

Special Registration Review Form (SRR Form)

Applicant's Full Name (Print)

Applicant's Social Security No.

Please complete this **SRR Form** if you answered "YES" to one of the QUALIFICATION INFORMATION questions in the Independent Business Application (IBA). You should complete a separate **SRR Form** for each "event" leading you to answer "YES". Feel free to print or photocopy this **SRR Form** and/or attach more sheets of paper as needed to provide the requested information. Submit the completed **SRR Form** as soon as possible to your RVP for review.

APPLICANT'S NOTICE

Laws in the financial services industry affect who may and may not be a member of the Primerica Field Force. Because of these laws, your IBA and this **SRR Form** ask you certain questions about your legal background. If you have criminal, employment, financial or legal history that is requested by the IBA, this **SRR Form** or other applicable forms (including insurance or securities or licensing forms), you must fully disclose that history, when requested, to be considered for and remain in the Primerica Field Force. You should take care to ensure that your disclosures are truthful, complete and accurate.

You should start this Form by reviewing and answering the background questions below. In some instances, when the answer is "yes," attempting to engage in financial services may constitute illegal activity punishable by incarceration, fines or regulatory sanctions. When completing this form, be sure to disclose fully any requested information, particularly information relating to any felony or other crime: any charges, even if they were later dropped, dismissed or reduced; any plea of guilty or no contest/nolo contendere or any entry of a deferred adjudication (sometimes called first-offender sentencing or conditional discharge), even if later expunged; any conviction or entry of a sentence, whether probation, fine, community service or otherwise.

Primerica considers this information under a Special Registration Review process. The end result of that process may be the **denial of your application** to join the Primerica Field Force or your acceptance only under conditions that Primerica deems appropriate. Until Primerica's Licensing Department notifies you in writing that you have been accepted into the Primerica Field Force, you are not authorized to conduct any Primerica business. Also, before you can solicit for any product that requires a license or company authorization, you may not engage in that line of business until you are first notified in writing that you are authorized. Ask your RVP for further guidance. Until you are notified, you may attend Primerica education classes and participate in field meetings and training.

By signing below, you acknowledge your understanding and agreement with the matters noted above. You also certify that the disclosures you make in your IBA and on this Form are truthful, complete and accurate.

Date

Applicant (Signature)

BACKGROUND QUESTIONS

Please read each of the questions below and answer "yes" or "no." When we say "you" in the questions below, we mean you personally and also any organization that you owned or had a controlling ownership interest in or controlled as a principal manager.

1. Have you **EVER** *pled guilty or nolo contendere ("no contest") to, or been found guilty of, a FELONY crime?* YES NO
2. Have you **EVER** been *charged with, but not convicted of, a FELONY crime?* Check "yes" here even if the charges were later dismissed, dropped, reduced, or expunged. YES NO
3. Have you, **EVER**, *pled guilty or nolo contendere ("no contest") to, or been found guilty of, a MISDEMEANOR crime involving: (a) a financial industry law, rule or regulation; (b) lying/dishonesty, cheating or fraud, money laundering or breach of trust; or (c) burglary, or theft (in any form) of funds or securities or financial instruments?* YES NO
4. Have you, **EVER**, been *CHARGED WITH, or pled guilty or nolo contendere ("no contest") to, or been found guilty of, a MISDEMEANOR crime involving (a) theft (in any form) of property other than funds or securities or financial instruments or (b) violence or threats of violence?* YES NO
5. Have you **EVER** *pled guilty or nolo contendere ("no contest") to, or been found guilty of, a MISDEMEANOR crime involving sexual misconduct or indecency?* YES NO
6. Have you **EVER** *pled guilty or nolo contendere ("no contest") to, or been found guilty of, a crime NOT specified in questions 1, 2, 3, 4 or 5 above?* YES NO
7. Is there **NOW** pending against you any criminal court action? Include any pre-trial intervention program, deferred prosecution program, conditional discharge program, court-ordered community service requirements, or any probation requirements. YES NO

