



Reporting Regulatory Actions

As part of your responsibilities as an appointed agent of American Equity Life Insurance Company (AELIC), you are requested to notify AELIC if you become the subject of certain regulatory actions. These actions include, but are not limited to:

- FINRA registration revoked or suspended
- FINRA customer complaint that resulted in fine or censure
- FINRA regulatory action
- State securities registration revoked or suspended
- State insurance department license revoked or suspended
- State securities or insurance department customer complaint that resulted in fine or censure
- State regulatory action

If you become the subject of any of these types of actions, please report it to AELIC within 30 days of the action's initiation and again with 30 days of its final disposition. Please send information to: AmericanEquityResolution@american-equity.com.