



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

☐ Self-written

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

☐ Third Party

☐ System vendor name/website:

Third Party Source/Date: _____

If Third Party - Permission to reprint?

☐ Yes ☐ No

☐ Email ☐ Print ☐ Online

☐ Newsletter

☐ Company? _____

☐ Social Media

Site Name: _____

☐ Brochure/Booklet

☐ Print ☐ Email

☐ Circular/Leaflet/Flyer

☐ Other: _____

☐ Directory Listing

☐ Online

☐ Phone Script

☐ Print

☐ Telemarketing ☐ Voicemail

☐ Email - to be sent via:

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

☐ Podcast/Audio (.mp3 format-no links)

☐ Salesforce (HO only - mass email)

☐ Postcard/Reply Card

☐ MailChimp (HO only - mass email)

☐ Poster/Sign

☐ Other - Specify: _____

☐ Presentation only

☐ 1:1 prospecting ☐ Template (Home Office)

☐ Internal Training ☐ Seminar

☐ Fact Finder/Form/Questionnaire

☐ Public Speaking - no presentation
(See Public Speaking section)

☐ New (not yet published)

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

☐ Video (need .mp4 format - no links)

☐ Website

URL Address: _____

☐ Existing (already published)
URL Address: _____

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

Compliance Review Request - Continued

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

* 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"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Materials: Previously Approved (If Yes, provide TC#(s))

- ☐ Presentation & Script ☐ 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)

- | | | | |
|---|---|-------------------------------------|---------------------------------------|
| <input type="checkbox"/> Annuity, Fixed/Indexed | <input type="checkbox"/> Financial Planning | <input type="checkbox"/> Life, Term | <input type="checkbox"/> Life, WL |
| <input type="checkbox"/> Annuity, Variable | <input type="checkbox"/> Investment Advisory Services | <input type="checkbox"/> Life, UL | <input type="checkbox"/> Mutual Funds |
| <input type="checkbox"/> Brokerage | <input type="checkbox"/> Life, IUL | <input type="checkbox"/> Life, VUL | <input type="checkbox"/> 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.