



August, 2014

**Reference Document  
Advisor Screening Confirmation Request**

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## Advisor Screening Confirmation Request

### Instructions to MGA

The Screening Confirmation Request (SCR) may be used at the discretion of the MGA as part of its screening process prior to entering into a contract with an advisor.

It is intended to be used to obtain supplementary information from the insurers listed in Question 22 of the *CLHIA Advisor Screening Questionnaire (ASQ)*.

A consent to collect the information in the SCR is included in the ASQ.

**Care should be taken to ensure that all parties are identified consistently on the consent and the SCR.**

A copy of the consent should accompany the SCR when it is sent to an insurer.

Insurers receiving this form agree to complete it and return it to the MGA within five (5) business days.

## Advisor Screening Confirmation Request

Name of MGA: \_\_\_\_\_

Name of Advisor or Entity (should be same as on consent):  
\_\_\_\_\_

Name of Insurer: \_\_\_\_\_

Date Request Completed by Insurer: \_\_\_\_\_

1. What is the status of the contractual relationship between the insurer and the advisor?

Never issued a contract

Contract still active

Contract terminated

Contract terminated for cause

Date of termination: \_\_\_\_\_

Date of termination: \_\_\_\_\_

Regulator to whom reported: \_\_\_\_\_

Date of report: \_\_\_\_\_

2. Does the advisor have any unresolved debts with the insurer?

No

Yes

Amount: \$ \_\_\_\_\_

Duration: From: \_\_\_\_\_ to: \_\_\_\_\_

Repayment Efforts: Yes  No

Debt Written Off: Yes  No

3. If the contract was terminated, would you consider re-contracting the advisor?

Yes

No

4. Has your market conduct area investigated or reviewed a concern or complaint related to market conduct regarding the advisor?

Yes

No

### Optional

If there is any additional information that would help explain your answers to #3 or #4, please provide it here.

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