

Step-by-step: Agent Re-Appointments with Insurance Carriers

Prior to submitting forms to change the broker dealer, the Financial Advisor must be registered with Level Four and Re-Appointed with the annuity company in question.

1. **AGENT WITH LEVEL FOUR:** Log in using your Sure LC User ID (typically emailed to you) & Password (if you don't know it select "Password Recovery" and it will walk you through recovery).
2. **Complete "MY PROFILE" sections**

Walk through each tab of the My Profile and complete any missing information.

- a. Make sure all information is correct on each tab, if not, correct it by clicking on the "lock" picture or simply typing in the box. Move to the next tab, and continue reviewing information
- b. If a tab has a yellow or red dot, you will be prompted to input data or take action.
- c. **THE SYSTEM WILL NOT ALLOW YOU TO REQUEST AN APPOINTMENT IF ANY TAB HAS A RED DOT**

The screenshot shows the 'My Profile' page in the SureLC system. The left sidebar contains navigation options: My Profile, Doing Business As, Licenses, FINRA, Questions, History, CE & Training, E&O Insurance, Signature, Profile Documents, Contracting Requests (with a red dot), Carrier Contracts, and Help & Support. The main content area is titled 'My Profile > Producer Info'. It features a 'Welcome to SureLC' message with a blue notification box stating: 'This is your profile for contracting through Level Four Insurance Services. If you need to access contracting with another agency, contact that agency for login instructions.' Below this, instructions for getting started are provided: 1. Review the information on each page of your profile. Pages with incomplete required information will be marked with a red notification. 2. Pages with yellow notifications indicate incomplete information that is not required to create contracting requests. 3. Once your profile no longer has any red notifications, the Contracting Requests page will allow you to request carrier contracts. A link to the Help & Support page is also provided. The 'Full Name' section includes fields for Title, First Name (JAMES), Middle Name (MATTHEW), Last Name (SPOONTS), and Suffix. The 'Personal information' section includes fields for SSN (###-##-2040), NPN (19252766), Date of Birth (12/28/1986), Gender (Male), and Marital Status (Select marital...). The SureLC ID# 3331732 is displayed in the top right corner.

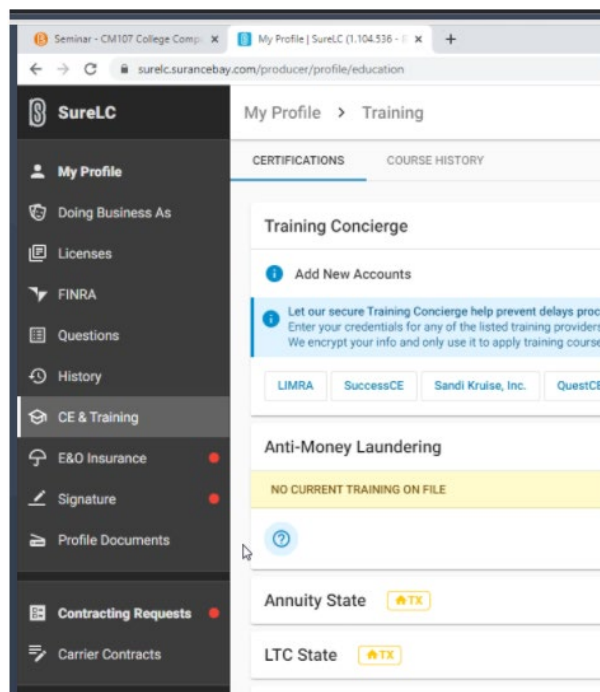
TAB NOTES:

- **Doing Business As**
 - Select License Only Agent
- **Licenses**
 - License information will pull in automatically
- **FINRA**
 - If you answer yes to Registered Rep question, system will search automatically for the information
- **Questions**
 - These are standard contracting questions. Must answer all.
- **History**
 - Optional section

Step-by-step: Agent Re-Appointments with Insurance Carriers

- **CE & Training**
 - Enter NPN (or NIPR) number.
 - Select where you received your CE credits
 - Information automatically pulls into system
- **E & O Insurance**
 - Has already been entered into the system by LFIA.
- **Signature**
 - Follow instructions
- **Profile Documents**
 - Area to upload any requested documents

Note: Anti-Money Laundering AML information is being input by LFIA.



