



CONTRACTING DOCUMENT

Please complete the attached document with all requested information. Also, write the information clearly so that we may read it.

Once complete please return to:
agency@tbc-mail.com

The Benefit Coordinators
v (918) 245-1400
f (206) 203-4580

PRODUCER AGREEMENT

This PRODUCER AGREEMENT ("Agreement" is between DILLARD FINANCIAL SOLUTIONS, INC. ("DFS"), a South Carolina corporation, and the undersigned individual (the "Producer"), and is effective this ____ day of _____, 20____ (the "Effective Date").

RECITALS

DFS is a national insurance marketing organization that sponsors and supports independent insurance agents who solicit and procure applications for certain annuity and insurance products sold by Carriers (collectively, "Products"), DFS receives certain compensation from the solicitation and procurement of applications for the purchase of the Products from the Carriers providing the Products ("Carriers").

In connection with its business, DFS has developed, and may in the future develop, certain trade names, trademarks, service marks or logos for use on its published documents whether such trademarks are in the name of Dillard Financial Solutions, Inc. (DFS).

DFS has expended considerable time, capital, and effort developing certain promotional, marketing, and training materials and other materials which are either contained on the DFS primary site at www.dillardfsinc.com, the "Website", or which DFS otherwise makes available to the Producer, from time to time, in its sole discretion (collectively, "DFS Materials"). DFS, in its sole discretion, may revise, add to, or remove items from the DFS Materials without notice.

AGREEMENT

In consideration of the mutual promises contained in this Agreement and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, the parties agree as follows:

1. Carrier Relationship

- A. DFS shall use commercially reasonable efforts to sponsor Producer with respect to enabling Producer to enter into separate and distinct agreements with one or more Carriers (each such agreement a "Carrier Agreement" and all such agreements the "Carrier Agreements"). Producer shall credit DFS to the applicable Carrier as its sponsor under the Carrier Agreements. Nothing contained in this Agreement shall create or be construed to create any guaranty by DFS of any Carrier entering into a Carrier Agreement with Producer or continuing such relationship.

- B. DFS shall release Producer with respect to a given Carrier Agreement upon the request of Producer provided that no such release will be effective until such time as:
- i. There are no applications for Products that have been submitted by Producer through DFS to the applicable Carrier for which a policy has not been issued; and
 - ii. There are no outstanding Repayment Obligations or Liabilities (each as defined in Section 10) with respect to such Carrier.

2. Term; Termination; Effect of Termination; Release:

- A. Unless earlier terminated as set forth below, the initial term of this Agreement shall begin on the Effective Date and end on the date 12 months following the Effective Date (the "Initial Term"). This Agreement shall automatically renew for successive periods of twelve (12) months each (each such period a "Renewal Term" and, together with the Initial Term the "Term") unless either party gives the other written notice of its intent not to renew at least 90 days prior to the expiration of the then current Term.
- B. This Agreement may be terminated as follows:
- i. Producer may terminate this Agreement for any or no reason by providing DFS with 60 days prior written notice, which termination shall be effective on the later of
 - a. The end of such 60-day period or
 - b. The date on which Producer has been released with respect to all Carrier Agreements pursuant to Section 1.B.
 - ii. DFS may terminate this Agreement for any or no reason by providing Producer with a 1-day prior written notice, which termination will be effective at the end of such 1-day period.
 - iii. DFS may terminate this Agreement immediately on notice to Producer if any License (as defined below) held or required to be held by Producer is revoked, terminated or suspended by any administrative or regulatory body or is otherwise not held by Producer.
 - iv. This Agreement may be terminated by either party without notice or other action in the event the other party makes a general assignment for the benefit of creditors, files a voluntary petition in bankruptcy or for reorganization or arrangement under the bankruptcy laws, if a petition in bankruptcy is filed against the other party and is not dismissed within 60 days following its filing, or if a receiver or trustee is appointed for all or any part of the property or assets of the other party.

