



## Annuity New Business Transmittal (IPA only)

New Business E-mail: [nbu@nationallife.com](mailto:nbu@nationallife.com) • Web Address: [www.lsw.net](http://www.lsw.net)  
Service: 800-228-4579 • NB Fax No: 214-638-9371

Annuitant Name: \_\_\_\_\_ Date: (mm/dd/yyyy) \_\_\_\_\_

Agent Name: \_\_\_\_\_ Agent Number: \_\_\_\_\_

This transmittal may be used as a "guide" for a new application package. Attached is the *Required Forms Listing*, which is also available separately on the website as *Form 2630*. Form requirements are subject to change.

Check the appropriate box to indicate items included in the package:

### General Application

- Initial Premium in the amount of \$ \_\_\_\_\_
- Annuity Application (*Brochure App/State specific*)
- Annuity Summary / Disclosure
- Other Required Disclosures (*State Specific*) – See attached listing for requirements (*Form 2630*)
- Senior Suitability (*State Specific*) – See attached listing for requirements (*Form 2630*)
- State of Execution Certification (*Form 9928*) - required if application taken in a state other than state of residence
- Issuer Only Agreement (*Form 7501A*) – required for SIMPLE plans
- 412(i) Insured Only Agreement (*Form 9934*) – required for all 412(i) plans
- Trust Certification (*Form 5213*) - required for all trust owned annuities

### Replacement or Transfer

- Request for Policy/Account Transfer or Exchange (*Form 9685*)
- Replacement Form (*State specific*) - See attached listing for requirements (*Form 2630*)  
*Note: If your state requires a Notice (Form 8200), this form is required even if the transaction is not a replacement. It simply asks the replacement question. If answered yes, then Notice of Replacement (Form 8027) is needed (state specific see Form 2630)*
- Multiple Premiums into an SPDA - (*Form 9387a*) is required if single premium product and monies from more than one source
- Annuity Internal Exchange/Transfer Request (*Form 2804*) - Also requires necessary replacement forms

### New 457 Group Set-Up

- Application for 457 Group Annuity (*Form 7310*)
- Employer Authorization Letter (*Form 9227*)
- 457 Adoption Agreement
- 457 Plan Document

### Billing

- PAC - (*Form 1037*) Request for Pre-Authorization Check Plan
- Billing Information for a New List Bill\* (*Form 4258 for 403(b) / Form 4258N for non-403(b)*)

\* **Reminder:** Please complete a salary reduction/deduction agreement and forward to the employer's payroll department.

### Single Premium Immediate Annuity - In Addition to the Application:

- W-4P Withholding for Pension/Annuity Payments (*Form 9485*)
- Payout Projection/Quote
- Certified Copy of Birth Certificate if choosing one of the "Life" payout options
- Request for Taxpayer ID Number - Sub IRS W-9 (*Form 6868*)

### Guaranteed Lifetime Income Rider (GLIR)

- In addition to this transmittal, attach and follow guidelines on the GLIR Transmittal (*Form 9736*)

### Comments or Special Instructions

### Special Notes

- LSW only accepts joint owners if they are spouses. The beneficiary must be "The Surviving Spouse".
- LSW cannot accept joint annuitants.
- Owner and Annuitant must be the same, unless owned by a non-natural person (i.e. Trust/Plan owned.)

