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Your policy indicates its issuer, which is the company responsible for the policy obligations and is referred to herein as the 'Company'.

Deferred Comp – SERP Submission Checklist

For Assistance: 800-654-4278,
options 4,2,3

Employer Info	<p>Employer Name: _____</p> <p>Federal Tax ID: _____</p> <p>Business (Tax) Structure: <input type="checkbox"/> C-Corp <input type="checkbox"/> S-Corp <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Partnership (or LLP)</p> <p> <input type="checkbox"/> LLC-taxed as C-Corp <input type="checkbox"/> LLC-taxed as S-Corp <input type="checkbox"/> LLC-taxed as Partnership</p> <p> <input type="checkbox"/> Tax Exempt <input type="checkbox"/> Other: _____</p> <p>Employer Address: _____</p> <p>_____</p> <p>_____</p> <p>Employer Contact: _____</p> <p> (Name) (Title)</p> <p>_____</p> <p> (Email Address) (Phone #)</p>
Plan Info	<p>Formal Plan Name: _____</p> <p>Effective Date of Plan: _____</p>
Life Insurance Financing Method	<p>Select one:</p> <p><input type="checkbox"/> Individual financing – Purchase/maintain one key person life insurance policy per participant, to informally fund that specific participant’s future benefits.</p> <p><input type="checkbox"/> Aggregate financing – Purchase/maintain one or more key person life insurance policies to informally fund all of the participants’ future benefits collectively.</p>
Underwriting	<p><input type="checkbox"/> Full Underwriting <input type="checkbox"/> Simplified Issue-Standard/Decline**</p> <p>** Simplified Issue underwriting program requires Principal’s pre-approval – see Page 2.</p>
Plan Submission	<p>Refer to next page –  Checklist & Tips – for help submitting this business plan.</p>



Checklist & Tips

Use this list to help submit your Deferred Comp – SERP plan.

For all Deferred Comp – SERP plans, submit...	<input type="checkbox"/> Page 1 of this Deferred Comp – SERP Submission Checklist (submit only 1 per plan, not per application) <input type="checkbox"/> Life Insurance Application(s) <input type="checkbox"/> Employee Consent to be Insured form (one per proposed insured) <input type="checkbox"/> Life Insurance Illustration(s) or corresponding Disclosure(s) <input type="checkbox"/> Copies of formal Adoption Agreement, Deferred Comp – SERP Plan Document, and Enrollment Packets. <input type="checkbox"/> Roles and Responsibilities Acknowledgement (signed) <input type="checkbox"/> Copy of Electronic U.S. DOL “Top Hat” Confirmation Statement
If Endorsement Split Dollar will apply in pre-retirement years...	<input type="checkbox"/> Copy of formal Split Dollar Agreement (one per participant) <input type="checkbox"/> Form DD 914 E - Endorsement Split Dollar Benefit Instructions (one per participant) (<u>Note</u> : On each Life App, Beneficiary field should read, “See Split Dollar Benefit Instructions.”)
For Simplified Issue Underwriting	<input type="checkbox"/> Copy of Principal correspondence (a prior email or letter) pre-approving use of the Simplified Issue Underwriting Program.
For Trust-Owned Policies	<input type="checkbox"/> Trust Certification and Indemnification form RF 971