C. Upon termination of this Agreement by either party for any reason:

- i. Producer shall:
 - a. Immediately discontinue all use, in any form, of the DFS Intellectual Property Rights, the DFS Trademarks, the Confidential Information (as defined below) and the DFS Materials, as well as all advertising or promotional materials which incorporate, or are derived from, the DFS Intellectual Property or the DFS Materials; and
 - b. Within three (3) business days following the date of termination, return to DFS all copies of the DFS Materials and the Confidential Information in any form whatsoever-including, but not limited to, leads, prospects, any reports, compilations, analyses, memoranda or other materials which refer or relate to, or are derived from, the Confidential Information-in its possession, custody or control along with a written certification that Producer has complied with the foregoing obligation; and
- ii. DFS shall notify the Carriers that it has released Producer and that DFS shall no longer receive compensation as a result of applications procured by Producer following the termination date. In addition, DFS may disable the Log-in Information and Producer's access to the Website and the DFS Materials immediately upon termination.

D. Producer's obligations under this Agreement shall continue following termination thereof with respect to Products sold prior to such termination, always to look out for the best interest of your client, and DFS hereby reserves all its rights regarding any claims against Producer with respect to such claims. Producer agrees not to slander or bad-mouth DFS or its independent contractors in any way.

E. Sections 2.C., 4.B., 4.C., 5, 9, 10, 11, 14 and 15 of this Agreement shall survive termination of this Agreement.

F. In the event that DFS ceases to exist, the business is sold, or the principals of the business retire, DFS will be willing to release said agent to go to another agency or contract free willing.

3. DFS Obligations, During the Term, DFS shall:

- A. Allow the Producer use of the "Limited Access" portions of the Website-devoted exclusively to producers-and which grants access to certain DFS Materials via log-in ("Log-in Information").
- B. Subject to certain qualifications, DFS may, from time to time, in its sole discretion, grant the Producer access to certain events or seminar materials prepared by, or on

behalf of, DFS, which access is subject to additional agreements with DFS and may have additional charges.

- C. Provide support to enhance Producer's understanding of, and ability to explain, the Products.
- D. Provide support in connection with sales issues.
- E. Provide customer service and other general assistance; and
- F. Provide access to certain other benefits, including, but not limited to, prizes or awards, all of which shall be subject to such qualifications as DFS may establish, from time to time, in its sole discretion. **NOTE:** To be eligible for the above benefits, Producer must be in good standing with DFS and cannot be in breach of any material obligation under this Agreement or owe any debt to DFS or any of the Carriers.

4. Intellectual Property

- A. In consideration of Producer's performance of its obligations to DFS expressly set forth in this Agreement, DFS grants to Producer, a limited, non-transferable, non-exclusive license, for the Term, to access and use, and to allow its customers and potential customers to access and use the DFS Materials, with respect to DFS Materials located on the Internet only through the Website, solely in connection with Producer's efforts to obtain applications for the Purchase of Products and not for use in whole or in part in connection with any other activity. Producer does not have the right to collect any fee or other payment in connection with the use of the DFS Materials. Without limiting the generality of the foregoing, Producer may not copy, reproduce, publish, distribute, display, or otherwise transfer, or modify, adapt, perform, license, sell, or create derivative works from, or decompile, disassemble, or otherwise reverse engineer, any of the DFS Materials, without the express written consent of DFS. For example, and without limiting the foregoing, Producer may not remove or modify any copyright, trademark, or other proprietary notice displayed on any DFS Materials, nor may Producer transmit or otherwise transfer any DFS Materials to any computer, server, web site, or other medium for any purpose.
- B. Producer acknowledges that as between Producer and DFS all proprietary and intellectual property rights whether or not registered, including the trademarks, service marks, trade dress, copyrights and all trade secrets of DFS, included in the DFS Materials or DFS Trademarks (collectively, "DFS Intellectual Property Rights") are, and shall remain, the exclusive property of DFS. Producer acknowledges its right to use the DFS Intellectual Property Rights is derived solely from this Agreement. Producer shall not, and shall not allow any third party to, use any portion of the DFS Intellectual Property Rights or any embodiment thereof, nor any adaptation(s) or variation(s) of any of them, in any manner (including, but not limited to, press releases, advertising or promotional literature), except: (i) as permitted in this

Agreement; or (ii) with the prior written consent of DFS in each instance, which written consent DFS may grant or withhold in its sole discretion.

