CERTIFICATION OF ADVERTISING COMPLIANCE

NORTH DAKOTA INSURANCE DEPARTMENT

SFN 58799 (1-2011)

Every life settlement provider and life settlement broker holding a license from the North Dakota Insurance Department is required by law to establish and maintain a system of control over the content, form, and method of dissemination of all advertisements of its contracts, products, and services. Advertising is defined in statute at North Dakota Century Code section 26.1-33.4-01(1). The requirements for the system of controls and for advertisements are set out in statute at North Dakota Century Code section 26.1-33.4-07 Advertising for life settlements and in state administrative rules at North Dakota Administrative Code chapter 45-16-02 Life Settlement Advertising ("statutes and rules").

Name		FEIN or National Producer Number	
Previous Name		Business Telephone Number	
Business Address	City	State	ZIP Code
Mailing Address	City	State	ZIP Code

An applicant for a license or a current licensee seeking renewal of an existing license declares to the North Dakota Insurance Commissioner as follows:

1. The above-named licensee or applicant is:
   - ☐ an applicant for a life settlement provider license or a life settlement broker license; or
   - ☐ a current licensee seeking renewal of an existing license.
2. The undersigned individual has read the statutes and rules and is aware of their contents, and is authorized by the above-named licensee or applicant to make this certification on behalf of licensee or applicant.
3. The above-named licensee or applicant has established and maintains a system of control over the content, form, and method of dissemination of all advertisements. The system of control includes regular routine notification, at least once a year, to agents and others authorized by the licensee or to be authorized by the applicant if licensed, who disseminate advertisements, of the requirements and procedures for approval prior to the use of any advertisements not furnished by the licensee or applicant. The system of control also incorporates written guidelines and policies, training, review and approval by management, and self-monitoring compliance procedures.

   ☐ Check here if paragraph 3 is applicable. If not checked, complete paragraph 4.
4. The above-named licensee or applicant has not established and maintained a system of control over advertising because: (check one)
   - ☐ The licensee or applicant does not engage in any advertising of its contracts, products, or services and does not intend to engage in any advertising of its contracts, products, or services in the future.
   - ☐ The licensee or applicant intends to advertise its contracts, products, or services in the future but advertising has not yet occurred. The licensee or applicant certifies that before advertising occurs, the licensee or applicant will resubmit a Certification of Advertising Compliance acknowledging the requirements of paragraph 3.

Signature		Date
Printed Name	Position	

North Dakota Insurance Department - 701-328-2440

Print, sign, and mail this form to:

North Dakota Insurance Department
Attention: Licensing
600 East Boulevard Ave. - Dept. 401
Bismarck, ND 58505-0320