

**1. Purpose**

To be used by Nationwide Retirement Plans Private Sector Sales to request Advanced Underwriting when non-standard pricing is desired.

**2. Instructions**

1. All sections with an asterisk \* must be completed prior to submission. Incomplete requests will be returned.
2. Examples of supporting documents include 5500 and/or current plan level statement.

**3. Dates and Contacts\***

Date of submission: \_\_\_\_\_ Desired response date: \_\_\_\_\_

Submitter Name: \_\_\_\_\_ Administrative Firm # (if PPA/TPA): \_\_\_\_\_

Regional Vices President (RVP): \_\_\_\_\_

Regional Internal Consultant (RIC): \_\_\_\_\_

**NOTE:** if using bundled for Administrative Firm, please Cc (copy) NRP4YOU on email request to Advanced Underwriting.

**4. Plan Information\***

Legal Plan Name: \_\_\_\_\_

State in which Plan is located: \_\_\_\_\_ First Day of the Plan Year: \_\_\_\_\_

Industry: \_\_\_\_\_

Financial Advisor: \_\_\_\_\_

Broker/Dealer: \_\_\_\_\_

Is this a governmental plan? ☐ No ☐ Yes, (requires approval by National Sales Manager)

Is this a Multiple Employer plan? ☐ No ☐ Yes, (PNF-0166AO must accompany this request)

Is this a Multi-employer plan? ☐ No ☐ Yes, (PNF-0166AO must accompany this request)

Is this a 7,000+ participant plan? ☐ No ☐ Yes, (PNF-0166AO must accompany this request)

**Plan Type:** ☐ 401(k) ☐ 403(b)<sup>1</sup> ☐ Defined Benefit (DB) ☐ Cash Balance ☐ 457

☐ Executive Deferred Compensation (EDC) ☐ Other: \_\_\_\_\_

<sup>1</sup>If selected, the 403(b) section is required

Number of participants with a balance: \_\_\_\_\_

**NOTE:** This number includes all active, terminated, and vested participants with a balance.

**5. Assets\***

Assets transferring to Nationwide: \$ \_\_\_\_\_ Expected Date of Transfer: \_\_\_\_\_

Recurring Contributions to Nationwide: \$ \_\_\_\_\_

**6. Program Information\*****Variable Program<sup>1</sup>**

- ☐ Retirement Innovator Advantage
- ☐ Retirement Flexible Advantage
- ☐ Retirement Resource<sup>2</sup>

<sup>1</sup>Minimum \$50k required in first year assets

<sup>2</sup>Only available with Home Office approval

**Fixed Options**

- ☐ Nationwide Fixed Select<sup>3</sup>
- ☐ Nationwide Bank FDIC Insured Deposit Account<sup>4</sup>
- ☐ Retirement Advisor Fixed

<sup>3</sup>Not available for 403(b), DB, and EDC plans

<sup>4</sup>Not available for 403(b) plans

**7. Desired Compensation\***☐ Fee Based Advisor☐ Standard Comp: Table #: \_\_\_\_\_ and Add On Trail: \_\_\_\_\_☐ Special Comp Arrangement: Deposit Comp: \_\_\_\_\_ and Add On Trail: \_\_\_\_\_  
(increments of 25bps paid in year 1 only) (will begin immediately)**8. Self-Directed Brokerage\***Will Self-Directed Brokerage (SDB) accounts be utilized? ☐ No ☐ Yes

If Yes, what percent of plan assets will be placed in SDB: \_\_\_\_\_%

**9. 403(b) Plans****NOTE:** Nationwide only accepts non-ERISA 403(b) plans for religious institutions.Is this an ERISA 403(b) plan? ☐ No ☐ YesWho controls the account/contract? ☐ Individual Participant ☐ Plan SponsorWill Nationwide receive all plan assets? ☐ No ☐ YesWill Nationwide receive all future contributions? ☐ No ☐ Yes**10. Pricing Scenario\***☐ **Expense Credit Pricing**

Amount of Expense Credit required: \$\_\_\_\_\_ or % of Transfer Assets: \_\_\_\_\_%

Transfer Assets, after surrender charge is applied: \$\_\_\_\_\_

Expected Date of Transfer: \_\_\_\_\_

Desired length of CDSC schedule in years (generally a minimum of 5 years): \_\_\_\_\_

☐ **Plans priced together**

Number of plans: \_\_\_\_\_ Number of cases at Nationwide: \_\_\_\_\_

Is there a single Decision Maker? ☐ No ☐ Yes

Plan Name & Plan Number	Transfer Assets	Recurring Contributions	Participants w/ Balance
	\$	\$	
	\$	\$	
	\$	\$	
	\$	\$	

☐ **Billing Asset Fee - Note:** Only trail commission comp can be used for billing option.Will the Nationwide asset fee will be billed to the Plan Sponsor? ☐ No ☐ Yes

If Yes, please provide asset breakdown:

Variable Assets: \$\_\_\_\_\_ Fixed Assets: \$\_\_\_\_\_ SDB Assets: \$\_\_\_\_\_

☐ **Other Pricing Requested**

Describe objectives, special compensation options, ancillary income discount, and any other pertinent information in detail:

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**11. Submission Instructions**

Please email request, along with all documentation, to the Advanced Underwriting team at: ADVUNDER@nationwide.com.

**NOTE:** Submitting to individuals' e-mails will delay the processing of your request. Failing to Cc (copy) NRP4YOU on the email request when bundled is the Administrative firm will also delay the processing of your request.