# Member Information for Proposed Business Expansion

### MUTUAL FUND RETAILER/VARIABLE ANNUITIES

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| --- |
| Member Firm: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Contact Person: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Address: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Name of Person  Completing This Form: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

The proposed mutual fund/variable annuity transactions will be processed on a (check all that apply):

Wire Order Basis

Subscription Basis

**Information and Documentation to be Submitted**

1. ***For Transactions on a Subscription Basis***

Attach a description of how customer checks will be handled.

1. ***For Transactions on a Wire Order Basis***
2. Provide sample copies of the books and records necessary to account for such activity including the receipt and delivery of customer funds.
3. Provide evidence that the firm has in place the Special Reserve Account required under SEC Rule 15c3-3 (the Customer Protection Rule).
4. Provide a detailed description of the procedures the firm will follow in order to refund customer funds upon the customer’s surrender of his certificate.