- C. Producer agrees that it will not, directly or indirectly, contest the ownership, enforceability or validity of the DFS Intellectual Property Rights in litigation or otherwise. Producer shall use its best efforts to assist DFS in its efforts to enforce the DFS Intellectual Property Rights.

5. Disclaimer of Representation and Warranties

The website and the DFS materials are provided "as is." DFS disclaims any representation or warranty of any kind regarding the website or the DFS materials. Without limiting the generality of the foregoing, DFS disclaims any implied representation or warranty of title, non-infringement, merchantability, accuracy, completeness, compliance with applicable law or regulation or fitness for a particular purpose regarding the DFS website or the DFS content. Some jurisdictions do not allow the exclusion of implied warranties so the foregoing disclaimer may not apply to you.

6. Producer General Obligations. During the Term, the Producer shall:

- A. Abide by all applicable state and federal laws and regulations (including, but not limited to, the obligation to be licensed to sell all products sold by the Producer).
- B. Maintain the Carrier Agreements in full force and effect and abide by all rules and regulations of the Carriers; and
- C. Abide by all DFS policies and procedures, of which DFS gives the Producer notice from time to time, which notice may be given by posting such policies and procedures on the Website.

7. Producer's Use of the DFS Materials

- A. Producer covenants and agrees that it shall use the DFS Materials only in connection with the solicitation of applications from consumers to purchase Products from the Carriers and for no other purpose.
- B. Producer's advertising and promotional materials that utilize the DFS Materials shall be of high quality, tasteful and consistent with comparable advertising and promotional materials. Such advertising shall conform to all applicable laws and regulations. DFS shall have the right, upon request, to inspect, review and approve all of Producer's advertising and promotional materials which utilize the DFS Materials, which approval shall not be unreasonably withheld. By reviewing or approving such materials, DFS makes no representation or warranty as to their suitability, legal compliance, or other matter.

8. Producer Licensing Obligations. Producer represents, warrants and covenants to DFS that:

- A. The licenses identified on Schedule A (the "Licenses") are all of the licenses currently held and required to be held by Producer. During the Term, Producer shall immediately notify DFS if Producer:
 - i. Voluntarily or involuntarily surrenders any License; or
 - ii. Becomes party to any administrative or disciplinary proceeding in connection with any License, and Producer shall notify DFS of the outcome of each such proceeding.
- B. During the Term, Producer shall be solely responsible for complying with all requirements and obligations, including but not limited to continuing education requirements, required to continue to hold each License and all other licensing requirements necessary due to Producer's activities.
- C. During the Term, Producer shall be solely responsible for complying with all applicable laws and regulations in connection with solicitations for and sales of Products.

9. Producer Confidentiality, Non-Disparagement and Non-Solicitation Obligations

- A. "Confidential Information" means all proprietary or confidential information, trade secrets or know-how, whether or not in written or electronic form, regarding or obtained the Confidential Information shall constitute trade secrets of DFS as that term is defined by state laws and regulations.
- B. During the Term, and for 24 months following the termination of this Agreement ("Protection Period"). Producer shall maintain in confidence, and shall neither directly nor indirectly, use or disclose any Confidential Information, except that Producer may use the Confidential Information in the fulfillment of its duties hereunder. Upon termination of this Agreement, or at any earlier time upon the request of DFS, Producer shall deliver to DFS all written and tangible material – including leads obtained through the use of DFS materials and/or promotions – in its possession incorporating the Confidential Information or otherwise relating to DFS, without retaining any copies thereof.
- C. Producer acknowledges that DFS has invested significant time and money developing its public image, its relationships with its clients, and its relationships with employees and independent contractors. DFS has a strong interest in maintaining its public image and such relationships. Producer agrees that DFS' future business and financial success depends upon DFS' success in doing so. For that reason, during the Term and after the termination of this Agreement, the Producer shall not directly or indirectly, disparage or criticize DFS, the Products, the Carriers or DFS' clients, in any way or in any manner to DFS' clients, prospective clients, employees, independent contractors or to any other

