

## Transfer of Ownership Suitability Information

Complete and submit for the new controllers/owners when transferring ownership or control of a variable contract or mutual fund.

### Section 1 - General Information

Name of owner/applicant (custodian/trust/business)

Name of joint owner/applicant (custodian/trustee/authorized person)

Name of joint owner/applicant (custodian/trustee/authorized person)

Employment status/occupation for primary owner/applicant:

- Employed    
  Unemployed    
  Retired

### Section 2 - Additional Account Information Aggregated

**Net Worth** (Do not include primary residence):

- |  |  |  |  |
|--|--|--|--|
| <input type="checkbox"/> Under \$50,000        | <input type="checkbox"/> \$50,000 - \$99,999       | <input type="checkbox"/> \$100,000 - \$249,999 | <input type="checkbox"/> \$250,000 - \$499,999 |
| <input type="checkbox"/> \$500,000 - \$999,999 | <input type="checkbox"/> \$1,000,000 - \$2,999,999 | <input type="checkbox"/> \$3,000,000 +         |  |

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

- |  |  |  |  |
|--|--|--|--|
| <input type="checkbox"/> Under \$20,000        | <input type="checkbox"/> \$20,000 - \$49,999   | <input type="checkbox"/> \$50,000 - \$99,999       | <input type="checkbox"/> \$100,000 - \$249,999 |
| <input type="checkbox"/> \$250,000 - \$499,999 | <input type="checkbox"/> \$500,000 - \$999,999 | <input type="checkbox"/> \$1,000,000 - \$2,999,999 | <input type="checkbox"/> \$3,000,000 +         |

**Annual Income:**

- |  |  |  |  |
|--|--|--|--|
| <input type="checkbox"/> Under \$20,000        | <input type="checkbox"/> \$20,000 - \$49,999   | <input type="checkbox"/> \$50,000 - \$99,999 | <input type="checkbox"/> \$100,000 - \$159,999 |
| <input type="checkbox"/> \$160,000 - \$299,999 | <input type="checkbox"/> \$300,000 - \$499,999 | <input type="checkbox"/> \$500,000 +         |  |

**Source of Income** (select all that apply):

- |  |  |   |  |
|--|--|---|--|
| <input type="checkbox"/> Earned/Spousal income | <input type="checkbox"/> IRA/SEP/SIMPLE/Roth | <input type="checkbox"/> Qualified plan/pension | <input type="checkbox"/> Social Security |
| <input type="checkbox"/> Investment/Rental     | <input type="checkbox"/> Reverse mortgage    | <input type="checkbox"/> None                   | <input type="checkbox"/> 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	<input type="checkbox"/> Yes <input type="checkbox"/> No	\$ _____	Life Insurance (Cash Value)	<input type="checkbox"/> Yes <input type="checkbox"/> No	\$ _____
Stocks	<input type="checkbox"/> Yes <input type="checkbox"/> No	\$ _____	Variable Annuities	<input type="checkbox"/> Yes <input type="checkbox"/> No	\$ _____
Bonds	<input type="checkbox"/> Yes <input type="checkbox"/> No	\$ _____	Fixed Annuities	<input type="checkbox"/> Yes <input type="checkbox"/> No	\$ _____
Mutual Funds	<input type="checkbox"/> Yes <input type="checkbox"/> No	\$ _____	Other	<input type="checkbox"/> Yes <input type="checkbox"/> 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?

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**Section 3 - Risk Tolerance and Investment Objective**

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Select the highest Risk Tolerance the owner/ applicant is willing to accept.

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

Select the Investment Objective that matches registration's investments.

- Aggressive Growth
  - Growth
  - Balanced/Conservative Growth
  - Preservation of Principal
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**Section 4 - Individual Product Information**

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**Purpose** (select all that apply):

- Retirement
  - Future needs and purchases
  - Emergency fund
  - Income (current or future)
  - Bequeath assets to heirs
  - Other - \_\_\_\_\_
  - Death benefit guarantee
  - Estate planning
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**Time Horizon:**     0 - 3 years         4 - 7 years         More than 7 years

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