



3 Mark Financial - Texas, Inc.
 1600 Highway 6 Suite 400
 Sugar Land, TX 77478
 Toll Free: 866.588.2927
 Telephone: 281.269.2300
 Fax: 281.269.2347

SETTLEMENT APPLICATION

A. PERSONAL INFORMATION (PLEASE PRINT OR TYPE)

Insured's Name	Date of Birth	Social Security Number
2 nd Insured's Name	Date of Birth	Social Security Number
Address		Phone Number
City	State	Zip Code

B. LIFE INSURANCE INFORMATION

Insurance Company	Policy Number	Face Amount
Date of Issue	Policy Type (WL, UL, SUL, Term, etc...)	Current Premium
Policy Owner	State of Residence	Beneficiary(s)
Is the policy owner a defendant in any suits or legal actions?	Yes _____	No _____
Has the policy owner ever declared bankruptcy?	Yes _____	No _____
Marital Status:	Single/Never Married _____	Married _____ Widowed _____ Divorced _____

C. MEDICAL INFORMATION

Insured Medical History	_____
2 nd Insured Medical History	_____
Primary Physician	Telephone Number
Specialist	Telephone Number

For additional policy and/or physician information, please provide a supplementary page.

For Agent Use: If available, please include the following: 1) Current in force Illustration to maturity. 2) Current APS (if not within the last 90 days, please provide physician information in Section C).

The undersigned represents to 3 Mark Financial - Texas, Inc. that:

- A. The information contained herein is complete and accurate and may be relied upon by 3 Mark Financial - Texas, Inc., Life Settlement/Viatical Settlement Providers and Financing Sources.
- B. The undersigned will immediately notify 3 Mark Financial - Texas, Inc. of any material change in any information contained herein, occurring prior to conclusion of the proposed sale, including but not limited to: cancellation and release of insurance policies, assignment of ownership of policies, change in beneficiary and irrevocable assignment of right to designate future beneficiaries of policies.

The proposed sale, cancellation and release of insurance policies, assignment of ownership of policies, or change in beneficiary and irrevocable assignment of right to designate future beneficiaries of policies will be solely for the benefit and account of the undersigned, and not for the account or benefit of any other person.

FRAUD WARNING

ANY PERSON WHO KNOWINGLY AND WITH THE INTENT TO DEFRAUD ANOTHER PRESENTS OR CAUSES TO BE PRESENTED ANY STATEMENT FORMING A PART OR IN SUPPORT OF AN APPLICATION FOR INSURANCE OR VIATICAL SETTLEMENT CONTRACT ANY FALSE, INCOMPLETE OR MISLEADING INFORMATION CONCERNING ANY FACT OR THING MATERIAL TO THE INSURANCE POLICY OR VIATICAL SETTLEMENT CONTRACT, OR ANY CLAIM THEREUNDER, COMMITS A FRAUDULENT VIATICAL SETTLEMENT ACT AND IS SUBJECT TO CIVIL AND CRIMINAL PENALTIES.

NOTICE TO APPLICANTS

Neither 3 Mark Financial - Texas, Inc. nor its officers, directors, or principals provide legal, accounting, or financial advice to prospective applicants regarding the advisability or relative merits of selling or conveying their legal rights in existing life insurance policies in exchange for cash payments referred to as living benefits, viatical settlements, intervivos settlements, or other similar terms.

An applicant must determine the relative benefit of any such living benefit settlement after review of the legal and financial implications of such a settlement with the applicant's own attorney, accountant, or other appropriate advisors, only then, should a decision be made to effect such a sale or settlement.

Applicant has a clear & complete understanding of the current or future benefits of the life insurance policy being offered for sale or settlement.

Applicant acknowledges that he/she has freely and voluntarily provided the information requested in this application.

