The Variable Annuity Life Insurance Company (VALIC)

Forms Usage by Transaction Guide

For Independent Channel Partners

VL 18546 VER 10/2023

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Please contact VALIC Internal Wholesaling for sales completion assistance at 1-877-246-4501

VALIC – Enrollment

Transaction/ Form Number	Form Name	Description
Enroll Participants in Portfolio Director (PD) Group Contract		
VL 26995 VL 26995-FL VL 26995-NJ VL 26995-NY VL 26995-VA	Portfolio Director Fixed and Variable Annuity Enrollment Form	Used exclusively by external broker-dealers to enroll participants in a qualified GROUP annuity contract. Use the appropriate state specific version if the application is signed in FL, NJ, NY or VA.
VL 259	Notice Regarding Standards for Medi-Cal Eligibility	Required for all VALIC annuity products (fixed, variable, qualified and nonqualified) being sold to clients who reside in CA and are 65 years of age or older if the product is being sold on the basis of its treatment under the California Medi-Cal program.
VL 3526	Section 403(b) Salary Reduction Agreement - No Roth	If applicable, used to authorize salary reductions for 403(b) plans.
VL 3526-ROTH	Section 403(b) Salary Reduction Agreement - With Roth	If applicable, used to authorize salary reductions for 403(b) plans with Roth deferral available.
VL 4546	Authorization to Defer Salary to a 401(k) Plan	If applicable, used to defer client salary to a 401(k) plan. VALIC does not require copies.
VL 4546-ROTH	Authorization to Defer Salary to a 401(k) Plan	If applicable, used to defer client salary to a 401(k) plan that allows Roth 401(k) contributions. VALIC does not require copies.
VL 8495	Deferred Compensation Agreement	If applicable, used to defer compensation pursuant to the Employee's Deferred Compensation Plan. VALIC does not require copies.
VL 8495-ROTH	Deferred Compensation Agreement 457(b) Governmental Plan	If applicable, used to defer compensation of a 457(b) Governmental plan pursuant to the Employee's Deferred Compensation Plan.
VL 10330	SIMPLE 401(k) Salary Reduction Agreement	If applicable, used to authorize salary reductions for SIMPLE 401(k) plans. VALIC does not require copies.
VL 11411	Portfolio Director Investment Options	Used to provide additional fund selection space as an addendum to applications, enrollment, internal combination/ rollover and the enrollment and product exchange forms.
VL 14118	403(b) Salary Reduction and 457(b) Deferred Compensation Agreement - No Roth	If applicable, used to authorize salary reductions and/ or compensation deferrals for groups that offer plans to employees. Plan must offer both plans to use this form.
VL 14118-ROTH	403(b) Salary Reduction and 457(b) Deferred Compensation Agreement - With Roth	If applicable, used to authorize salary reductions and/ or compensation deferrals for groups that offer plans to employees with Roth deferral available.
VL 14131	Model Replacement Form	Required when establishing new business in the following states: AK-AL-AR-AZ-CO-CT-HI-IA-KY-LA-MD-ME-MO-MS-MT-NC-NE-NH-NJ-NM-OH-OR-RI-SD-SC-TX-UT-VT-WI-WV.
VL 23180	Uniform Disclosure Notice 403(b) Series 1 - Independent Channel	Required by the Texas Retirement System. This form must accompany any new K-12 403(b) applications for a Series 1 contract.
VL 23181	Uniform Disclosure Notice 403(b) Series 5 - Independent Channel	Required by the Texas Retirement System. This form must accompany any new K-12 403(b) applications for a Series 5 contract.
VL 22305	Agent Access Authorization Form	Used to grant account access to Agents as named by the client or to establish a Contact Center password on the client's account.
VL 26470-B	Disclosure and Comparison of Annuity Contracts	Required for all Florida transactions when purchasing an annuity product and the source of the money is another annuity. Signature pages must be signed.

VL 23303	Affidavit and Indemnification of Custodian for Minors	Used to open an IRA/Roth IRA in the name of a Minor. Affiant agrees to indemnify VALIC, including its agents, employees, successors, and assigns, from every claim, demand, or suit brought against them and from every liability arising out of VALIC's establishment and maintenance of said account(s) in the name of the Minor.
VL 23765-IC	State of New York Compensation Disclosure - IC	Used when enrolling clients in Group or Individual Annuity products in the state of New York; informing the client regarding VALIC's policy of compensating its insurance producers and their role in offering insurance products.

