

Producer Background Questionnaire and Data Sheet



Business Through Broker/Dealer, Broker/Dealer Affiliated Agency, or Bank Agency

For Insurance License Appointment with Jackson National Life Insurance Company®, Brooke Life Insurance Company®, and Jackson National Life Distributors, Inc., Member FINRA (all companies collectively referred to as Jackson®).

Please type or print all requested information, and answer all questions, sign and date this form on page 4.

Note: Jackson reviews all FINRA Disciplinary Actions and may perform a criminal background investigation. Incorrect or incomplete responses may jeopardize your ability to become appointed with Jackson.

Broker/Dealer Information

Broker/Dealer Name

Oakwood Capital Securities, Inc

Agency Name

Broker/Dealer TIN

41-1589846

Agency TIN

Personal Information

First Name

Middle Name

Last Name

Suffix

Social Security Number

Date of Birth (mm/dd/yyyy)

Your FINRA CRD No.

Your ID No. issued by your Broker/Dealer

Producer's Mailing Address (for Policies and Policy Confirmation Statements)

Attention/In Care of

(Street or P.O. Box)

City

State

ZIP Code

Country

Business Telephone (include area code)

Fax (include area code)

E-Mail Address

Producer Information

Non-Bank/Bank Sales: For relationship management and distribution channel purposes, please tell us how you market the majority (greater than 50%) of your insurance products (✓ those that apply):

☐ In a bank/credit union lobby ☐ Through non-bank relationships

Do you receive a 1099 from your Broker Dealer? ☐ Yes ☐ No

Lines of business you wish to sell (check those that apply): ☐ Fixed Annuity ☐ Fixed Index Annuity ☐ Variable Annuity

What FINRA Licenses do you hold? ☐ 6 ☐ 7 ☐ 24 ☐ 26 ☐ 63 ☐ 65 ☐ 66

What Professional Designations do you hold? (check those that apply): ☐ CFP ☐ CFA ☐ ChFC ☐ CIC ☐ PFS

Are you a Registered Principal, Officer or Branch Manager or non-producing employee of the above named Broker/Dealer? ☐ Yes ☐ No

Contacts: In the event additional items are needed in order to complete the appointment, Jackson should contact the:

☐ Producer ☐ Broker/Dealer or Affiliated Agency

Signature is required on page 4.



Producer's Current Residence (no P.O. Box)

Number & Street

City

State

ZIP Code

How long at the above address? (If less than seven years, provide seven-year address history below or attach a separate sheet.)

(mm/dd/yyyy)

(mm/dd/yyyy)

Years

Months

From

To

Producer's Previous Residence (no P.O. Box)

Number & Street

City

State

ZIP Code

How long at the above address?

(mm/dd/yyyy)

(mm/dd/yyyy)

Years

Months

From

To

Producer's Previous Residence (no P.O. Box)

Number & Street

City

State

ZIP Code

How long at the above address?

(mm/dd/yyyy)

(mm/dd/yyyy)

Years

Months

From

To

Employment History

Name

From: (mm/dd/yyyy)

To: (mm/dd/yyyy)

Current Employer:

Name

From: (mm/dd/yyyy)

To: (mm/dd/yyyy)

Previous Employer:

- 1) Have you ever been the subject of any complaint (including a customer complaint) or proceeding by any insurance, securities, or commodities regulatory body or organization? ☐ No ☐ Yes
- 2) Have you ever been suspended, expelled, terminated, fined, barred, censured, or otherwise disciplined or found to have violated any insurance, securities or commodities law or rule by any insurance, securities or commodities regulatory body or organization or an employer in the insurance, securities or commodities industry? ☐ No ☐ Yes
- 3) Have you ever been refused a license to sell insurance or been refused membership in any securities or commodities regulatory body or organization or had a license suspended or revoked by any State Insurance Department or by any securities or commodities regulatory body or organization? ☐ No ☐ Yes
- 4) Have you ever been convicted of, or pleaded guilty or nolo contendere to, any felony or misdemeanor? ☐ No ☐ Yes
- 5) Have you ever had your employment arrangement terminated, or have you been "permitted to resign" from any insurance company or other financial services employer? ☐ No ☐ Yes
- 6) Have you ever been involved in a bankruptcy (personal or otherwise), had a salary garnisheed or had liens or judgments against you? ☐ No ☐ Yes
- 7) Are there any lawsuits, judgments or liens pending against you? ☐ No ☐ Yes

For any "Yes" answers above, you must provide details in the space below, referencing the question number. Attach additional sheets if necessary.

