

Broker Data Sheet

Minnesota Life Insurance Company - Securian Life Insurance Company

Securian Financial Group Companies

Corporate Compliance • 400 Robert Street North • St. Paul, Minnesota 55101-2098 • Fax: 651-665-7256

Product Information - Please indicate the line(s) of business you are requesting appointment for:

Life Annuity Employer Plan (401K)

Note: Entity (Firm or Broker-Dealer) must have applicable selling agreement with Minnesota Life or Securian Life.

Broker Information (Full legal name as it appears on your insurance license)

First name		Middle name		Last name		Suffix	
Date of birth (mm/dd/yyyy)		Social Security number		Email address (for confidential information)			
Apt/suite/PO box			Apt/suite/PO box				
Residential street address			Business street address				
City		State	Zip code	City		State	Zip code
Preferred telephone number			Fax number				

Errors and Omissions Insurance Information

Provide carrier name

Policy number		Minimum coverage amount (\$1,000,000 required)	
Effective date (mm/dd/yyyy)	Expiration date (mm/dd/yyyy)	Company contact	

By checking this box, applicant certifies that the E&O information provided above is true and accurate

Broker-Dealer Information

Are you currently associated with a broker-dealer?	CRD Number
<input type="checkbox"/> Yes <input type="checkbox"/> No	
If yes, provide broker-dealer full name	

If yes, does your broker-dealer supervise INDEXED LIFE product sales?

Yes No This question **MUST** be answered before your appointment will be processed.

BROKER DECLARATION

If you answer "Yes" to any questions, give full details, including all relevant information under explanation. Use additional paper if necessary and attach any supporting documents.

- | | YES | NO |
|---|--------------------------|--------------------------|
| 1. Have you, or an organization over which you exercised management or policy control: | | |
| a. filed a bankruptcy petition or been the subject of an involuntary bankruptcy provision in the last 10 years? | <input type="checkbox"/> | <input type="checkbox"/> |
| b. ever been charged with, indicted for, convicted of or pled guilty or nolo contendere to any felony or misdemeanor other than a minor traffic offense? | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. Do you have any unsatisfied judgments, garnishments, collections or liens against you? | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. Has a bonding or surety company denied, ever paid out on, or revoked a bond for you? | <input type="checkbox"/> | <input type="checkbox"/> |
| 4. Have you individually, or has a company you exercised control over, ever had an insurance license or appointment, or a securities registration, or an application for such, denied, suspended, cancelled or revoked? | <input type="checkbox"/> | <input type="checkbox"/> |
| 5. Has any state or federal regulatory agency, legal body or self-regulating authority: | | |
| a. ever sanctioned, censured, penalized or otherwise disciplined you? | <input type="checkbox"/> | <input type="checkbox"/> |
| b. ever filed a complaint against you? | <input type="checkbox"/> | <input type="checkbox"/> |
| 6. Have you ever been or are you currently party to an insurance or investment related consumer initiated complaint or proceeding? | <input type="checkbox"/> | <input type="checkbox"/> |
| 7. Have you ever been or are you currently involved with, or party to: | | |
| a. any litigation? | <input type="checkbox"/> | <input type="checkbox"/> |
| b. the subject of any investigation? | <input type="checkbox"/> | <input type="checkbox"/> |
| 8. Have you ever been discharged or permitted to resign? | <input type="checkbox"/> | <input type="checkbox"/> |
- If YES, please state the reason: _____

EXPLANATION: _____

RELEASE AUTHORIZATION AND FAIR CREDIT REPORTING ACT DISCLOSURE (For contract and appointment purposes)

The applicant for appointment acknowledges that this company may now, or at any time while contracted, verify information within the application, resume or contract for employment. In the event that information from the report is utilized in whole or in part in making an adverse decision, before making the *adverse decision*, we will provide to you a copy of the consumer report and a description in writing of your rights under the Fair Credit Reporting Act, 15 U.S.C. §1681 et seq.

Please be advised that we may also obtain an *investigative consumer report* including information as to your character, general reputation, personal characteristics, and mode of living. This information may be obtained by contacting your present and previous employers or references supplied by you. Please be advised that you have the right to request, in writing, within a reasonable time, that we make a complete and accurate disclosure of the nature and scope of the information requested.