PLEASE SEND WITH THE COMPLETE APPLICATION FORM, PHOTOCOPIES OF THE FOLLOWING:

- A. Life Insurance policy to be sold, including the application for insurance
- B. Your Driver's License
- C. Last premium statement from your Life Insurance company (if available)
- D. Social Security Card

Applicant's Full Name (Type or Print)

Applicant Signature

Date

Witness' Full Name (Type or Print)

Witness Signature

Date



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Life Insurance Information Release Form

Life insurance policy number _____ issued by _____
(Insurance Company), is owned by _____, and insured the life of
_____.

I authorize the release to 3 Mark Financial - Texas, Inc. (3 Mark) or its designee, any or all information concerning the above policy.

I authorize 3 Mark to share this information with life settlement providers, brokerage general agents, and other parties, as required. The purpose of this sharing of information is to obtain quotes for life settlements, and/or life and health insurance policies.

Policy Owner Signature

Date

Type or Print Name

Social Security Number



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The owner of the life insurance policy to be viaticated, the viator, should be aware of the following:

1. That there are possible alternatives to viatical settlement contracts, including any accelerated death benefits or policy loans offered under the viator's life insurance policy.
2. That some or all of the proceeds of the viatical settlement may be taxable under Federal income tax and State franchise and income taxes, and assistance should be sought from a professional tax advisor.
3. That proceeds of the viatical settlement could be subject to the claims of creditors.
4. That receipt of the proceeds of a viatical settlement may adversely affect the viator's eligibility for Medicaid or other government benefits or entitlements, and advice should be obtained from the appropriate government agencies.
5. That the viator has the right to rescind a viatical settlement contract for thirty (30) calendar days of the contract, or fifteen (15) calendar days from the receipt of the viatical settlement proceeds by the viator, as provided by Pennsylvania law. If the insured dies during the rescission period, the settlement contract shall be deemed to have been rescinded, subject to repayment of all viatical settlement proceeds and other payments made by the viatical settlement provider on behalf of the viator or insured, to the viatical settlement provider.
6. That funds will be sent to the viator within three (3) business days after the viatical settlement provider has received the insurer or group administrator's acknowledgement that ownership of the policy or interest in the certificate has been transferred and the beneficiary has been designated.
7. That entering into a viatical settlement contract may cause other rights or benefits, including conversion rights and waiver of premium benefits that may exist under the policy or certificate, to be forfeited by the viator, and that assistance should be sought from a financial advisor.
8. That all medical, financial, or personal information solicited or obtained by a viatical settlement provider or viatical settlement broker about an insured, including the insured's identity or the identity of family members, a spouse, or a significant other may be disclosed as necessary to effect the viatical settlement between the viator and the viatical settlement provider and/or financing entities. If a viator is asked to provide this information, the viator must consent to the disclosure, and failure to consent may affect the viator's ability to viaticate a life insurance policy. The information may be provided to viatical settlement purchasers, financing entities, special purpose entities or related provider trusts.

9. That all information provided by a viator or insured to a viatical settlement provider or viatical settlement broker will be shared with the insurer that issued the life insurance policy that is the subject of the viatical transaction.

Signature of Insured **Date**

Signature of Policy Owner (Viator) **Date**

Printed Name **Date**

Printed Name **Date**

Signature of Witness **Date**

Signature of Witness **Date**

Printed Name **Date**

Printed Name **Date**

3 Mark (Broker) Representative Name **Date**

Printed Name **Date**



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**ADDENDUM TO PENNSYLVANIA VIATICAL SETTLEMENT CONTRACT
APPLICATION**

As an addendum to the viatical settlement contract application signed on the ____ day of _____, 20____, between the viator/life settlor and 3 Mark Financial – Texas, Inc. ("3 Mark"), and in accordance with the formula set forth in said application, namely that the viatical settlement Provider Company, not the viator, may compensate 3 Mark based on a formula that is a percentage of the face value of the contract, it is understood that 3 Mark will receive _____ compensation from the Provider Company for the purchase of life insurance policy(s) _____, issued by _____ (Policy Number)

(Life Insurance Company)

Applicant's Full Name (Type or Print)

Applicant Signature Date

3 Mark Representative Signature Date

