

1035 Exchange & Qualified Policy Transfer/Rollover Yellow Pages Tool

REFERENCE SHEET

1035 Exchange & Qualified Policy Transfer/Rollover Tool

The **1035 Exchange & Qualified Policy Transfer/Rollover Yellow Pages tool** is available in the fixed variable annuity order entry (FAOE) platform & variable annuity order entry (VAOE) platform for the following source of fund options:

- Non-Qualified Annuity Contracts: **1035 Exchange**

Identify how the annuity will be funded.
Highlighted inputs indicate required fields.

Total Order Funding: \$0.00

Add Check

Add 1035 Exchange (Funds are coming from an existing insurance contract that is being surrendered and replaced by another.)

Add Non-Qualified Funds Transfer

<< Back Cancel Save Next >>

- Qualified Annuity Contracts: **Qualified Policy Transfer/Rollover**

Identify how the annuity will be funded.
Highlighted inputs indicate required fields.

Total Order Funding: \$0.00

Add Check

Add Qualified Policy Transfer/Rollover (Funds are coming from an insurance product such as a Life policy or an Annuity contract.)

Add Qualified Funds Transfer/Rollover (Funds are coming from a CD, Mutual Funds or an Investment Account. Note: When transferring from a mutual fund based 401K, the Investment Type should indicate Mutual Funds and not Investment Account.)

<< Back Cancel Save Next >>

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Yellow Pages Tool

Prior/Updated Views

When selecting one of the available funding options (e.g., below screenshots show the 1035 Exchange option), a new tabular view displays for data entry. The new tabs display as follows:

- Surrendering Policy Info
- Surrendering Company Info
- Suitability
- Additional Carrier Questions

Prior View:

Add 1035 Exchange (Funds are coming from an existing insurance contract that is being surrendered and replaced by another.)

Surrendering Policy Information

Estimated Surrender Amount: \$0.00 *
Transfer After Date: (Immediately if blank)
Surrendering Company Name: *
Address(Line 1):
City:
Zip Code:
Phone Type:
Product Type: *
Estimated Policy Value: *
Policy Issued Date:
Liquidation Type: -- SELECT -- *
Exchange Type: *
Surrendering Product Name:
Address(Line 2):
State:
Phone Number: Ext:
Surrendering Policy Number: *
Policy Status:

Updated View:

Add 1035 Exchange

1035 Exchange Policy:

Next >>

Surrendering Policy Info | Surrendering Company Info | Suitability | Additional Carrier Questions

Description:
Surrendering Company Name:
Product Name:
Product Type:
Policy Number:
Policy Issued Date:
Estimated Policy Value:
Estimated Surrender Amount: \$0.00
Liquidation Type:
Transfer after date (immediately if blank):
Exchange Type: Unknown
Policy Status:

NOTE: The **Suitability** and **Additional Carrier Questions** tabs are not currently utilized. These tabs will become available in 2022 with additional enhanced functionalities.

Surrendering Policy Info Tab

The **Surrendering Policy Info** tab displays similar to the previous Surrendering Policy Information screen for **1035 Exchange** and **Qualified Policy Transfer/Rollover** funding options, with the following exceptions:

- required fields are now indicated by yellow highlighting versus the red Asterisk (*) for easier identification, which is consistent across all pages within the annuity order entry (AOE) tool for this enhancement, and
- address information was moved to the **Surrendering Company Info** tab (covered below).

Yellow Pages Tool

Please note that a **Next** button now exists within the **1035 Exchange Policy** and **Qualified Policy Transfer** sections. This button advances the user to the next tab within the source of funds section once the required fields are completed. Additionally, the user can select the **Surrendering Company Info** tab directly to proceed.

Note: The **Next** buttons that display at the top and bottom of the AOE screen navigates the user through the platform screens and **not** the source of funds tabs. Only the **Next** button circled within the screenshot below will advance the user to the next source of funds tab.