Enroll Participants in Portfolio Director (PD) Choice Group Contract

VL 26995-CHOICE VL 26995-FL CHOICE VL 26995-NJ CHOICE VL 26995-NY CHOICE VL 26995-VA CHOICE	Portfolio Director Choice Fixed and Variable Annuity Enrollment Form	Used exclusively by external broker-dealers to enroll participants in a qualified GROUP Choice annuity contract. Use the appropriate state specific version if the application is signed in FL, NJ, NY or VA. Effective June 9, 2017, Portfolio Director (PD) Choice was discontinued for new group sales. As an exception, groups that are part of a consortium, e.g. Florida Independent Benefits Council (IBC), will continue to be allowed to open new plans under PD Choice due to a contract provision.
VL 259	Notice Regarding Standards for Medi-Cal Eligibility	Required for all VALIC annuity products (fixed, variable, qualified and nonqualified) being sold to clients who reside in CA and are 65 years of age or older if the product is being sold on the basis of its treatment under the California Medi-Cal program.
VL 3526	Section 403(b) Salary Reduction Agreement - No Roth	If applicable, used to authorize salary reductions for 403(b) plans.
VL 3526-ROTH	Section 403(b) Salary Reduction Agreement - With Roth	If applicable, used to authorize salary reductions for 403(b) plans with Roth deferral available.
VL 4546	Authorization to Defer Salary to a 401(k) Plan	If applicable, used to defer client salary to a 401(k) plan. VALIC does not require copies.
VL 4546-ROTH	Authorization to Defer Salary to a 401(k) Plan	If applicable, used to defer client salary to a 401(k) plan that allows Roth 401(k) contributions. VALIC does not require copies.
VL 8495	Deferred Compensation Agreement	If applicable, used to defer compensation pursuant to the Employee's Deferred Compensation Plan. VALIC does not require copies.
VL 8495-ROTH	Deferred Compensation Agreement 457(b) Governmental Plan	If applicable, used to defer compensation of a 457(b) Governmental plan pursuant to the Employee's Deferred Compensation Plan.
VL 10330	SIMPLE 401(k) Salary Reduction Agreement	If applicable, used to authorize salary reductions for SIMPLE 401(k) plans. VALIC does not require copies.
VL 11411	Portfolio Director Investment Options	Used to provide additional fund selection space as an addendum to applications, enrollment, internal combination/ rollover and the enrollment and product exchange forms.
VL 14118	403(b) Salary Reduction and 457(b) Deferred Compensation Agreement - No Roth	If applicable, used to authorize salary reductions and/ or compensation deferrals for groups that offer plans to employees. Plan must offer both plans to use this form.
VL 14118-ROTH	403(b) Salary Reduction and 457(b) Deferred Compensation Agreement - With Roth	If applicable, used to authorize salary reductions and/ or compensation deferrals for groups that offer plans to employees with Roth deferral available.
VL 14131	Model Replacement Form	Required when establishing new business in the following states: AK-AL-AR-AZ-CO-CT-HI-IA-KY-LA-MD-ME-MO-MS-MT-NC-NE-NH-NJ-NM-OH-OR-RI-SD-SC-TX-UT-VT-WI-WV.
VL 23180	Uniform Disclosure Notice 403(b) Series 1 - Independent Channel	Required by the Texas Retirement System. This form must accompany any new K-12 403(b) applications for a Series 1 contract.

VL 23181	Uniform Disclosure Notice 403(b) Series 5 - Independent Channel	Required by the Texas Retirement System. This form must accompany any new K-12 403(b) applications for a Series 5 contract.
VL 22305	Agent Access Authorization Form	Used to grant account access to Agents as named by the client or to establish a Contact Center password on the client's account.
VL 26470-B	Disclosure and Comparison of Annuity Contracts	Required for all Florida transactions when purchasing an annuity product and the source of the money is another annuity. Signature pages must be signed.
VL 23303	Affidavit and Indemnification of Custodian for Minors	Used to open an IRA/Roth IRA in the name of a Minor. Affiant agrees to indemnify VALIC, including its agents, employees, successors, and assigns, from every claim, demand, or suit brought against them and from every liability arising out of VALIC's establishment and maintenance of said account(s) in the name of the Minor.
VL 23765-IC	State of New York Compensation Disclosure - IC	Used when enrolling clients in Group or Individual Annuity products in the state of New York; informing the client regarding VALIC's policy of compensating its insurance producers and their role in offering insurance products.

