Principal National Life Insurance Company
Principal Life Insurance Company
P.O. Box 10431, Des Moines, IA 50306-0431
www.principal.com
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	Employer Name: ______ Federal Tax ID: ______ Business (Tax) Structure: ☐ C-Corp ☐ S-Corp ☐ Sole Proprietorship ☐ Partnership (or LLP) ☐ LLC-taxed as C-Corp ☐ LLC-taxed as S-Corp ☐ LLC-taxed as Partnership ☐ Tax Exempt ☐ Other: ______ Employer Address: ______ Employer Contact: ______ (Name) ______ (Title) ______ (Email Address) ______ (Phone #)
Plan Info	Formal Plan Name: ______ Effective Date of Plan: ______
Life Insurance Financing Method	Select one: ☐ **Individual financing –** Purchase/maintain one key person life insurance policy per participant, to informally fund that specific participant's future benefits. ☐ **Aggregate financing –** Purchase/maintain one or more key person life insurance policies to informally fund all of the participants' future benefits collectively.
Underwriting	☐ Full Underwriting ☐ Simplified Issue-Standard/Decline** ** Simplified Issue underwriting program requires Principal's pre-approval – see Page 2.
Plan Submission	Refer to next page – ✓**Checklist & Tips** – for help submitting this business plan.

Checklist & Tips

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

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