person or entity, whether or not such person or entity has a relationship with DFS, and shall not assist any third party in so doing.

- D. Producer recognizes and acknowledges DFS has provided training and marketing materials and expertise to Producer, and that such services are crucial to Producer's success and DFS' continued business. Producer recognizes and acknowledges that DFS has a legitimate interest in protecting its business relationships and proprietary information. Producer recognizes and acknowledges that it is essential for the protection of the business of DFS and its Confidential Information that Producer be restrained from soliciting business from DFS Customers (as defined below) for any business purpose during the Protection Period. For purposes of this Agreement, a "DFS Customer" means any soliciting agent or DFS Issuer (defined as any company that issues insurance financial products in the financial and retirement industry) with whom DFS possessed an active business relationship with and served as a customer on the date of termination of Producer's engagement with DFS.
- i. Any soliciting agent or DFS "Issuer" (which is defined as any company that issues retirement products) served by DFS on the date hereof.
 - ii. Any soliciting agent or DFS Issuer served by DFS on the day immediately prior to the termination of Producer with DFS for any reason; and
 - iii. Any soliciting agent or DFS Issuer that is actively being solicited by DFS at either time.
- E. If Producer breaches, or threatens to breach, any of the provisions contained in this Section 9, in addition to all other rights to which DFS may be entitled hereunder, at law or in equity, DFS shall be entitled to obtain an injunction restraining Producer from continuing such breach, without proving that it has sustained actual damages or posting any bond.

10. Producer Reimbursement Obligations

- A. In the Carrier Agreements, among other things, Producer agrees to be liable for, and promptly to pay or repay all amounts owed to the applicable Carrier ("Repayment Obligation"). Liabilities subject to the Repayment Obligation include, but are not limited to, refunds of premiums, compensation, loans, advances and settlements (collectively, "Liabilities") in the Carrier Agreements, Producer also agrees:
- i. That interest will accrue on all Liabilities until payment in full at the lesser of (x) the greater of one and one-half percent per month (1.5%) or the rate set forth in the applicable Carrier Agreement or (y) the highest rate allowed per applicable law.
 - ii. To be jointly and severally, with the applicable subagent, liable for, and to repay, all unpaid Liabilities incurred by any subagent of the Producer.

- iii. To reimburse the applicable Carrier for all costs of collection of any Liabilities, including, but not limited to, attorneys' fees; and
- iv. That each Carrier has the right to offset any Liability against any other amount due to Producer.

Items i - iv above are collectively referred to as, the "Collection Rights."

The parties intend for this section to respect certain rights in favor of DFS, if DFS satisfies any Liability of Producer. The parties do not intend this to alter any other aspect of the relationship between them, or with the Carriers.

- B. Producer acknowledges that a Carrier may charge (including through an offset against amounts otherwise payable by such Carrier to DFS) DFS for a Liability and accordingly, agrees to reimburse DFS for all amounts DFS pays, on behalf of Producer, to any Carrier in satisfaction of any Liability of Producer subject to the Repayment Obligation. Producer further agrees to reimburse DFS for all amounts expended by DFS, including but not limited to travel costs, attorneys' fees, investigation costs and all other costs of collection including DFS' internal costs and expenses, in connection with collecting a Liability from Producer. With respect to any such amount owed to DFS, Producer agrees that the provisions of the Carrier Agreement applicable to the Collection Rights shall apply to DFS in place of the Carrier.
- C. DFS shall provide to Producer an itemized statement of all Liabilities that Producer is obligated to pay to DFS hereunder. Producer shall remit to DFS payment in full of such Liabilities within ten (10) days of receipt of such statement, unless DFS agrees in writing to an alternative schedule for payment, provided that all such payments shall be due no later than the effective date of the termination of this Agreement.

