

Name of Broker/Dealer: _____

CRD Number: _____

Corporate TIN: _____

Address of Broker/Dealer: _____

City, State, Zip: _____

Broker/Dealer Annuity Contact: Name: _____
Title: _____ Phone #: _____

AML Officer/Contact: Name: _____
Email: _____ Phone #: _____

Will you allow third party wholesaling of the Registered Index-Linked Annuity product? Yes No

If yes, please list the third-party wholesale firm(s): _____

Preferred method for delivery of client's contracts? Send directly to Agent
 Send directly to Client

Background Questions:

Thank you for your interest in MassMutual Ascend Life Insurance Company ("MMALIC"). In addition to its review of your responses to the questions and requests below, MMALIC may also perform a variety of initial background checks of broker dealer (including its agencies and principal officers) in order to complete an adequate due diligence review in accordance with federal and state regulations. MMALIC also reserves the right to conduct additional background checks as it deems necessary throughout the duration of our relationship. The background checks may include, but not limited to, reviews of FINRA and state insurance department disclosures, credit checks, and any other pertinent background checks, which will be held in strict confidence. Please answer the following questions to help with our due diligence review.

- 1) Within the last 36 months has the broker/dealer been the subject of any investment-related regulatory authority investigation for cause? Yes No If yes, please describe the circumstances and disposition of the investigation on a separate page.
- 2) Is the broker/dealer currently under investigation or subject to any proceeding by a domestic or foreign governmental body or self-regulatory organization with jurisdiction over investment-related businesses? Yes No If yes, please describe the nature of the investigation on a separate page.

- 3) Does the broker/dealer have any unsatisfied judgments or liens pending? Yes No If yes, please describe on a separate page.
- 4) Within the last 36 months has any principal of the broker/dealer been suspended or terminated for cause by the broker/dealer or been investigated, fined, suspended or disbarred by any investment-related regulatory authority? Yes No If yes, please detail the circumstances of such on a separate page.
- 5) Is the broker/dealer or any of its principals currently charged with or ever pled guilty or no contest to, or been convicted of, any crime (including disclosure of expunged or sealed records)?
 Yes No If yes, please describe on a separate page.
- 6) Please specify the amount of coverage your FINRA fidelity bond provides. \$ _____
- 7) Please specify the minimum net capital requirement set by FINRA for the broker/dealer.
 \$ _____
- 8) Check the description below that best describes your broker/dealer.
 limited to subscription business,
 full service, introducing firm,
 full service, self-clearing firm,
 other (please describe) _____
- 9) Please specify the maximum coverage amounts per claim and per year for the Professional Liability or Errors & Omissions insurance your broker-dealer provides for its registered representatives, principal officers and the firm.
 \$ _____ per claim
 \$ _____ per policy year
- Please provide a copy of your current declaration page.
- 10) Does the broker/dealer require product specific training for all representatives soliciting variable index business? Yes No If yes, does the broker/dealer require MassMutual Ascend Life Insurance Company to hold the processing of new business until the selling representative has completed training?
 Yes No

I attest that the answers given above are true to the best of my knowledge.

 Authorized Signature

 Date

 Printed name

 Title