

Insurance Agent Client Conflict Checklist

Conflict Identification

- ☐ Does the agent have a personal or financial interest in this client?
- ☐ Has the agent represented another party with opposing interests?
- ☐ Has the client disclosed any previous disputes or claims?
- ☐ Are there any family or business relationships involved?
- ☐ Is the agent's compensation potentially affected by the advice given?
- ☐ Has the agent provided services to competitors of the client?

Conflict Assessment

- ☐ Has the potential conflict been discussed with the client?
- ☐ Has the potential conflict been evaluated for material risk?
- ☐ Are there any legal or regulatory considerations?
- ☐ Has independent advice been recommended to the client?

Conflict Resolution

- ☐ Has the conflict been adequately disclosed to all parties?
- ☐ Was written consent obtained from the client?
- ☐ Are safeguards in place to manage or avoid the conflict?
- ☐ Is ongoing monitoring of the conflict necessary?

Notes

Date and Agent Signature