1 Advisor Information

Who is submitting this annuity case?

ADVISOR NAME

FIRM / AFFILIATION

EMAIL

PHONE

PREFERRED CONTACT METHOD
Email

NEEDED BY (DATE)

2 Client / Contract Owner

Owner and annuitant information

OWNER NAME

DATE OF BIRTH

GENDER
Male

STATE OF RESIDENCE

JOINT OWNER / ANNUITANT?
No - single life

JOINT PARTY NAME (IF APPLICABLE)

JOINT PARTY DOB

TAX QUALIFICATION
Non-Qualified

CURRENT INCOME FROM THIS CONTRACT?
No - in accumulation

3 Proposal Type

What are we designing?

NEW MONEY OR REPLACEMENT?
New money - no existing contract

PROPOSAL FUNDING SOURCE
Non-Qualified

REPLACEMENT PRODUCT TYPE
Fixed Indexed Annuity (FIA)

PRIMARY OBJECTIVE
Maximize accumulation

PREFERRED SURRENDER PERIOD
Open / no preference

INCOME START AGE

INCOME RIDER NEEDED?
No

CLIENT MEETING DATE

PREMIUM AMOUNT / DEPOSIT ($)

4 Carrier & Solution Preferences

Specific carriers in mind, exclusions, or comparisons needed?

PREFERRED CARRIERS (IF ANY)

CARRIERS TO EXCLUDE / ALREADY QUOTED ELSEWHERE

COMPETING QUOTE TO BEAT (CARRIER / PRODUCT / RATE OR INCOME / SOURCE)

5 Existing Contract Being Replaced

Complete only if Proposal Type is Replacement or Both

CURRENT CARRIER

PRODUCT NAME

CONTRACT TYPE
Fixed Indexed Annuity (FIA)

ISSUE DATE (APPROX.)

CURRENT ACCOUNT VALUE

CASH SURRENDER VALUE

SURRENDER CHARGE REMAINING

YRS REMAINING

MVA APPLIES?
No

BONUS RECAPTURE?
No bonus

INCOME/GLWB RIDER ATTACHED?
No rider

RIDER BENEFIT BASE / INCOME BASE ($)

RIDER ROLLUP / ROLL-UP RATE

Replacement transactions require NAIC-compliant disclosure forms separately. Do not include Social Security numbers or full account numbers in this form.

6 Reason for Replacement

Compliance-critical: document why the replacement benefits the client (skip if new money)

PRIMARY REASON

N/A - new money, not a replacement

Suitability Factors - check all that apply

- ☐ Surrender charges absorbed by new carrier
- ☐ Existing contract within free-look period
- ☐ Client losing existing rider benefit (acknowledged)
- ☐ Tax consequences disclosed (NQ gain, etc.)
- ☐ New product bonus offsets surrender cost
- ☐ Client has replaced annuity in past 36 months
- ☐ New surrender schedule disclosed to client
- ☐ NAIC replacement disclosure will be completed

DETAILED RATIONALE - WHY IS THIS REPLACEMENT IN THE CLIENT'S BEST INTEREST?

7 Funds Movement Mechanics

How will money move? (skip if new money)

TRANSFER METHOD

N/A - new money deposit

TRANSFER AMOUNT

COST BASIS (NQ ONLY)

NQ GAIN (APPROX.)

ADDITIONAL NEW DEPOSIT (IF ANY)

CLIENT RMD STATUS (IF QUALIFIED)

N/A - not qualified or under RMD age

BENEFICIARY SAME AS EXISTING?

Yes - mirror existing

ADDITIONAL NOTES FOR CASE DESIGN

Submit Your Request

Click "Submit to Case Design" to open your email client with this form attached.
If your reader does not support email submit, click "Save & Email Manually" and attach the saved PDF.

SUBMIT TO CASE DESIGN

SAVE & EMAIL MANUALLY

Manual fallback: save this PDF, then email the saved copy to brad.pond@gdpmail.com (CC sshea@gdpmail.com).

Questions on this replacement? Call Brad Pond directly at (804) 721-9300

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