AUTHORIZATION/ Signature Section

Option 1: Physically sign the Agent Signature document, use this link to download and print the form <https://levelfourinsurance.com/download/signature-authorization> or use the "forms" button inside the Scan tab. Scan it into your computer, and manually attach it within the SCAN tab where all documents are stored.

Option 2: Use your mouse to create an e-signature in the SureLC database.

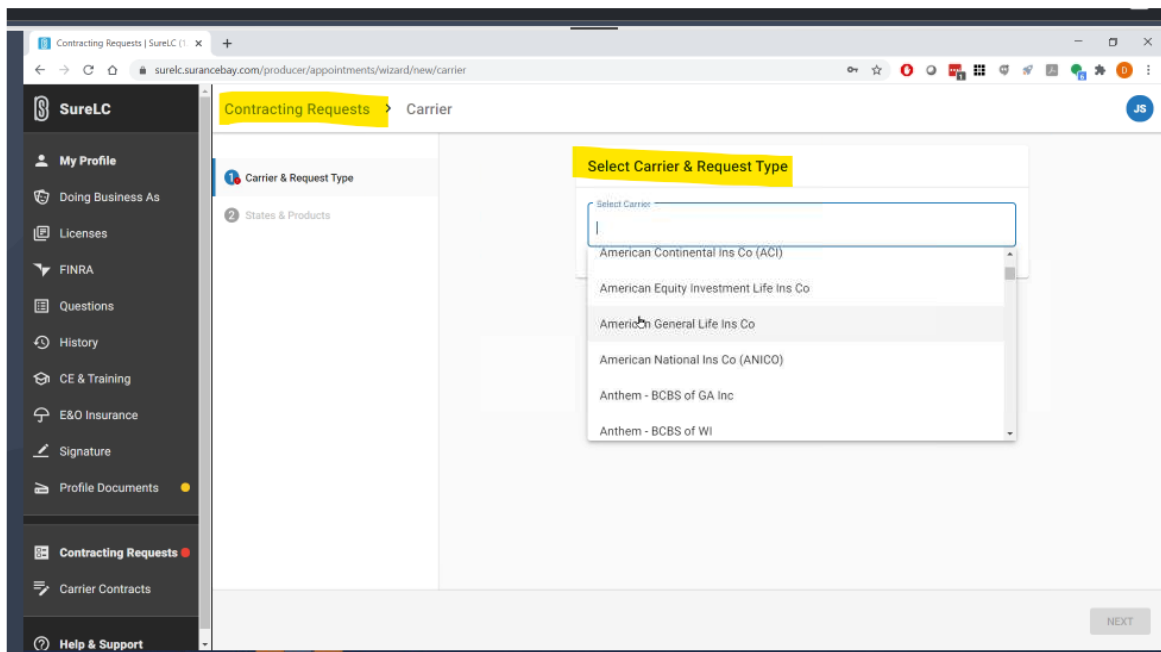
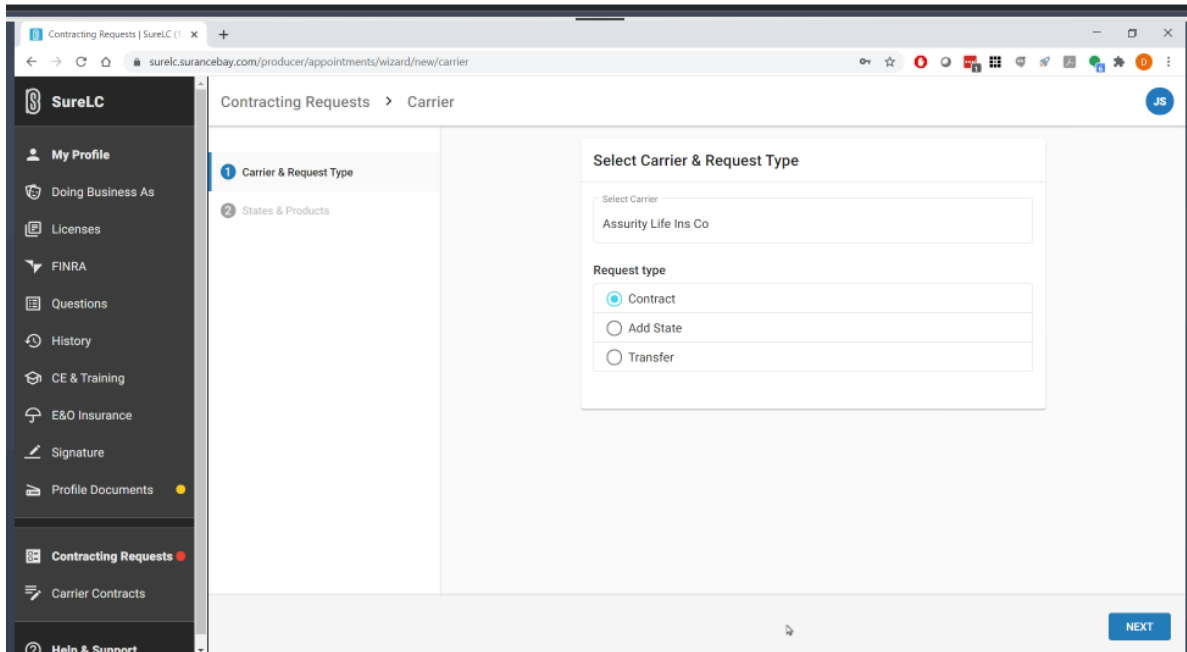
- Select the "Scan" tab along the bottom
- Select the "Signature Capture" tab
- Read and accept the signature authorization disclaimer
- Click on "add signature"
- Hold down the left mouse button and draw signature. Once you are finished, click "Done".

