National Life Group®

National Life Insurance Company®
Life Insurance Company of the Southwest™

New Applications

Annuity Suitability Form Requirements

New Applications	All States	Florida		
403(b)/Roth 403(b)/457 (including Custodial Accounts)	**Form 10068 Traditional Fixed and Indexed Annuity Suitability**	**Form 10068 Traditional Fixed and Indexed Annuity Suitability**	**Form 10097 (Age 65+ Only)[1] Annuity Suitability Questionnaire**	**Form 10098 (Age 65+ Only)[1] Disclosure and Comparison of Annuity Contracts**
Flow Only Age 65 and Older	**Required**	**Required**	**Required**	Not Required
Flow Only Under Age 65	Not Required	Not Required	Not Required	Not Required
Lump Sum Rollover/Exchange/Transfer	**Required**	**Required**	**Required**	**Required**
Internal Exchanges	**Required**	**Required**	**Required**	**Required**
Periodic Rollover/Exchange/Transfer (Initial Request Only)	**Required**	**Required**	**Required**	**Required**
IRA/Non-Qualified (including Custodial Accounts and Trust/Corporate Owned Annuities)				
Lump Sum Rollover/Exchange/Transfer	**Required**	**Required**	**Required**	**Required**
Internal Exchanges	**Required**	**Required**	**Required**	**Required**
Personal Check, Bank Draft or any other payments not considered a Rollover/Exchange/Transfer	**Required**	**Required**	**Required**	Not Required
Periodic Rollover/Exchange/Transfer (Initial Request Only)	**Required**	**Required**	**Required**	**Required**
SEP or SIMPLE IRA with Contributions not considered a Rollover/Exchange/Transfer	Not Required	Not Required	**Required**	Not Required
SEP or SIMPLE IRA Lump Sum Rollover/Exchange/Transfer	Not Required	Not Required	**Required**	**Required**
SPIA				
Rollover/Exchange/Transfer	**Required**	**Required**	**Required**	**Required**
Personal Check, Bank Draft or any other payments not considered a Rollover/Exchange/Transfer	**Required**	**Required**	**Required**	Not Required

EXCLUSIONS[2]: 401k, 412(i), Other Pension Plans, and Group Unallocated

1 Additional state requirements for owner/applicant age 65 and older.
2 If a sales presentation was made directly to the individual Florida resident vs the plan, the exclusions do not apply.

For Agent Use Only - Not For Use With The Public.
Form No. 10119(0310); LR 10661(0110); Cat No. 101180

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Contributions Into Existing Annuities

Annuity Suitability Form Requirements

Contributions into Existing Annuities	All States	Florida		
403(b)/Roth 403(b)/457 (including Custodial Accounts)	**Form 10068 Traditional Fixed and Indexed Annuity Suitability**	**Form 10068 Traditional Fixed and Indexed Annuity Suitability**	**Form 10097 (Age 65+ Only)[1] Annuity Suitability Questionnaire**	**Form 10098 (Age 65+ Only)[1] Disclosure and Comparison of Annuity Contracts**
Lump Sum Rollover/Exchange/Transfer $10,000 or less	Not Required	Not Required	**Required**	**Required**
Lump Sum Rollover/Exchange/Transfer $10,001 or greater	**Required**	**Required**	**Required**	**Required**
Internal Exchanges $10,000 or less	Not Required	Not Required	**Required**	**Required**
Internal Exchanges $10,001 or greater	**Required**	**Required**	**Required**	**Required**
Periodic Rollover/Exchange/Transfer $10,000 or less	Not Required	Not Required	**Required**	**Required**
Periodic Rollover/Exchange/Transfer $10,001 or greater (Initial Request Only)	**Required**	**Required**	**Required**	**Required**
IRA/Non-Qualified (including Custodial Accounts and Trust/Corporate Owned Annuities)				
Lump Sum Rollover/Exchange/Transfer $10,000 or less	Not Required	Not Required	**Required**	**Required**
Lump Sum Rollover/Exchange/Transfer $10,001 or greater	**Required**	**Required**	**Required**	**Required**
Internal Exchanges $10,000 or less	Not Required	Not Required	**Required**	**Required**
Internal Exchanges $10,001 or greater	**Required**	**Required**	**Required**	**Required**
Personal Check, Bank Draft or any other payments not considered a Rollover/Exchange/Transfer	Not Required	Not Required	Not Required	Not Required
Periodic Rollover/Exchange/Transfer $10,000 or less (Initial Request Only)	Not Required	Not Required	**Required**	**Required**
Periodic Rollover/Exchange/Transfer $10,001 or greater (Initial Request Only)	**Required**	**Required**	**Required**	**Required**
SEP or SIMPLE IRA with Contributions not considered a Rollover/Exchange/Transfer	Not Required	Not Required	**Required**	Not Required
SEP or SIMPLE IRA Lump Sum Rollover/Exchange/Transfer	Not Required	Not Required	**Required**	**Required**

EXCLUSIONS[2]: 401k, 412(i), Other Pension Plans, and Group Unallocated Annuity

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