Question No.	Details	Are additional sheets attached?
		☐ No ☐ Yes

**Signature is required on page 4.**

Producer Data Sheet

Business Through Broker/Dealer, Broker/Dealer Affiliated Agency, or Financial Institution

Please check which companies you are applying for: ☐ Jackson ☐ Brooke (Michigan Financial Institution business only)
In what states would you like to be appointed?

☐ Alabama	☐ Illinois	☐ Montana	☐ S. Carolina
☐ Alaska	☐ Indiana	☐ Nebraska	☐ S. Dakota
☐ Arizona	☐ Iowa	☐ Nevada	☐ Tennessee
☐ Arkansas	☐ Kansas	☐ New Hampshire	☐ Texas
☐ California	☐ Kentucky	☐ New Jersey	☐ Utah
☐ Colorado	☐ Louisiana	☐ New Mexico	☐ Vermont
☐ Connecticut	☐ Maine	☐ N. Carolina	☐ Virginia
☐ Delaware	☐ Maryland	☐ N. Dakota	☐ Washington
☐ DC	☐ Massachusetts	☐ Ohio	☐ W. Virginia
☐ Florida	☐ Michigan	☐ Oklahoma	☐ Wisconsin
☐ Georgia	☐ Minnesota	☐ Oregon	☐ Wyoming
☐ Hawaii	☐ Mississippi	☐ Pennsylvania	
☐ Idaho	☐ Missouri	☐ Rhode Island	

Please note that your Broker/Dealer or its affiliated agency must also be properly licensed and appointed with Jackson in these states. Please check with your Broker/Dealer or its affiliated agency if you have questions. **You must provide the required training certification. Please check with your state for any training certification requirements.**

Florida - If you are applying for a non-resident Florida appointment and will be physically soliciting in Florida, select the counties in which you will be soliciting.

☐ Alachua	☐ Charlotte	☐ Dixie	☐ Glades	☐ Hillsborough	☐ Lee	☐ Martin	☐ Palm Beach	☐ Seminole	☐ Volusia
☐ Baker	☐ Citrus	☐ Duval	☐ Gulf	☐ Holmes	☐ Leon	☐ Monroe	☐ Pasco	☐ St. Johns	☐ Wakulla
☐ Bay	☐ Clay	☐ Escambia	☐ Hamilton	☐ Indian River	☐ Levy	☐ Nassau	☐ Pinellas	☐ St. Lucie	☐ Walton
☐ Bradford	☐ Collier	☐ Flager	☐ Hardee	☐ Jackson	☐ Liberty	☐ Okaloosa	☐ Polk	☐ Sumter	☐ Washington
☐ Brevard	☐ Columbia	☐ Franklin	☐ Hendry	☐ Jefferson	☐ Madison	☐ Okeechobee	☐ Putnam	☐ Suwanee	
☐ Broward	☐ Dade	☐ Gadsden	☐ Hernando	☐ Lafayette	☐ Manatee	☐ Orange	☐ Santa Rosa	☐ Taylor	
☐ Calhoun	☐ De Soto	☐ Gilchrist	☐ Highlands	☐ Lake	☐ Marion	☐ Osceola	☐ Sarasota	☐ Union	

Signature is required on page 4.



Disclosure and Consent

We thank you for showing interest in Jackson and assure you that your application will be processed as quickly as possible. By signing below, you acknowledge and agree that Jackson may order "consumer reports" or "investigative consumer reports" in making a routine investigation to provide information concerning your licensing, character, general reputation, personal characteristics, mode of living and financial condition. The investigation may also include information compiled by the Financial Industry Regulatory Authority, Inc. Central Registration Depository. You herewith authorize Jackson to provide the information it obtains about you in any consumer report to its affiliated companies and/or third parties, where it or affiliates' legal interests or obligations are involved and agree to hold Jackson and its affiliates harmless from liability for any and all consequences of releasing such information. This authorization is effective with regard to your application for appointment with Jackson and continues throughout any period of appointment. Upon written request addressed to Broker/Dealer Services, Jackson National Life Insurance Company, P.O. Box 26247, Lansing, MI 48909-6247, additional information as to the precise nature and scope of the investigation, if one is made, will be provided. This notification is in accordance with the Fair Credit Reporting Act (Public Law 91-508).