11. Governing Law; Attorneys' Fees

- A. This Agreement shall be governed by, and construed in accordance with, the laws of the State of South Carolina. Producer hereby irrevocably consents to the exclusive jurisdiction and venue of any state or federal court located in Sumter, South Carolina, with respect to all disputes arising out of or relating to this Agreement and hereby waives any defense of no convenient forum.
- B. In the event any party hereto institutes an action or proceeding to enforce any rights arising under this Agreement, the party prevailing in such action or proceeding shall be paid all reasonable attorneys' fees and costs. These costs include, without limitation, expert witness fees, investigation costs, costs of tests and analysis, travel and accommodation expenses, deposition and trial transcript costs and court costs. A court, and not a jury, will set all such fees and costs, all of which will be included in the judgment entered in such proceeding. In any arbitration or other alternative dispute

proceeding agreed to by the parties, the arbitrator, or its equivalent, must appoint a prevailing party as part of the arbitrators, or its equivalent, decision.

12. DFS' Reserved Rights

Nothing in this Agreement is intended, nor shall it be construed to limit, DFS from using the DFS Materials in any manner which does not conflict with Producer's limited right to use the DFS Materials as specifically set forth in this Agreement.

13. Infringement

Each party shall promptly notify the other in writing if they have reason to believe of any infringements, imitations or other unauthorized use of the DFS Materials or the DFS Intellectual Property Rights by others. Each party shall promptly furnish the other with full details of such potential infringement, imitation or unauthorized use and assist in preventing any recurrence thereof. DFS shall have the exclusive right, without obligation and as determined in its sole and absolute discretion, to bring any action it deems necessary on account of any infringement, imitations or unauthorized use of the DFS Intellectual Property Rights ("Infringement Action"). While DFS may elect to retain counsel and prosecute any Infringement Action, DFS shall not be obligated to retain counsel, to bear any expenses, to institute legal action or to take any other action to prevent or remedy any such infringement or other action. If DFS elects to bring said action, DFS shall be entitled to all damages awarded thereby. Producer shall cooperate and assist DFS, at DFS' request and expense, in the procurement of any protection or to enforce any of DFS' rights in the DFS Intellectual Property Rights and DFS, in its sole and absolute discretion, may commence and prosecute any Infringement Action in its own name or in the name of Producer or join Producer as a party thereto. If DFS elects to prosecute an action solely in its own name but requests Producer's cooperation and assistance in connection therewith, DFS shall reimburse Producer for its reasonable costs and expenses incurred in connection with such cooperation and assistance.

14. Producer Indemnification

Producer shall indemnify, defend and hold harmless DFS and its officers, directors, employees, stockholders, and independent contractors (collectively, "DFS Parties"), from and against any and all damages, losses, costs or expenses, (including, without limitation, reasonable attorneys' fees and court costs) (collectively, "Claims") arising out of, or related to directly or indirectly:

- A. The breach by Producer of this Agreement, or any other agreement between Producer and DFS.
- B. Producer's efforts to solicit and procure applications for the purchase of the Products; or
- C. Producer's use or any of its clients' or potential clients' use of the DFS Materials or the Website; provided however, Producer shall have no obligation to indemnify the DFS Parties, or any of them, as provided above, for the amount of any Claims that result from

the breach by DFS of any provision of this Agreement or any other agreement between Producer and DFS.