Inside Edge Mutual Fund Program

Transaction/ Form Number	Form Name	Description
Employee Enrollment		
VL 14131	Model Replacement Form	Required when establishing new business in the following states: AK-AL-AR-AZ-CO-CT-HI-IA-KY-LA-MD-ME-MO-MS-MT-NC-NE-NH-NJ-NM-OH-OR-RI-SD-SC-TX-UT-VT-WI-WV.
VL 14118	403(b) Salary Reduction and 457(b) Deferred Compensation Agreement	If applicable, used to authorize salary reductions and/or compensation deferrals for groups that offer both 403(b) and 457(b) plans. VALIC does not require copies.
VL 14118-ROTH	403(b) SRA and 457(b) Deferred Compensation Agreement – Roth	Used to authorize a salary reduction and deferral of compensation for groups offering both plans to employees with Roth deferral available.
VL 22305	Agent Access Authorization Form	Used to grant account access to Agents as named by the client or to establish a Contact Center password on the client's account.
Fixed-Interest Annuity and IRA / Fixed Annuity-406		
VL 26991 VL 26991-FL VL 26991-NJ VL 26991-NY VL 26991-VA	Fixed Interest Option Application (Annuity and IRA)	Used exclusively by external broker-dealers and must be completed for employee enrollments in either the 403(b) or 457(b) plans **and** for IRAs. PDF includes the Application (VL 26991) and the Owner Acknowledgement (VL 23769). This form **must** accompany the appropriate Custodial Application. Use the appropriate state specific version if the application is signed in FL, NJ, NY or VA.
OR		
VL 26991 (406) VL 26991-FL (406) VL 26991-NJ (406) VL 26991-NY (406) VL 26991-VA (406)	VALIC Fixed Annuity-406 Application	Used exclusively by external broker-dealers and must be completed for employee enrollments in either the 403(b) or 457(b) plans. PDF includes the Application (VL 26991 (406)) and the Owner Acknowledgement (VL 23768). This form **must** accompany the appropriate Custodial Application. Use the appropriate state specific version if the application is signed in FL, NJ, NY or VA .
VL 23431	Client Profile	Required to establish client accounts. Must be completed and submitted with every application, VALIC transfer/rollover/exchange, except VALIC group enrollments.
VL 259	Notice Regarding Standards for Medi-Cal Eligibility	Required for all VALIC annuity products (fixed, variable, qualified and nonqualified) being sold to clients who reside in CA and are 65 years of age or older if the product is being sold on the basis of its treatment under the California Medi-Cal program.