Producer agrees to immediately notify Jackson of the occurrence of any of the following events:

- a) The producer is convicted of, or pleads guilty or nolo contendere to, any felony;
- b) The producer is convicted of, or pleads guilty or nolo contendere to, any misdemeanor or other legal action, whether civil or criminal, involving a breach of trust including, but not limited to: forgery, fraud, false statements or omissions, perjury, misappropriation, embezzlement, larceny or burglary;
- c) The producer ceases to possess the requisite qualifications or licenses to conduct the activities contemplated herein;
- d) The producer changes his/her address of record as previously provided and on file with the Company.

By signing below, you acknowledge that you have read and understand the preceding information and certify, under penalty of perjury, that the information provided above and on any attached sheets is true, correct and complete.

Signature

Date Signed (mm/dd/yyyy)

Printed Name (First)

(Middle)

(Last)

Suffix

	Broker Management
Regular Mail	PO Box 26247, Lansing, MI 48909-6247
Overnight Mail	1 Corporate Way, Lansing, MI 48951
Customer Care	800-565-0547, ext. 26299, 8:00 a.m. to 7:00 p.m. ET (M-F)
Fax	866-908-2878
Email	contactus@jackson.com



A Summary of Your Rights Under the Fair Credit Reporting Act



Home Office: Lansing, Michigan
www.jackson.com

Para informacion en espanol, visite www.consumerfinance.gov/learnmore o escribe a la Consumer Financial Protection Bureau, 1700 G Street N.W., Washington, D.C. 20552

The federal Fair Credit Reporting Act (FCRA) promotes the accuracy, fairness, and privacy of information in the files of consumer reporting agencies. There are many types of consumer reporting agencies, including credit bureaus and specialty agencies (such as agencies that sell information about check writing histories, medical records, and rental history records). Here is a summary of your major rights under the FCRA. For more information, including information about additional rights, go to www.consumerfinance.gov/learnmore or write to Consumer Financial Protection Bureau, 1700 G Street N.W., Washington, D.C. 20552.

- **You must be told if information in your file has been used against you.** Anyone who uses a credit report or another type of consumer report to deny your application for credit, insurance, or employment - or to take another adverse action against you - must tell you, and must give you the name, address, and a phone number of the agency that provided the information.
- **You have the right to know what is in your file.** You may request and obtain all the information about you in the files of a consumer reporting agency (your "file disclosure"). You will be required to provide proper identification, which may include your Social Security number. In many cases, the disclosure will be free. You are entitled to a free file disclosure if:
 - a person has taken adverse action against you because of information in your credit report;
 - you are the victim of identity theft and place a fraud alert in your file;
 - your file contains inaccurate information as a result of fraud;
 - you are on public assistance;
 - you are unemployed but expect to apply for employment within 60 days.
- **In addition, all consumers are entitled to one free disclosure every 12 months upon request from each nationwide credit bureau and from nationwide specialty consumer reporting agencies.** See www.consumerfinance.gov/learnmore for additional information.
- **You have the right to ask for a credit score.** Credit scores are numerical summaries of your credit-worthiness based on information from credit bureaus. You may request a credit score from consumer reporting agencies that create scores or distribute scores used in residential real property loans, but you will have to pay for it. In some mortgage transactions, you will receive credit score information for free from the mortgage lender.
- **You have the right to dispute incomplete or inaccurate information.** If you identify information in your file that is incomplete or inaccurate, and report it to the consumer reporting agency, the agency must investigate unless your dispute is frivolous. See www.consumerfinance.gov/learnmore for an explanation of dispute procedures.
- **Consumer reporting agencies must correct or delete inaccurate, incomplete, or unverifiable information.** Inaccurate, incomplete or unverifiable information must be removed or corrected, usually within 30 days. However, a consumer reporting agency may continue to report information it has verified as accurate.
- **Consumer reporting agencies may not report outdated negative information.** In most cases, a consumer reporting agency may not report negative information that is more than seven years old, or bankruptcies that are more than 10 years old.
- **Access to your file is limited.** A consumer reporting agency may provide information about you only to people with a valid need - usually to consider an application with a creditor, insurer, employer, landlord, or other business. The FCRA specifies those with a valid need for access.
- **You must give your consent for reports to be provided to employers.** A consumer reporting agency may not give out information about you to your employer, or a potential employer, without your written consent given to the employer. Written consent generally is not required in the trucking industry. For more information, go to www.consumerfinance.gov/learnmore.
- **You may limit "prescreened" offers of credit and insurance you get based on information in your credit report.** Unsolicited "prescreened" offers for credit and insurance must include a toll-free phone number you can call if you choose to remove your name and address from the lists these offers are based on. You may opt-out with the nationwide credit bureaus at 1-888-5-OPTOUT (1-888-567-8688).
- **You may seek damages from violators.** If a consumer reporting agency, or, in some cases, a user of consumer reports or a furnisher of information to a consumer reporting agency violates the FCRA, you may be able to sue in state or federal court.
- **Identity theft victims and active duty military personnel have additional rights.** For more information, visit www.consumerfinance.gov/learnmore.



