

REGISTERED INVESTMENT ADVISER

# RIA Concierge Desk Process Quick-Reference Guide

Use the following step-by-step guide as your process and required documents reference when working with the RIA Concierge Desk.

		IAR/RIA	RIA CD	CLIENT	DOCUMENTS
<b>STEP 1</b>	Adviser contacts Registered Investment Adviser Concierge Desk (RIA CD) to discuss case and suitability, and to request illustration proposal.				<ul style="list-style-type: none"> <li>Request for Illustration</li> <li>Inforce request</li> <li><i>First case only:</i> IAR Website Access Form</li> <li><i>First case only:</i> RIA Data Access Agreement and RIA Profile Form</li> </ul>
<b>STEP 2</b>	Upon client approval to start application, RIA CD emails the client three mandatory documents.				Mandatory, information-only: <ul style="list-style-type: none"> <li>Customer Relationship Summary brochure</li> <li>Leaders Group Welcome Letter</li> <li>Product Prospectus</li> </ul>
<b>STEP 3</b>	Adviser completes Client Data Intake Form and emails to RIA CD.				<ul style="list-style-type: none"> <li>Client Data Intake Form</li> </ul>
<b>STEP 4</b>	RIA CD completes annuity application and broker/dealer forms and emails to client and adviser to e-sign.				<ul style="list-style-type: none"> <li>Annuity application (client, IAR, and RIA CD e-sign)</li> <li>Leaders Group New Account Form (client and IAR e-sign)</li> <li>Leaders Group RILA or Index Annuity Worksheet (client and RIA CD e-sign)</li> </ul>
<b>STEP 5</b>	Leaders Group approves application. Allianz prepares contract for issue and awaits funding.				<ul style="list-style-type: none"> <li>Wet signature or signature guarantee may be required from prior carrier</li> </ul>
<b>STEP 6</b>	Once funded, contract is issued and policy is printed.				<ul style="list-style-type: none"> <li>Client contract is mailed to client via FedEx</li> <li>RIA CD emails PDF copy to adviser</li> </ul>
<b>STEP 7</b>	RIA CD sets up a meeting with the RIA back office to discuss: <ul style="list-style-type: none"> <li>Fee-billing process and a virtual tour of <a href="http://www.allianzlife.com">www.allianzlife.com</a></li> <li>Illustration software</li> <li>Performance Lock</li> </ul>				

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