15. Miscellaneous

- A. Each party agrees and acknowledges that in its performance of its obligations under this Agreement, it is an independent contractor of the other party and is solely responsible for its own activities. Neither party shall have any authority to make commitments or enter into contracts on behalf of, bind or otherwise obligate the other party in any manner whatsoever. Each party shall be solely responsible for paying its own employment, federal, state and local taxes, including but not limited to, estimated payments or income taxes, Social Security, and all other taxes of any kind.
- B. While DFS strives to ensure the accuracy of the contents of the DFS materials, DFS makes no representation or warranty as to accuracy or completeness. Producer acknowledges that the DFS materials have not been approved by any state or federal regulatory authority. Producer is, and shall remain, exclusively responsible to ensure all materials used in its efforts to procure applications for the products, including, but not limited to, the DFS materials, comply with applicable state and federal law. Producer agrees that DFS shall have no liability arising from producer's use of the DFS materials. DFS does not recommend or endorse any specific carrier, product or promotional activity.
- C. In no event shall DFS be liable to Producer for any indirect, consequential, exemplary, special, incidental or punitive damages, or lost profits, arising out of, or related to, this Agreement or the performance or breach of this Agreement. Further, the maximum amount of DFS' liability to Producer in the aggregate shall not exceed the amount actually received by DFS from Carriers due to Producer's activities. This limitation applies to all causes of action in the aggregate, including, but not limited to, breach of contract, breach of warranty, negligence, strict liability, misrepresentations and other torts.
- D. Producer agrees that DFS may modify, including deleting, any portion of the DFS Materials or add additional materials to the DFS Materials at any time with or without notice to Producer.
- E. Any notice or demand desired or required to be given under this Agreement will be in writing, will be sent by recognized overnight courier or facsimile, in each case with acknowledgement of receipt, and will be sent to the address or fax number set forth on the signature page to this Agreement. Notice so sent shall be effective on the next business day following the date sent if sent by recognized overnight courier, or on the date sent if sent on a business day prior to 5:00pm at the place of receipt, or if not so sent the next business day, if sent by fax. Either party may change the address to which notices are sent by sending written notice of such change of address to the other party.
- F. This Agreement shall be binding upon and shall inure to the benefit of the parties and their heirs, personal representatives, successors and permitted assigns. Producer shall not

assign this Agreement without the written consent of DFS, which consent DFS may withhold in its sole discretion. DFS may assign this Agreement upon written notice to Producer.

- G. This Agreement constitutes the complete and exclusive statement of agreement among the parties with respect to the subject matter herein and replaces and supersedes all prior written and oral agreements or statements by and among the parties with respect to such subject matter.
- H. In the event any claim is made by any party relating to any conflict, omission or ambiguity in this Agreement, no presumption or burden of proof or persuasion shall be implied by virtue of the fact that this Agreement was prepared by or at the request of a particular party or its counsel.
- I. The unenforceability, invalidity or illegality of any provision of this Agreement shall not render the other provisions unenforceable, invalid, or illegal. If any provision of the Agreement is held invalid or unenforceable, then the remainder of this Agreement shall nevertheless remain in full force and effect. If any provision is held invalid or unenforceable with respect to particular circumstances, it shall nevertheless remain in full force and effect in all other circumstances. If any provision of this Agreement is unenforceable under the law prevailing on the date hereof but is enforceable under the law prevailing at a subsequent time, then such originally unenforceable provision shall be deemed to take effect at the time when it becomes enforceable. As used herein, the term "unenforceable" is used in its broadest and most comprehensive sense and includes the concepts of void or voidable.
- J. No action or inaction of any party to this Agreement, or any party's failure to promptly exercise any of their rights under this Agreement, shall be deemed to be a waiver of that party's ability to enforce their rights under this Agreement. Any such waiver shall only be effective if set forth in a signed written instrument by the party granting such waiver. A waiver by one party of the performance of any covenant, agreement, obligation, condition, representation or warranty shall not be construed as a waiver of any other covenant, agreement, obligation, condition, representation or warranty. A waiver by any party of the performance of any act shall not constitute a waiver of the performance of any other act or an identical act required to be performed at a later time.
- K. This Agreement may be executed in any number of counterparts, each of which when executed and delivered shall be an original, but all such counterparts shall constitute one and the same instrument. This Agreement may be executed in original or through electronic signatures, including those transmitted by facsimile and email.
- L. The captions of the sections of this Agreement are for convenience or reference only and in no way define, limit or affect the scope or substance of any section of this Agreement. All pronouns and any variation thereof refer to the masculine, feminine or neuter, singular or plural, as the identity of the person or persons may require. As used herein, the word "or" is used in the inclusive sense of "and/or."

