

Preamble: This document is a form of certification that may be used to satisfy §6.F.(2)(b)(ii) of the NAIC Suitability in Annuity Transactions Model Regulation.

ANNUITY SUITABILITY CERTIFICATION

_____ (hereinafter the "Selling Third Party") certifies to _____ Sample Requestor (hereinafter the "Insurer") that the Selling Third Party; for the period of 1/1/1900 through 12/31/1900:

1. maintains a system to supervise recommendations to consumers by or through the Selling Third Party or its affiliates regarding the purchase or exchange of annuities issued by the Insurer, which system is reasonably designed to achieve compliance with:
 - a. all state insurance laws or regulations based on the NAIC Suitability in Annuity Transactions Model Regulation or otherwise pertaining to annuity sales practices, if and to the extent that such laws and regulations are applicable to the Selling Third Party, and
 - b. all FINRA Conduct Rules regarding suitability, including but not limited to Rule 2330, if and to the extent that such rules are applicable to the Selling Third Party; and

2. maintains written procedures and conducts periodic reviews of its records to confirm that the Selling Third Party was in compliance with applicable laws, rules and regulations referenced above.

The Selling Third Party acknowledges and agrees that the Insurer may review the compliance of the Selling Third Party with this Certification.

The undersigned represents that he/she (i) is a senior manager of the Selling Third Party who, in conjunction with others, has responsibility for overseeing the suitability of annuity sales, (ii) has a reasonable basis on which to make this Certification, and (iii) is authorized to provide this Certification on behalf of the Selling Third Party.

[Selling Third Party]

The individual below provided an electronic signature on the Certificate when it was submitted to the Clearinghouse.

Title: _____

Date: _____