\_\_\_\_  
Initials

\_\_\_\_\_  
Date