



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

EXCLUSIONS²: 401k, 412(i), Other Pension Plans, and Group Unallocated

Chart 1 of 2

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

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		
	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
403(b)/Roth 403(b)/457 (including Custodial Accounts)				
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

EXCLUSIONS²: 401k, 412(i), Other Pension Plans, and Group Unallocated Annuity

Chart 2 of 2

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