Additional information concerning the Fair Credit Reporting Act, 15 U.S.C. §1681 et seq., is available at the Federal Trade Commissions web site (<http://www.ftc.gov>).

The Company is a Vector One subscriber. As a subscriber, the Company may query Vector One's web portal at the time of appointment review or any time thereafter, and/or report debt after termination accordingly.

As part of the appointment process, the Company may query Vector One's secured web portal to determine if another Vector One subscriber has claimed you have a commission-related debit balance. If another Vector One subscriber has claimed you have a commission related debit balance, the Company will take into account the information along with all other background data gathered before determining whether an appointment will be approved.

I understand that I am obligated to immediately report any event that changes any of the information, in any manner, which I have provided on this application. I hereby certify that all of the information herein is accurate and complete. Finally, I acknowledge and agree that my appointment will, in part, be based on this Broker Data Sheet and background information, and any falsification, misrepresentation or omission of information from this form may result in the withholding or withdrawal of any offer of appointment or the revocation of appointment by the Company whenever discovered.

By signing below, I hereby authorize all entities having information about me, including present and former employers, personal references, criminal justice agencies, departments of motor vehicles, schools, licensing agencies, and credit reporting agencies, to release such information to the company or any of its affiliates or carriers. I acknowledge and agree that this Release and Authorization shall remain valid and in effect during the term of my contract.

PLEASE SEE SIGNATURE SECTION ON FOLLOWING PAGE

Applicant Authorization/Signature

Print name of broker

Signature of broker

X

Date (mm/dd/yyyy)

For Maine and New York Applicants Only

Upon request, you will be informed whether or not a consumer report was requested, and if such a report was requested, the name and address of the consumer reporting agency furnishing the report.

Maine residents will be provided a copy of your rights under the Maine Fair Credit Reporting Act.

For Washington Applicants Only

The consumer reporting agency which furnished the report is Business Information Group, P.O. Box 541, Southampton, PA, 18966; for consumer compliance officer contact 800-260-1680.

For California, Minnesota, and Oklahoma Applicants Only

A consumer credit report will be obtained through Business Information Group, P.O. Box 541, Southampton, PA, 18966.

If a consumer **credit report** is obtained, I understand that I am entitled to receive a copy. I have indicated below whether I would like a copy. Yes _____ No _____
(Initials) (Initials)

If an **investigative consumer report** and/or consumer report is processed, I understand that I am entitled to receive a copy. I have indicated below whether I would like a copy. Yes _____ No _____
(Initials) (Initials)

***California applicants:** If you chose to receive a copy of the consumer report, it will be sent within three (3) days of the employer receiving a copy of the consumer report and you will receive a copy of the investigative consumer report within seven (7) days of the employer's receipt of the report.

Para informacion en espanol, visite www.ftc.gov/credit o escribe a la FTC Consumer Center, Room 130-A 600 Pennsylvania Ave. N.W., Washington, D.C. 20580.

A Summary of Your Rights Under the Fair Credit Reporting Act

The federal Fair Credit Reporting Act (FCRA) promotes the accuracy, fairness, and privacy of information in the files of consumer reporting agencies. There are many types of consumer reporting agencies, including credit bureaus and specialty agencies (such as agencies that sell information about check writing histories, medical records, and rental history records). Here is a summary of your major rights under the FCRA. **For more information, including information about additional rights, go to www.ftc.gov/credit or write to: Consumer Response Center, Room 130-A, Federal Trade Commission, 600 Pennsylvania Ave. N.W., Washington, D.C. 20580.**

