

FEBRUARY 6, 2023



LIFE ESSENTIALS

New contracting forms for third-party Life distribution

Prudential is implementing a new Broker Agreement for individual producers and firms and an updated appointment application form (Confidential Data Sheet – CDS). The revised January 2023 versions of these can be accessed via the PruXpress website. Please click **Place New Business**, then **More New Business Tools**, then **New Business Licensing & Appointments**. The new forms are also available for SuranceBay customers via SureLC.

What's Changed?

1. Broker Agreements—protecting our customers' data from possible breaches and cyber-attacks—is of utmost importance to us. Cybersecurity is crucial, as it safeguards all types of data against theft and loss. The Broker and Brokerage Firm Agreements have been updated to include cybersecurity language
2. The CDS "Type of Contract" section has been enhanced to provide clearer direction
3. The CDS "pledge" of new business question has been expanded to include if the appointment request being submitted is to initiate a service agent change request

What you need to know

Individual Producers

1. A completed Individual CDS Form (NR-000004 Ed. 2-14 ORD 112175 Rev. 01/2023) is required for all individual producer appointment requests, whether contracting directly with Prudential or selling on behalf of a Broker-Dealer or Firm
2. A completed "Background Check Authorizations – Life" document including all three of the following:
 - i. Signed, dated, and printed name on the "Disclosure Statement & Authorization Under the Fair Credit Reporting Act" document
 - ii. Page 10 – Additional Disclosures
 - iii. Signed, dated, and printed name on the last page (page 11)
3. A completed Broker Agreement (BA_01-2023) must be submitted for individual producers not selling on behalf of a firm

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Firms

1. The Firm CDS Form (NR-016976 Ed. 2-14 ORD 114614 Rev. 01/2023) and Brokerage Firm Agreement (BFA-C_1-2023) are required for all new firm appointment requests
2. These forms must be completed and signed by an authorized Officer or Principal of the firm

Be sure to begin using our new forms effective immediately. We will no longer accept old versions of these forms.

If you have questions about our new forms or requirements, please contact the Licensing, Appointment, and Registration Services team.