



New York Life

NAIFA Membership Application

Return to:

Tameria Small

New York Life Insurance Company

44 South Broadway, Room 18-E250

White Plains, NY 10601

Phone: 914-846-3022 Email: tameria_small@newyorklife.com

Name: _____ **ID#:** _____ *(agents only)*

General Office: _____

Method of Dues Payment

Licensed for 1 year-\$10/month, 2 year-\$20/month, 3 years-\$30/month, 4 years-\$40/month, 5 years+-\$65/month

() NYL Ledger – monthly deductions *(Agents only)*

() R/D Credits - three equal monthly installments *(Managers only)*

() Credit Card # _____ Exp. _____ Type of Card _____

() Annual Deductions

() Monthly Deductions

If paying by credit card, please mail this form in a sealed envelope. NYL will not retain your credit card information.

Optional Additional Information

(Ex. preferred NAIFA chapter; existing NAIFA membership #; switching payment method)

Signature: _____

Date: _____

By signing above, I authorize New York Life or NAIFA to charge me for NAIFA membership dues in the frequency and method noted above. Memberships paid for by credit card, ledger and R/D credits will automatically renew. This agreement will remain in effect until cancelled by me in writing before the last business day of the month for the ensuing month's deduction. I agree to abide by both the NAIFA membership agreement and the NAIFA Code of Ethics, both of which are on the back of this document.

NAIFA Membership Agreement

I agree to abide by the association bylaws and NAIFA's Code of Ethics (see below) and certify that:

- a. I have not been accused in writing nor been found in violation of the code of ethics of any professional organization of which I am a member. A state or federal licensing or regulatory body has not censured, fined or reprimanded me, or revoked or suspended my investment advisor, securities, or insurance license(s). I am not a defendant in a criminal action. If a criminal judgment has been entered against me in the past, it has been disclosed to NAIFA and its predecessors.
- b. I agree that neither the Association nor its individual members, officers, directors, agents or employees shall be liable to me, individually or jointly, if this application for membership is rejected or for the consequences of any disciplinary action which may be sought or taken against me under the local Association's bylaws or Amendments thereto or any disciplinary or penal action which may be sought or taken against me under the laws of this or any other state or jurisdiction, or for any statement which the Local Association or any of said individuals may issue relative to any such action; provided, for its or their gross negligence or willful misconduct.
- c. I understand and agree that my application for membership will be declined if it does not obtain a majority vote of the Board of Directors, or in the opinion of the Board of Directors, I am or will be unable or unwilling to conform to any of the foregoing requirements.

OR (check if any statements apply):

I have been accused in writing or been found in violation of the rules or code of ethics of a professional organization of which I am a member. A state or federal licensing or regulatory body has censured, fined or reprimanded me, or revoked or suspended my investment advisor, securities or insurance license(s).

I am a defendant in a pending criminal action or a criminal judgment has been imposed against me that has not been disclosed to NAIFA or its predecessors. I will attach complete details with this application. I understand that a finding of such violation may create a presumption that I have violated NAIFA's Code of Ethics.

NAIFA Code of Ethics

PREAMBLE: Helping my clients protect their assets and establish financial security, independence and economic freedom for themselves and those they care about is a noble endeavor and deserves my promise to support high standards of integrity, trust and professionalism throughout my career as an insurance and financial professional. With these principles as a foundation, I freely accept the following obligations:

- To help maintain my clients' confidences and protect their right to privacy.
- To work diligently to satisfy the needs of my clients by acting in their best interest.
- To present, accurately and honestly, all facts essential to my clients' financial decisions.
- To render timely and proper service to my clients and ultimately their beneficiaries.
- To continually enhance professionalism by developing my skills and increasing my knowledge through education.
- To obey the letter and spirit of all laws and regulations which govern my profession.
- To conduct all business dealings in a manner which would reflect favorably on NAIFA and my profession.
- To cooperate with others whose services best promote the interests of my clients.
- To protect the financial interests of my clients, their financial products and my profession, through political advocacy