

National Life makes available to agents select marketing created by agents/agencies that may prove useful. By use of this submission form, you are authorizing National Life Group to share this piece in the firm's marketing library if it meets these criteria. We will remove all personalization before sharing. If you need an exception, please note this in the Comments section.

All appropriate sections must be completed in order to conduct our regulatory review. ***Mandatory sections**

* Submitted by: **Field:** Affiliated (Career) NLFC Field Staff
 Independent ESI Independent
 Home Office **3rd Party/Vendor**

* Field (List Agency Name & Number) / Home Office (List Department): _____

* Person Requesting: _____

* Date: _____ Date Needed:¹ _____

* Email: _____

* Phone No. and/or Ext.: _____

* User Name(s): (Agent, Agency, or HO dept. List additional users in comments section)

Contracts/Licenses:

Insurance:

Securities: Series 6 Series 7 IAR

* Title of submitted piece:

Endorsement/Testimonial Any compensation provided to giver? Y N

* Previously submitted & approved: **TC #:** _____

Pre-Approved from website: **TC #:** _____

Newly-created piece **Previous TC #:** _____

* Number of pages: (excl. this form) _____

If any changes were made to this piece since we last reviewed it, please provide details in the Comments section.

Foreign Language²: Language: _____

Home Office Pieces (Technical Review - For Illustrations, Financial standing, etc.)

* State(s) Used In: All Specific State(s): (* list below)

This material has been technically reviewed by: _____

* If NY, estimated copies distributed: _____

Home Office only - Cat.#: _____

* **Description of Communication/Marketing Being Submitted** (Check all that apply)

Ad (print ad, web banner, etc.)

Incentive³/Contest/Award (include incentive form)

Public Speaking - with presentation (See Public Speaking section)

Article

Illustration

Radio/Television Ad (not interview/show)

Where/how will article be published: _____

Letter/Form Letter

Live Announcement

Self-written

New Sales/Marketing System (ex. MoneyTrax, Emerald, etc.)

Pre-recorded (need .mp3/.mp4 format)

Third Party

System vendor name/website: _____

Social Media

Third Party Source/Date: _____

Email Print Online

Site Name: _____

If Third Party - Permission to reprint?

Yes No

Newsletter

Existing (already published) URL Address: _____

Brochure/Booklet

Company? _____

Print Email

Circular/Leaflet/Flyer

Other: _____

New (not yet published)

Directory Listing

Online

Phone Script

Telemarketing Voicemail

Stationery (business card, letterhead, fax cover sheet, bio, email signature)

Print

Podcast/Audio (.mp3 format-no links)

Video (need .mp4 format - no links)

Email - to be sent via:

Outlook (sent by individual agent, RR, IAR or HO employee)

Postcard/Reply Card

Website

Salesforce (HO only - mass email)

Poster/Sign

URL Address: _____

MailChimp (HO only - mass email)

Presentation only

1:1 prospecting Template (Home Office)

Other - Specify: _____

Internal Training Seminar

Fact Finder/Form/Questionnaire

Public Speaking - no presentation (See Public Speaking section)

Comments: (Please include any comments that would help us understand how the submission will be used.)

Compliance Review Request - Continued

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*** Dissemination (Please check ALL methods that will be used to distribute this):**

- Audio/Video (Presentation)
- Electronic
 - Email Fax Webex
 - Web: _____ URL/Address
 - Agent Use (password protected) Public
- Print
 - Handout Publication: (Please list publication(s)) _____
- Radio: _____ Station
- Television: _____ Station
- Third party will distribute (please provide details in Comments section)

*** Audience (Who is this intended to influence/educate?):**

- Agent - NLIC and/or LSW (Agent Use Only)
 - Affiliated Independent
 - NLFC
- CPAs/Attorneys (Financial Professional Use Only)
- Home Office (Internal Use Only)
- Public
- Recruiting (to become an agent, RR or employee)
 - to other firm's life/annuity agents
 - to other firm's registered representatives
 - to the public
- Registered Representatives - ESI (Registered Representatives Use Only)

Public Speaking⁴ (Seminar, Client Appreciation, Training, Networking Speech, etc.)

In addition to the previous sections of this form, please also provide the following information about the event(s) and associated materials:

- Type of Public Speaking Event: Seminar Q&A/Open Forum Television or Radio Client Appreciation
 Networking/Industry Group Other _____

Date(s) of Event: _____

Presenters (List all):

Licensing:

NLIC	LSW	S6	S7	IAR	Third Party Presenter
<input type="checkbox"/>					
<input type="checkbox"/>					
<input type="checkbox"/>					

- Materials: Presentation & Script Previously Approved (If Yes, provide TC#(s)) Yes No _____
- Invitation Yes No _____
- Handout(s) Yes No _____
- Evaluation Sheet Yes No _____

Third party presentations, please include FINRA review letter, if applicable.

If no invitations are submitted, how are attendees notified? _____

ESI Registered Representatives - will this be attended by a Registered Principal? Yes No

If Yes, list name and title of supervisor: _____

If you will receive marketing support payments/reimbursements from Offerors, please submit ESI's Marketing Support/Reimbursement form (ES0487) to your Designated Supervisor and ESI Compliance for prior approval.

Please submit all materials for a public speaking event as one package. You may submit multiple dates for identical events.

Products/Services Discussed or Intended to be sold: (Check all that apply)

- Annuity, Fixed/Indexd Financial Planning Life, Term Life, WL
- Annuity, Variable Investment Advisory Services Life, UL Mutual Funds
- Brokerage Life, IUL Life, VUL Other _____

¹ Our goal is to provide our initial review in less than 5 business days. Agent-created, complex, and lengthy reviews may require more time. We will make every effort to accommodate the occasional rush request.

² Please refer to the Process for Creating Multi-Cultural Marketing Materials for guidelines and requirements - this can be found on the website Training/Compliance/Compliance Manual.

³ Incentives
Any communication that references a new award, contest or incentive (example - President's Club, Chairman's Club, Club credits, agency sales contest, etc.) needs to also include a completed ESI Incentive Request for Approval - #ES0428, Catalog #50584. This can be found by searching forms on the website, switching the Division to ESI, and including "incentive" in the search field.

⁴ Public speaking includes presentations to a group of customers, prospective customers or, participation in a seminar, forum (including an interactive electronic forum), radio or television interview, or other public appearance or public speaking activity. Planned remarks must be scripted and submitted for prior review and approval, in the absence of a powerpoint or other visual presentation. If a powerpoint type of presentation is used, in addition to the graphic slides, please also include a script detailing the speaker's planned remarks about the slides

Materials are NOT approved until you receive an approval e-mail from the Advertising Guidance Team.