States may enforce the FCRA, and many states have their own consumer reporting laws. In some cases, you may have more rights under state law. For more information, contact your state or local consumer protection agency or your state Attorney General. For information about your federal rights, contact:

TYPE OF BUSINESS:	CONTACT:
1.a. Banks, savings associations, and credit unions with total assets of over \$10 billion and their affiliates. b. Such affiliates that are not banks, savings associations, or credit unions also should list, in addition to the CFPB:	a. Consumer Financial Protection Bureau 1700 G Street, NW Washington, DC 20552 b. Federal Trade Commission: Consumer Response Center – FCRA Washington, DC 20580 (877) 382-4357
2. To the extent not included in item 1 above: a. National banks, federal savings associations, and federal branches and federal agencies of foreign banks b. State member banks, branches and agencies of foreign banks (other than federal branches, federal agencies, and Insured State Branches of Foreign Banks), commercial lending companies owned or controlled by foreign banks, and organizations operating under section 25 or 25A of the Federal Reserve Act c. Nonmember Insured Banks, Insured State Branches of Foreign Banks, and insured state savings associations d. Federal Credit Unions	a. Office of the Comptroller of the Currency Customer Assistance Group 1301 McKinney Street, Suite 3450 Houston, TX 77010-9050 b. Federal Reserve Consumer Help Center P.O. Box 1200 Minneapolis, MN 55480 c. FDIC Consumer Response Center 1100 Walnut Street, Box #11 Kansas City, MO 64106 d. National Credit Union Administration Office of Consumer Protection (OCP) Division of Consumer Compliance and Outreach (DCCO) 1775 Duke Street Alexandria, VA 22314
3. Air carriers	Asst. General Counsel for Aviation Enforcement & Proceedings Aviation Consumer Protection Division Department of Transportation 1200 New Jersey Avenue, S.E. Washington, DC 20423
4. Creditors Subject to the Surface Transportation Board	Office of Proceedings, Surface Transportation Board Department of Transportation 395 E Street, S.W. Washington, DC 20423
5. Creditors Subject to the Packers and Stockyards Act, 1921	Nearest Packers and Stockyards Administration area supervisor
6. Small Business Investment Companies	Associate Deputy Administrator for Capital Access United States Small Business Administration 409 Third Street, SW, 8th Floor Washington, DC 20549
7. Brokers and Dealers	Securities and Exchange Commission 100 F Street, NE Washington, DC 20549
8. Federal Land Banks, Federal Land Bank Associations, Federal Intermediate Credit Banks, and Production Credit Associations	Farm Credit Administration 1501 Farm Credit Drive McLean, VA 22102-5090
9. Retailers, Finance Companies, and All Other Creditors Not Listed Above	FTC Regional Office for region in which the creditor operates <u>or</u> Federal Trade Commission: Consumer Response Center – FCRA Washington, DC 20580 (877) 382-4357