M. Any amounts due under this Agreement that are not paid on the date due shall bear interest from the date due until the date actually paid at a rate equal to one and one-half percent (1.5%) per month or, if lower, the highest rate allowable by law.

16. Right to Independent Counsel

The parties recognize that this Agreement is a legal document that may affect them adversely. The parties acknowledge that, prior to executing this Agreement, they were given the opportunity to seek advice of independent legal counsel regarding this Agreement. By executing this Agreement, the parties acknowledge that they have reviewed this Agreement with independent legal counsel or have knowingly waived their opportunity to do so.

17. Preamble, Recitals and Schedules

The preamble and all recitals to this Agreement as well as the terms defined therein, if any, are incorporated by reference into the body of this Agreement. The following Schedules are attached to, and incorporated in, the body of this Agreement:

Schedule A: Licenses

[Signature Page Follows]

SCHEDULE A LICENSES

In addition to any insurance licenses reported through the National Insurance Producer Registry ("NIPR") database, I certify that I also hold the license(s) noted below.

1. Licenses (Check all that apply)

- ☐ I certify that I hold the following license(s) to sell:
- ☐ Insurance Line: ☐ Life ☐ Accident ☐ Health ☐ P/C ☐ Annuities
- ☐ Series 4 – Registered Options Principal Exam
- ☐ Series 6 – Investment Company and Variable Contracts Exam (Mutual Funds/Variable Annuities)
- ☐ Series 7 – General Securities Representative Exam (Stockbroker)
- ☐ Series 12 – NYSE Branch Manager
- ☐ Series 24 – General Securities Principal Exam
- ☐ Series 53 – Municipal Securities Principal Exam
- ☐ Series 63 – Uniform Securities Agent State Law Exam
- ☐ Series 65 – Uniform Registered Investment Adviser Law Exam (RIA)
- ☐ Series 66 – Uniform Investment Adviser (combined 63 and 65)
- ☐ Other _____
- ☐ Other (Sponsoring Company – Company Affiliation)
- ☐ I certify that I am not currently licensed to sell securities.

I cannot hold DFS liable for any security products sold as DFS is not licensed to sell or solicit such products. DFS only represents, markets, and sells insurance products.

2. Other Professional Licenses

<input type="checkbox"/> I certify that I hold the following license(s):			
Type	Issuing State	License Number	Active or Inactive (Circle one)
CPA	_____	_____	Active or Inactive
Attorney	_____	_____	Active or Inactive
Other _____ (Describe)	_____	_____	Active or Inactive

Other _____ Active or Inactive
(Describe)
Other _____ Active or Inactive
(Describe)

_____ I certify that I hold any other licenses.

I cannot hold DFS liable for any other professional services provided other than the core insurance offerings.

IN WITNESS WHEREOF, the parties have executed or caused this Agreement to be executed by their respective authorized individuals to be effective as of the Effective Date, notwithstanding the actual date of execution.

DILLARD FINANCIAL SOLUTIONS, INC. PRODUCER

By: Signature: _____

Stephen Dillard (Owner) Print Name: _____

Signature: _____ Address: _____

Teresa Dillard (Owner) _____

Signature: _____

Address: 2381 Peach Orchard Road _____

Sumter, SC 29154 _____

Attention: Contracting Phone: _____

Phone: 803-499-6623 Email: _____

Email: dfs@dillardfinancial.com _____

Fax: 803-499-3174 Fax: _____