1035 Exchange Policy:

Next >>

Surrendering Policy Info | Surrendering Company Info | Suitability | Additional Carrier Questions

Description:

Surrendering Company Name:

Product Name:

Policy Number:

Policy Issued Date:

Estimated Policy Value:

Estimated Surrender Amount:

Liquidation Type:

Transfer after date (immediately if blank):

Exchange Type:

Policy Status:

Surrendering Company Info Tab

The **Surrendering Company Info** tab is where the address information for the surrendering company is completed and where the user can find the **1035 Yellow Pages** tool. Notice that the **surrendering company name** and **policy number** entered on the **Surrendering Policy Info** tab prepopulates as shown in the below screenshot. These fields work in synch so updating this field in either location will update on both tabs.

1035 Exchange Policy: 123456

<< Previous | **Next >>**

Surrendering Policy Info | **Surrendering Company Info** | Suitability | Additional Carrier Questions

Surrendering Company Address:

Processing Location:

Line 1:

Line 2:

City:

State:

Zip Code:

Phone Type:

Phone Number: Ext

Please select the carrier's processing location. If no locations appear, please validate your search criteria and search again or manually enter the carrier processing location.

Surrendering Company Name:

Address Search | **Remove**

Surrendering Company Info Tab – Yellow Pages Tool

To begin using the Yellow Pages tool:

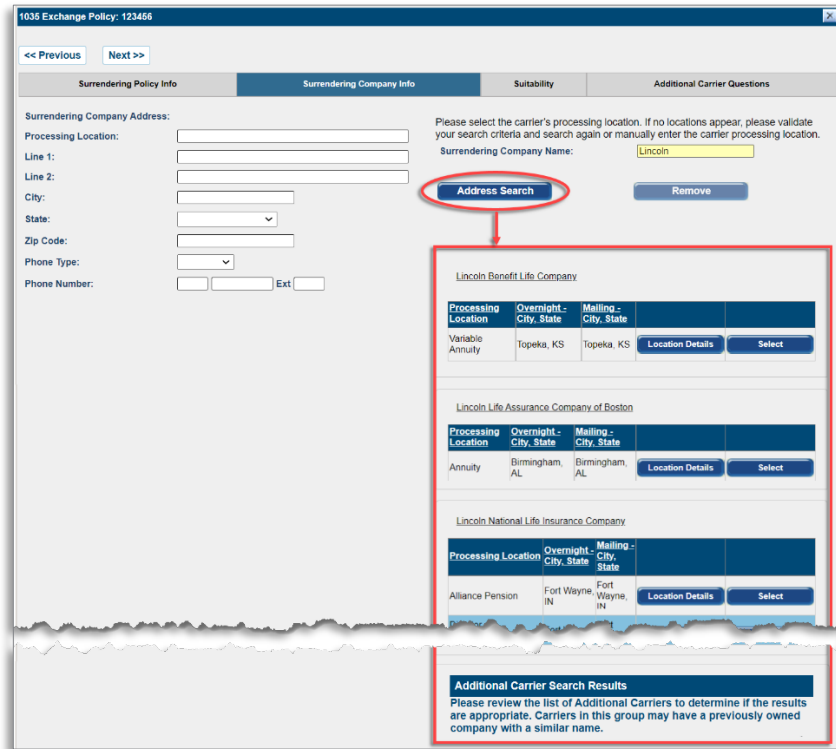
1. Select **Address Search**. The screenshot below shows search results for 'Lincoln.'

Tip: Please note that the **Surrendering Company Name** field is text sensitive so partial and incomplete search terms will return results but invalid

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Yellow Pages Tool

character strings due to misspellings may not return any values. The search results will show information such as the company name, geographic location, and products processed at the specific location.



- From the search results, select **Location Details** to view additional information and confirm specific details about the carrier.

Tip: Ensure the popup blocker is turned off; otherwise, location details may not display. Location details are updated regularly by the vendor and may not appear exactly as shown in the example screenshot below.

