

# ASSIGNMENT OF COMMISSIONS, SERVICING AND/OR SERVICE FEES

## Use this form:

- to assign commissions, servicing and/or service fees upon the transfer of insurance and investment policies/contracts between Brokers/Corporate Brokers under the same MGA/Entity entitled to services fees ("MGA/Entity") (complete Sections 1, 4 and 7, or Section 2 or 5)
- to assign commissions, servicing and/or service fees upon the transfer of insurance and investment policies/contracts between Brokers/Corporate Brokers under different MGAs/Entities (complete Sections 1-7)
- to assign service fees when a Broker/Corporate Broker moves to a new MGA/Entity (complete Sections 3 and 6)

### 1. RELEASING BROKER/CORPORATE BROKER

Complete this section to assign the servicing and commissions for the Empire Life insurance and investment policies/contracts indicated below to another Broker/Corporate Broker.

Entire block transfer     Policies/contracts listed below or on attached list

Policy/contract number(s)

**The undersigned Releasing Broker/Corporate Broker hereby absolutely and unconditionally transfers and assigns to the Accepting Broker/Corporate Broker named in Section 4 below, all right, title and interest in servicing and commissions payable with respect to the Empire Life policies/contracts indicated above or on the attached list.**

Name of Releasing Broker/Corporate Broker (please print)

Code(s)

Signature of Releasing Broker/authorized signing officer for Releasing Corporate Broker

Date (dd/mmm/yy)

**X**

Name of authorized signing officer for Releasing Corporate Broker (please print)

### 2. RELEASING MGA/ENTITY – Servicing and Commissions Payable

**The undersigned Releasing MGA/Entity hereby absolutely and unconditionally transfers and assigns to the Accepting MGA/Entity named in Section 5 below, all right, title and interest in servicing and commissions payable with respect to the Empire Life policies/contracts indicated above or on the attached list.**

Name of MGA/Entity (please print)

Code(s)

Signature of authorized signing officer of the MGA/Entity

Date (dd/mmm/yy)

**X**

Name of authorized signing officer of the MGA/Entity (please print)

### 3. RELEASING MGA/ENTITY – Assignment of Service Fees

Complete this section ONLY if the Releasing MGA/Entity is assigning to the Accepting MGA/Entity indicated in Section 6 below, the servicing fees payable on the Empire Life policies/contracts for which the Releasing Broker/Corporate Broker indicated below is receiving commissions.

Name of Releasing Broker/Corporate Broker (please print)

Existing code(s)

**The undersigned hereby absolutely and unconditionally transfers and assigns to the Accepting MGA/Entity named in Section 6 below, all of its right, title and interest in the service fees payable to the Releasing MGA/Entity with respect to the Empire Life policies/contracts for which the above Releasing Broker/Corporate Broker is receiving commission.**

Name of Releasing MGA/Entity (please print)

Code(s)

Signature of authorized signing officer of the Releasing MGA/Entity

Date (dd/mmm/yy)

**X**

Name of authorized signing officer of the Releasing MGA/Entity (please print)

#### 4. ACCEPTING BROKER/CORPORATE BROKER

The undersigned Accepting Broker/Corporate Broker hereby (i) consents to the transfer and assignment described in Section 1 above, (ii) agrees to be Agent of Record for the policies/contracts indicated in Section 1 above or on the attached list and to be responsible for any chargebacks that may occur with respect to those policies/contracts, and (iii) acknowledges that the assignment does not apply to any Limited Trading Authorization(s) given to the Releasing Broker/Corporate Broker and that new Limited Trading Authorization(s) for the Accepting Broker/Corporate Broker must be completed and submitted to Empire Life.

Name of Accepting Broker/Corporate Broker (please print)	Code(s)
Signature of Accepting Broker/authorized officer for Accepting Corporate Broker <b>X</b>	Date (dd/mmm/yy)
Name of authorized officer for Accepting Corporate Broker (please print)	

#### 5. ACCEPTING MGA/ENTITY – Servicing and Commissions Payable

The undersigned Accepting MGA/Entity hereby consents to the transfer and assignment described in Section 1 above or on the attached list to be responsible for any chargebacks that may occur and are not paid by the Broker/Corporate Broker in a timely manner.

Name of MGA/Entity (please print)	Code(s)
Signature of authorized signing officer of the MGA/Entity <b>X</b>	Date (dd/mmm/yy)
Name of authorized signing officer of the MGA/Entity (please print)	

#### 6. ACCEPTING MGA/ENTITY – Assignment of Service Fees

Complete this section when the service fees payable on the Empire Life policies/contracts described in Section 3 above are being transferred and assigned.

Name of Accepting Broker/Corporate Broker (please print)	Code(s)
<b>The undersigned hereby consents to the transfer and assignment described in Section 3 above and accepts responsibility for payment to Empire Life of any chargebacks related to the above named Broker/Corporate Broker's block of Empire Life policies/contracts that may occur and are not paid by the Broker/Corporate Broker in a timely manner.</b>	
Name of Accepting MGA/Entity (please print)	Code(s)
Signature of authorized signing officer of the Accepting MGA/Entity <b>X</b>	Date (dd/mmm/yy)
Name of authorized signing officer of the Accepting MGA/Entity (please print)	

#### 7. CONFIRMATION

The undersigned  RELEASING Broker/Corporate Broker  ACCEPTING Broker/Corporate Broker confirms that the owners of the policies/contracts indicated in Section 1 above or on the attached list have been or will be notified, within 30 days of signing this form, that their policies/contracts will now be serviced by the Accepting Broker/Corporate Broker.

Signature of Broker/ authorized signing officer for Corporate Broker <b>X</b>	Date (dd/mmm/yy)
Name of Broker/authorized signing officer for Corporate Broker (please print)	