8. Has any state regulator found that you violated any law or regulation that prohibits fraudulent, manipulative or deceptive conduct, or are you **CURRENTLY** expelled, suspended, barred or prevented by the order, judgment or decree of a civil court or a regulatory or administrative agency from engaging in financial or professional services, or are you under investigation, sentencing or order for alleged misconduct regarding *financial services, lying/dishonesty, cheating or fraud, breach of trust, theft in any form, burglary, sexual misconduct or indecency, violence or threats of violence or money laundering*? YES NO
9. Have you **EVER** been the subject of any civil court or regulatory or administrative agency inquiry, action, litigation, arbitration or order, judgment or decree involving allegations of misconduct regarding *financial services, lying/dishonesty, cheating or fraud, breach of trust, theft in any form, burglary, sexual misconduct or indecency, violence or threats of violence, money laundering or are you NOW the subject of an unresolved customer complaint or regulatory proceeding*? YES NO
10. Have you **EVER** been expelled, suspended, barred or enjoined (prevented by court order) from engaging in a trade, profession or government contract, or been denied a trade or professional license, or had a trade or professional license revoked, suspended, cancelled, non-renewed or restricted? YES NO
11. Are you **NOW** affiliated as an employee or independent contractor with a regulator or other entity providing underwriting or investigative services to Primerica, or are you, in any way, involved in or licensed for marketing or promoting securities or investments, raising investment funds, or planning, handling or advising on the investments of others? YES NO
12. Are you **NOW**, in any way, involved in or licensed for the marketing or promotion of financial services **NOT** involving securities or investments? *You may be required to sign an alternative agreement based on the license conflict* YES NO
13. Have you ever voluntarily resigned, been discharged or permitted to resign from any contract, position or employment, including a military position, after allegations were made that you engaged in misconduct regarding *financial services, lying/dishonesty, cheating or fraud, breach of trust, theft in any form, burglary, sexual misconduct or indecency, violence or threats of violence or money laundering*? YES NO
14. Has a bonding company ever denied, paid out on or revoked a bond on you? YES NO
15. Have you, **WITHIN THE LAST 10 YEARS**, made a compromise with creditors or been the subject of a bankruptcy petition, or had unsatisfied judgments or liens pending against you? YES NO
16. Are you now, as an agent, indebted to any insurance company, general agent, manager or broker? YES NO

On A SEPARATE PIECE OF PAPER for each "yes" answer above please describe actions leading to the event, including beginning and ending dates. Also attach any supporting documents you have verifying the information provided. For criminal court (#s 1, 2, 3, 4, 5, 6, 7) and agency matters (#s 8, 9, 10), list the name of the crime or allegation and the Code section under which you were charged, the resolution of the charge, and the details of any sentencing, discipline or orders relating to the matter. You may wish to contact the lawyer who handled your case for details and fax a copy of this Form to the attorney to help you. For financial information (#s 14, 15, 16), please describe the event fully, its resolution or current status, and whether (and in what amount) you currently have judgments, liens or debts outstanding.

FIELD APPROVAL

RVP Certification. I have received and reviewed this completed form and any applicable documents. I have met or talked with this applicant and find the applicant to be credible. I have ensured that a thorough background interview has been performed. After carefully reviewing all information available to me in this matter, I believe that the applicant is trustworthy and of good character, will protect/promote the goodwill/reputation of Primerica and the Field Force, and is otherwise qualified to join the Primerica Field Force. I will immediately report to Primerica's SRR Unit or Office of the General Counsel information I receive that changes my belief. I will supervise the applicant carefully in light of his/her background and any undertakings herein. I recommend that the applicant be permitted to join the Primerica Field Force.

OSJ Certification. After carefully reviewing the information available to me in this matter, I believe that the applicant is trustworthy, of good character, will protect/promote the goodwill/reputation of Primerica and the Field Force, and is otherwise qualified to join the Primerica Field Force. I believe, and will take steps to ensure, that the RVP will supervise the applicant carefully in light of the applicant's background and any undertakings herein. I support the RVP's recommendation.