Step-by-step: Agent Re-Appointments with Insurance Carriers

3. **Complete “CONTRACTING REQUESTS” section**

Select “Contracting Requests”

- a. Select “New Request” (In the top right-hand corner). Request type will be “Contract”
- b. Select the Carrier you want to be contracted with (only 1 carrier at a time)



Step-by-step: Agent Re-Appointments with Insurance Carriers

c. Select Products and States you want to be contracted with for that Carrier

The screenshot shows the 'Select States & Products' step in the SureLC interface. The breadcrumb trail is 'Contracting Requests > Assury Life Ins Co > States & Products'. A progress bar on the left indicates the current step is '2 States & Products'. The main content area is titled 'Select States & Products' and contains two sections: 'Select Product' and 'Licensed States'. Under 'Select Product', there are several product categories with checkboxes: 'Fixed Life' (checked), 'Fixed Annuity' (checked), 'Accident and Sickness', 'Med Supplements', 'Disability', 'Long Term Care', 'Group Life & Health', 'Medicare Advantage', 'Prescription Drug', 'Variable Life', 'Variable Annuity', 'Dental & Vision', and 'Property & Casualty'. Under 'Licensed States', there are two state options: 'Texas' (checked) and 'New Mexico'. The 'Texas' option includes the text 'Life, Accident, Health And Hmo'. The 'New Mexico' option includes the text 'Life'. At the bottom of the screen, there are 'PREVIOUS' and 'NEXT' buttons.

d. Follow the prompts to complete Errors and Omissions

e. Answer Carrier Questions

This section may be different from Carrier to Carrier.

f. Answer Questionnaire

The screenshot shows the 'Carrier Questions' step in the SureLC interface. The breadcrumb trail is 'Contracting Requests > Assury Life Ins Co > Miscellaneous'. A progress bar on the left indicates the current step is '5 Carrier Questions'. A yellow warning banner at the top reads: 'Please review the information on the Carrier Questions screen. Select NEXT to confirm and continue.' The main content area is titled 'Carrier Questions' and contains four questions, each with 'Yes' and 'No' radio button options. The questions are: 'During the past 5 years, have you lived in a different state or county than your present one?' (No selected), 'Are you presently involved in any litigation or are there any unsatisfied judgments, liens (including state or federal tax liens), collection, charged-off debt or accounts more than 120 days late against you?' (No selected), 'Have you ever had any complaints against your conduct that resulted in a return of premium to any insured?' (No selected), and 'Have you ever been reprimanded or entered into a consent order with any insurance department, the Securities and Exchange Commission (SEC), FINRA or any other regulatory authority?' (No selected). At the bottom of the screen, there are 'PREVIOUS' and 'NEXT' buttons.

Step-by-step: Agent Re-Appointments with Insurance Carriers

4. **Review and Sign**

- REVIEW THE CONTRACT YOU HAVE PROCESSED.
- Scroll down page to Confirm
- Select "Apply my signature"
- At this point you will see "Thank you for your appointment request. It has been submitted and you will be contacted if anything further is necessary".
- Select "OK"

5. **Repeat Steps 5 and 6** for each Carrier

**If you have any questions or need assistance in completing please contact the
Contracting Department at Level Four Insurance Agency
800-460-5567**