



Field
Update



October 16, 2009

Solicitation guidelines revised for Georgia producers

Aviva recently announced [new solicitation guidelines](#). In those guidelines, we indicated several states that require full appointment prior to solicitation.

This bulletin is to inform producers doing business in the state of Georgia that recent changes in that state's regulations now allow agents to solicit prior to appointment.

Here is a current list of the prohibited pre-appointment solicitation states:

Alabama
Indiana

Kansas
Kentucky

Minnesota
Oregon

Pennsylvania
Utah

If you have any questions, please contact Agency Services.



Field
Update



June 8, 2009
Number: 0168
Contact: Agency Services

New solicitation guidelines effective July 1 Aviva Life and Annuity Company agents

Aviva Life and Annuity Company recently completed an audit of its compliance and regulatory measures in place for agent solicitation. **Changes to the current process will be implemented July 1, 2009.**

Several states require agents to be fully appointed before they can solicit business. In these states, all agent contracting requirements must be completed and the agent's appointment completed prior to soliciting business for us. As a result of our audit, there are a few more states we've added to our prohibited solicitation states.

The complete list of states includes:

Alabama	Kansas	Oregon
Florida	Kentucky	Pennsylvania
Georgia	Minnesota	Utah
Indiana	North Carolina	

In the remaining states where solicitation can occur prior to appointment, Aviva will allow new agents to send their completed contract paperwork simultaneously with a new business application. However, if the agent's contract application is turned down for any reason, we will return the new business application. As a reminder, below is a list of all required agent contracting paperwork:

- Contracting Application (form #61010)
- Consumer Authorization Report (form #16254)
- Assignment of Commissions (if applicable) (form #15836; other requirements are needed if assigned such as corporation officers, letters of incorporation, etc.)
- EFT Form (form #14216)
- W-9 Form
- Designation of Beneficiaries for Commissions (form #14226)
- Independent Producer Contract (form #16142)
- Anti-Money Laundering Training Information Form (if applicable) (form #16050)
- Proof of E&O Insurance

In addition, Aviva USA requires completion of additional training prior to solicitation of an application:

- Iowa requires index life and annuity training
- California requires index annuity training
- Aviva requires special internal training for Minnesota

All newly contracted agents are required to complete Anti Money Laundering training prior to solicitation of new applications. These new solicitation guidelines will be implemented July 1, 2009. If you have any questions, please contact Agency Services.