State	Replacements		Suitability	Other Required State Forms
	NAIC ?	Form #	<i>Form #9849 not required for the SecurePlus Saver Series</i>	
Alaska	NAIC	8200 / 8027	9849 (All Ages-Non Qualified, IRA, Roth, SPIA) - 07/08	N/A
Alabama	NAIC	8200 / 8027	9849 (All Ages-Non Qualified, IRA, Roth, SPIA)	N/A
Arkansas		8027AR	9849 (Owner Age 65 or Older-Non Qualified, IRA, Roth, SPIA)	N/A
Arizona	NAIC	8200 / 8027	9849 (All Ages-Non Qualified, IRA, Roth, SPIA)	N/A
California		8027CA	8196 (Age 65 or older) - <i>Required for all products including SecurePlus Saver Series</i>	N/A
Colorado	NAIC	8200 / 8027	9849 (All Ages-Non Qualified, IRA, Roth, SPIA)	N/A
Connecticut		N/A	9849 (All Ages-Non Qualified, IRA, Roth, SPIA) - 11/08	9801-PMR 3
Delaware		8027DE	9849 (Owner Age 65 or Older-Non Qualified, IRA, Roth, SPIA)	N/A
Dist. of Columbia		N/A	N/A	N/A
Florida		8027FL / 8444*	9849 (Owner Age 65 or Older-Non Qualified, IRA, Roth, SPIA)	N/A
Georgia		8027GA	9849 (All Ages-Non Qualified, IRA, Roth, SPIA)	N/A
Hawaii	NAIC	8200 / 8027	9849 (All Ages-Non Qualified, IRA, Roth, SPIA) - 01/08	N/A
Idaho		8027ID	9849 (All Ages-Non Qualified, IRA, Roth, SPIA) - 07/08	N/A
Illinois		8027ILA & 8027ILB	9849 (All Ages-Non Qualified, IRA, Roth, SPIA) - 01/08	N/A
Indiana		8027IN	9849 (All Ages-Non Qualified, IRA, Roth, SPIA) - 01/08	N/A
Iowa	NAIC	8200 / 8027	9849 (All Ages-Non Qualified, IRA, Roth, SPIA)	N/A
Kansas		8027KSA or 8027KSB**	9849 (All Ages-Non Qualified, IRA, Roth, SPIA)	4300KS - SPDA Products
Kentucky	NAIC	8200 / 8027	9849 (All Ages-Non Qualified, IRA, Roth, SPIA) - 01/08	N/A
Louisiana	NAIC	8200 / 8027	9849 (All Ages-Non Qualified, IRA, Roth, SPIA)	N/A
Maine	NAIC	8200 / 8027	9849 (All Ages-Non Qualified, IRA, Roth, SPIA)	N/A
Maryland	NAIC	8200 / 8027	9849 (All Ages-Non Qualified, IRA, Roth, SPIA)	N/A
Massachusetts		8027MA	9849 (All Ages-Non Qualified, IRA, Roth, SPIA)	N/A
Michigan		N/A	9849 (All Ages-Non Qualified, IRA, Roth, SPIA)	N/A
Minnesota		8027MN	N/A	N/A
Mississippi	NAIC	8200 / 8027	N/A	N/A
Missouri		8027MO	N/A	N/A
Montana	NAIC	8200 / 8027	9849 (All Ages-Non Qualified, IRA, Roth, SPIA)	N/A
Nebraska	NAIC	8200 / 8027	9849 (All Ages-Non Qualified, IRA, Roth, SPIA) - 10/08	N/A
Nevada		8027NV	9849 (All Ages-Non Qualified, IRA, Roth, SPIA)	8634NV
New Hampshire	NAIC	8200 / 8027	9849 (All Ages-Non Qualified, IRA, Roth, SPIA) - 02/09	N/A
New Jersey	NAIC	8200 / 8027	9849 (All Ages-Non Qualified, IRA, Roth, SPIA) - 04/09	N/A
New Mexico	NAIC	8200 / 8027	N/A	N/A
New York		Not Available For Sales	N/A	N/A
North Carolina	NAIC	8200 / 8027	9849 (All Ages-Non Qualified, IRA, Roth, SPIA) - 01/08	7879 - All Products
North Dakota	NAIC	8200 / 8027	9849 (All Ages-Non Qualified, IRA, Roth, SPIA)	N/A
Oklahoma		8027OK	9849 (All Ages-Non Qualified, IRA, Roth, SPIA)	N/A
Ohio	NAIC	8200 / 8027	9849 (All Ages-Non Qualified, IRA, Roth, SPIA)	6256OH - SPDA Products
Oregon	NAIC	8200 / 8027	N/A	N/A
Pennsylvania		8027PA	N/A	9689-PMR 8, 9631A-PMR 3
Rhode Island	NAIC	8200 / 8027	9849 (All Ages-Non Qualified, IRA, Roth, SPIA)	N/A
South Carolina		8027SC	N/A	N/A
South Dakota		8027SD	9849 (All Ages-Non Qualified, IRA, Roth, SPIA) - 07/08	N/A
Tennessee		8027TN	9849 (All Ages-Non Qualified, IRA, Roth, SPIA) - 07/08	N/A
Texas	NAIC	8200 / 8027	9849 (All Ages-Non Qualified, IRA, Roth, SPIA) - 01/08	TX Disclosure TSA/Flow grades K-12
Utah	NAIC	8200 / 8027	9849 (All Ages-Non Qualified, IRA, Roth, SPIA)	N/A
Vermont	NAIC	8200 / 8027	N/A	9392VT-Acc.3, 9394VT-Accu.5, 9419VT-Elite, 9454VT-TLC
Virginia	NAIC	8200 / 8027	9849 (All Ages-Non Qualified, IRA, Roth, SPIA)	N/A
Washington		8027WA	N/A	N/A
West Virginia	NAIC	8200 / 8027	9849 (All Ages-Non Qualified, IRA, Roth, SPIA) - 08/08	N/A
Wisconsin		8027WI	9849 (All Ages-Non Qualified, IRA, Roth, SPIA) - 09/08	N/A
Wyoming		8027WY	N/A	N/A

\* 8444 only required for internal exchanges (replacements).

\*\* 8027KSA is used for Other Company Transfers & 8027KSB is used for Internal Transfers.

NAIC Replacement States - Form # 8200 is **always** required, even if no replacement is involved.