Lincoln National Life Insurance Company
Fixed and Indexed Annuities
Accepts E-Signature

Location Facts		Location Details	
Phone Number	(888) 916-4900	Department	Customer Service
Notes		Processing Details	Location Processes Both Standard and NY Reg 60 Replacements
-- General Notes -- This location processes: All Fixed and Indexed Annuities including 401(k), 401(k), IRA, Roth, SEP, 1035 and NY Reg 60 policies.		Time Zone	Eastern
-- Policy Rules -- Policies processed at this location begin with 3, 6, 7, 86, 87, 90, 964, EN, EQ, FN, FQ, JN, JP, LN, N, QL, or QP and are 9 characters total.		Business Start Time	08:00 AM
-- Fax Details -- (260) 455-0263: ALT Fax Number		Business End Time	6:00 PM
-- Partial Withdrawals -- Partial withdrawals accepted: Yes		Expected Turnaround Days	7
-- eSignature -- eSignatures accepted only on ACORD 951 eForm and accompanying replacement forms. All Types of eSignatures accepted.		State Days	90
-- Email Notes -- Replacement paperwork accepted as emailed PDF attachment. Email replacement paperwork to: annuityforms@llg.com		Contact Information	
-- Attachments -- PDF attachments accepted via Email.		Mailing Address	PO Box 2348
-- Officer's Stamped Signature -- Officer's Stamped Signature Accepted: Yes		Street Address	Fort Wayne, Indiana 46801-2348 Attn: Individual Annuities 1301 S Harrison St Fort Wayne, Indiana 46802-3425
-- Disbursements -- DTCC Money Settlement Participant		Phone Number	(888) 916-4900
Overnight: If requesting overnight disbursement of funds, only FedEx account numbers will be accepted. Any non-FedEx requests will be sent via USPS.		Requirements	
-- State Date -- Paperwork not received "In Good Order" within 90 calendar days of being signed is State Dated.		Replacement Form	
		eSignatures accepted only on the ACORD 951 eForm. This form can be faxed or emailed as a PDF attachment. Officer's stamped signature is accepted.	
		Replacement Letter (LCA)	
		eSignatures accepted only on the ACORD 951 eForm and on replacement forms sent in with the eSigned ACORD 951 eForm. This form can be faxed or emailed as a PDF attachment. Officer's stamped signature is accepted.	

Yellow Pages Tool

- After locating the appropriate surrendering company, click **Select** to automatically populate the address information then select **Next**.

1035 Exchange Policy: 123456

<< Previous **Next >>**

2

Surrendering Policy Info | **Surrendering Company Info** | Suitability | Additional Carrier Questions

Surrendering Company Address:

Processing Location: Variable Annuity

Line 1: Attn VA Service Center MZ 565

Line 2: 5801 SW 6th Ave

City: Topeka

State: Kansas

Zip Code: 66636-1001

Phone Type: Business

Phone Number: 800 | 457-7617 | Ext

Please select the carrier's processing location. If no locations appear, please validate your search criteria and search again or manually enter the carrier processing location.

Surrendering Company Name: Lincoln Benefit Life Company

Address Search Remove

Lincoln Benefit Life Company

Processing Location	Overnight - City, State	Mailing - City, State	
Variable Annuity	Topeka, KS	Topeka, KS	1 Location Details Select

Tip: After selecting the surrendering company address, the fields are no longer editable. Select **Remove** to delete the information if the incorrect address was entered.

- At this point, assuming all required fields were completed, the user can proceed with the order. To enter another source of funds, follow the standard procedures to do so. If the source of funds is one of the available funding options for the Yellow Pages tool, the user can follow the above steps to complete the details as each unique source of funds eligible can use this too.

Add 1035 Exchange

1035 Exchange Policy:

Next >>

Surrendering Policy Info | Surrendering Company Info | Suitability | Additional Carrier Questions

Description:

Surrendering Company Name:

Product Name:

Product Type:

Policy Number:

Policy Issued Date:

Estimated Policy Value:

Estimated Surrender Amount: \$0.00

Liquidation Type:

Transfer after date (immediately if blank):

Exchange Type: Unknown

Policy Status:

Surrendering Company Address:

Processing Location: Variable Annuity

Line 1: Attn VA Service Center MZ 565

Line 2: 5801 SW 6th Ave

City: Topeka

State: Kansas

Zip Code: 66636-1001

Phone Type: Business

Phone Number: 800 | 457-7617 | Ext

Please select the carrier's processing location. If no locations appear, please validate your search criteria and search again or manually enter the carrier processing location.

Surrendering Company Name: Lincoln Benefit Life Company

Address Search Remove

Lincoln Benefit Life Company

Processing Location	Overnight - City, State	Mailing - City, State	
Variable Annuity	Topeka, KS	Topeka, KS	1 Location Details Select