



Good Order Checklist For New York Life Secure Term Choice Fixed Annuity II

To ensure your client's application is processed quickly and efficiently, please review the application carefully. Use this checklist as a guide to determine if the application is in Good Order before submitting it to New York Life.

If you need assistance, please contact the New York Life Sales Desk at 1-888-474-7725.

- ☐ 1. Is the application completed for the correct state and product based on the owner's state of residence?
- ☐ 2. Has the correct Plan Type been selected? Is the Plan Type valid?
- ☐ 3. Does the premium amount meet the product minimum?
For transfers, has the total expected premium amount been entered?
- ☐ 4. Has the Initial Guarantee Period been selected?
- ☐ 5. Are the owner's and annuitant's name, address, date of birth and social security/ tax identification number complete? (If the owner and annuitant are the same person, only the owner's information needs to be completed.) Is the annuitant a natural person with a verifiable social security number?
Note for Trust or Entity Owned Policies:
The W-9 form must be completed and returned with the application.
- ☐ 6. Do the owner's and annuitant's ages meet the policy requirements?
Non-Qualified: 0-90 **Qualified:** 18-90
- ☐ 7. Is the beneficiary information filled out correctly regarding relationship, percentages (primary and contingent beneficiary designations must each total 100%) and social security/ tax identification number? Did you read the instructions for spousal continuance/ non-spousal joint owners?
- ☐ 8. If an Optional Rider was selected, has the appropriate box been checked?
- ☐ 9. Is a 1035 Exchange form or transfer form required? If so, has it been completed, signed and dated on the designated line(s), and included?
- ☐ 10. Have both replacement questions been answered?
Are replacement forms required by the owner's state of residence? If so, have the applicable forms been completed and included? If a replacement is taking place, are the replacement answers on the application, producer's statement and replacement form (if applicable) consistent? Is the replacement form dated on or prior to the application sign date?
- ☐ 11. Is the application fully completed? Has it been signed by all owners and annuitants? Is it dated? Have any cross-outs been initialed by all owners? If the owner is subject to backup withholding, has the box been checked?
- ☐ 12. Is the representative properly licensed and appointed in the state of issue? Has product training been completed? (Refer to the Licensing and Jurisdiction Rules for details.)
- ☐ 13. Have all of the producer's statement questions been answered and checked off? Is it signed and dated by the agent/representative?

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- ☐ **14.** Is additional paperwork required prior to issuing the policy?
If so, has it been included?
For Military Service Members: GEN-MILIFORM (Only Florida residents are required to return the completed form to New York Life)
For Trust Ownership: Trust paperwork /W9 -OR- Statement of Trust (72U disclosure form if Non-Qualified new money)
For Corporate Ownership: Corporate Resolution or Secretary Certificate
For Custodian or Guardian Ownership: Custodian or Guardian paperwork
For POA: Power of Attorney paperwork