- **You must be told if information in your file has been used against you.** Anyone who uses a credit report or another type of consumer report to deny your application for credit, insurance, or employment - or to take another adverse action against you - must tell you, and must give you the name, address, and phone number of the agency that provided the information.
- **You have the right to know what is in your file.** You may request and obtain all the information about you in the files of a consumer reporting agency (your "file disclosure"). You will be required to provide proper identification, which may include your Social Security number. In many cases, the disclosure will be free. You are entitled to a free file disclosure if:
 - a person has taken adverse action against you because of information in your credit report;
 - are the victim of identity theft and place a fraud alert in your file;
 - your file contains inaccurate information as a result of fraud;
 - you are on public assistance;
 - you are unemployed but expect to apply for employment within 60 days. In addition, by September 2005 all consumers will be entitled to one free disclosure every 12 months upon request from each nationwide credit bureau and from nationwide specialty consumer reporting agencies. See www.ftc.gov/credit for additional information.
- **You have the right to ask for a credit score.** Credit scores are numerical summaries of your credit-worthiness based on information from credit bureaus. You may request a credit score from consumer reporting agencies that create scores or distribute scores used in residential real property loans, but you will have to pay for it. In some mortgage transactions, you will receive credit score information for free from the mortgage lender.
- **You have the right to dispute incomplete or inaccurate information.** If you identify information in your file that is incomplete or inaccurate, and report it to the consumer reporting agency, the agency must investigate unless your dispute is frivolous. See www.ftc.gov/credit for an explanation of dispute procedures.
- **Consumer reporting agencies must correct or delete inaccurate, incomplete, or unverifiable information.** If you identify information in your file that is incomplete or inaccurate, and report it to the consumer reporting agency, the agency must investigate unless your dispute is frivolous. See www.ftc.gov/credit for an explanation of dispute procedures.
- **Consumer reporting agencies may not report outdated negative information.** In most cases, a consumer reporting agency may not report negative information that is more than seven years old, or bankruptcies that are more than 10 years old.
- **Access to your file is limited.** A consumer reporting agency may provide information about you only to people with a valid need -- usually to consider an application with a creditor, insurer, employer, landlord, or other business. The FCRA specifies those with a valid need for access.
- **You must give your consent for reports to be provided to employers.** A consumer reporting agency may not give out information about you to your employer, or a potential employer, without your written consent given to the employer. Written consent generally is not required in the trucking industry. For more information, go to www.ftc.gov/credit.
- **You may limit "prescreened" offers of credit and insurance you get based on information in your credit report.** Unsolicited "prescreened" offers for credit and insurance must include a toll-free phone number you can call if you choose to remove your name and address from the lists these offers are based on. You may opt-out with the nationwide credit bureaus at 1-888-5-OPTOUT (1-888-567-8688).

- **You may seek damages from violators.** If a consumer reporting agency, or, in some cases, a user of consumer reports or a furnisher of information to a consumer reporting agency violates the FCRA, you may be able to sue in state or federal court.
- **Identity theft victims and active duty military personnel have additional rights.** For more information, visit www.ftc.gov/credit.

States may enforce the FCRA, and many states have their own consumer reporting laws. In some cases, you may have more rights under state law. For more information, contact your state or local consumer protection agency or your state Attorney General. Federal enforcers are:

Type of Business	Contact
Consumer reporting agencies, creditors and others not listed below	Federal Trade Commission: Consumer Response Center - FCRA Washington, DC 20580 1-877-382-4357
National banks, federal branches/agencies of foreign banks (word "National" or initials "N.A." appear in or after bank's name)	Office of the Comptroller of the Currency Compliance Management, Mail Stop 6-6 Washington, DC 20219 800-613-6743
Federal Reserve System member banks (except national banks, and federal branches/agencies of foreign banks)	Federal Reserve Board Division of Consumer & Community Affairs Washington, DC 20551 202-452-3693
Savings associations and federally chartered savings banks (word "Federal" or initials "F.S.B." appear in federal institution's name)	Office of Thrift Supervision Consumer Complaints Washington, DC 20552 800-842-6929
Federal credit unions (words "Federal Credit Union" appear in institution's name)	National Credit Union Administration 1775 Duke Street Alexandria, VA 22314 703-519-4600
State-chartered banks that are not members of the Federal Reserve System	Federal Deposit Insurance Corporation Consumer Response Center, 2345 Grand Avenue, Suite 100 Kansas City, Missouri 64108-2638 1-877-275-3342
Air, surface, or rail common carriers regulated by former Civil Aeronautics Board or Interstate Commerce Commission	Department of Transportation, Office of Financial Management Washington, DC 20590 202-366-1306
Activities subject to the Packers and Stockyards Act, 1921	Department of Agriculture Office of Deputy Administrator - GIPSA Washington, DC 20250 202-720-7051

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