

Minnesota Financial Planner Disclosure and Acknowledgment



Contact us:

P.O. Box 1555, Des Moines, IA 50306-1555
Customer Contact Center - Tel: 888-266-8489

Athene Annuity and Life Company
7700 Mills Civic Parkway, West Des Moines, IA 50266-3862

Date: _____

INSURANCE AGENT (PRODUCER) INFORMATION ("ME", "I", "MY")

Name:
Business/Agency Name:

CUSTOMER INFORMATION ("YOU" OR "YOUR")

Name:

As required by Minnesota Administrative Rule 2790.0550, you are entitled to the following information regarding the products and financial planning services or financial counseling or advice I offer and my compensation in connection therewith:

1. My compensation may be based on the following (check all that apply):

- a. Commissions generated from the products I sell you
- b. Fees
- c. A combination of (a) and (b)
- d. Other (describe) _____

2. I am authorized to offer or sell products and/or services issued by or through the following firm(s) (identify):

The products will be traded, distributed or placed through the clearing/trading firm(s) of (identify):

3. I am licensed in Minnesota as an (check all that apply):

- a. Insurance agent (producer)
- b. Securities agent or broker/dealer
- c. Real estate broker or salesperson
- d. Investment advisor

4. The license(s) entitle me to offer and sell the following products and/or services:

- a. Securities, specifically the following _____
- b. Real property
- c. Insurance
- d. Other (list) _____



Minnesota Financial Planner Disclosure and Acknowledgment



Do Not Sign Unless You Have Read and Understand the Information in this Form

By signing below, You acknowledge that You have read and understand the information provided to You in this document.

Signature of Client X	Date (mm/dd/yyyy) / /
Signature of Producer X	Date (mm/dd/yyyy) / /

Producer Instructions:

Pursuant to Minnesota Administrative Rule (MAR) 2790.0550, an agent or insurer who, on advertisements, cards, signs, circulars, letterheads, or in any other manner, indicates that he or she is a "financial planner," "financial counselor," "financial adviser," "investment counselor," "estate planner," "investment adviser," "financial consultant," or any other similar designation or title or combination thereof, is considered to be representing himself or herself to be engaged in the business of financial planning.

No agent or insurer may represent on advertisements, cards, signs, circulars, letterheads, or in any other manner, that he or she is engaged in the business of financial planning unless he or she provides a disclosure document to the client in compliance with MAR 2790.0550.

This form is intended to provide an example of how to communicate the required disclosure of MAR 2790.0550. Producers may adapt this disclosure to fit their particular business model provided the required language of MAR 2790.0550 is used. The disclosure document must be signed by the client and producer, and a copy must be left with the client. A copy of this disclosure shall be kept in my personal files for each client. This form must be maintained and producible for at least six (6) years.