VL 22059	Sale to Military Personnel Disclosure	This disclosure form is required **if** the client has answered YES to being an active duty service member of the United States Armed Forces for all individual nonqualified and IRA applications.
VC 26126	NAIC Buyers Guide for Deferred Annuities	Used to assist clients in understanding Fixed and Fixed Index Annuities in the following states AL, AK, AR, AZ, CO, FL, GA, HI, IA, ID, KY, ME, MO, MT, NV, NJ, NM, NC, ND, NY, OH, OK, OR, RI, SC, TX, UT, VT, WI and WV. Also required in AL, CO, FL, GA, IA, KY, ME, MO, NH, OH, RI, TX, WI and WV for Variable Annuities. Must be provided to clients at time of application for the following plan types only IRA, Roth IRA, SEP, Simple IRA and NQDA. Use appropriate guide based on client's state of residence.
VL 26470-A	Annuity Suitability Questionnaire	Required for all Florida transactions when purchasing a fixed annuity product regardless of how it is funded. Signature pages must be signed.
VL 26470-B	Disclosure and Comparison of Annuity Contracts	Required for all Florida transactions when purchasing an annuity product and the source of the money is another annuity. Signature pages must be signed.
VL 23303	Affidavit and Indemnification of Custodian for Minors	Used to open an IRA/Roth IRA in the name of a Minor. Affiant agrees to indemnify VALIC, including its agents, employees, successors, and assigns, from every claim, demand, or suit brought against them and from every liability arising out of VALIC's establishment and maintenance of said account(s) in the name of the Minor.
VL 23479	Payroll Deduction IRA Salary Reduction or Term Agreement	Used to authorize a reduction or terminate a salary reduction agreement for Traditional and Roth IRAs.
VL 23765-IC	State of New York Compensation Disclosure - IC	Used when enrolling clients in Group or Individual Annuity products in the state of New York; informing the client regarding VALIC's policy of compensating its insurance producers and their role in offering insurance products.
Mutual Fund 403(b)		
VL 21555 VL 21555-TX	Inside Edge 403(b) Custodial Account Application	Used exclusively by external broker-dealers and must be completed for employee enrollments in a 403(b) plan. Use state specific application based on the application sign / contract issue state of TX.
VL 21679	Individual 403(b) Custodial Account Agreement	This document **must** be provided to the client at enrollment in a 403(b) plan.
Mutual Fund 401(a)		
VL 22107	Inside Edge 401(a) Custodial Account Application	Used exclusively by external broker-dealers and must be completed for employee enrollments in a 401(a) plan.
Mutual Fund 457(b)		
VL 21706 VL 21706-TX	Inside Edge 457(b) Custodial Account Application	Used exclusively by external broker-dealers and must be completed for employee enrollments in a 457(b) plan. Use the appropriate state specific version if the application is signed in TX.
VL 21680	Inside Edge Individual 457(b) Custodial Account Agreement	This document **must** be provided to the client at enrollment in a 457(b) plan.
Mutual Fund IRA		
VL 21719	Inside Edge IRA Custodial Account Application	Used exclusively by external broker-dealers and must be completed for IRA applications.
VL 21748	Inside Edge IRA Custodial Account Agreement	This document **must** be provided to the client with the application for an IRA contract.
VL 22059	Sale to Military Personnel Disclosure	This disclosure form is required **if** the client has answered YES to being an active duty service member of the United States Armed Forces for all individual nonqualified and IRA applications.
VL 23479	Payroll Deduction IRA Salary Reduction or Term Agreement	Used to authorize a reduction or terminate a salary reduction agreement for Traditional and Roth IRAs.

VALIC – Investment Advisory Services

Transaction/ Form Number	Form Name	Description
Investment Advisory Services Authorization		
VL 22583	Investment Advisory Services Authorization Form	Required to establish Investment Advisory Services on a VALIC client account(s).

VALIC – Transfer Assets or Rollover Funds

Transaction/ Form Number	Form Name	Description
Transfer/Rollover into Existing VALIC Account		
VL 18484	Transfer/Rollover In Form *For all plan types*	Form used to initiate a transfer/rollover of funds from an outside carrier to a VALIC account. Also used for external Roth IRA conversions.
VL 25031	Request to Transfer Nonqualified/ Non-Insurance Funds to VALIC	Used exclusively by external broker-dealers to liquidate Nonqualified/Non-Insurance accounts and transfer funds to VALIC.
N/A	Other Carrier Paperwork (if required)	Other carriers often require their own forms along with VALIC forms before they will transfer funds. Please contact the other carrier to secure the necessary forms.
Appendix B	Replacement Form/Notice *Varies by state*	Some states have adopted Replacement Regulations that require clients receive a separate notice if the transaction is replacing or reducing the value of another contract. Refer to Appendix B for state specific forms.
Transfer/Rollover into New Portfolio Director or Inside Edge Account		
VL 18484	Transfer/Rollover In Form *For all plan types*	Form used to initiate a transfer/rollover of funds from an outside carrier to a VALIC account. Also used for external Roth IRA conversions.
VL 25031	Request to Transfer Nonqualified/ Non-Insurance Funds to VALIC	Used exclusively by external broker-dealers to liquidate Nonqualified/Non-Insurance accounts and transfer funds to VALIC.
VL 11411	Portfolio Director Investment Options	Used to provide additional fund selection space as an addendum to applications, enrollment, internal combination/ rollover and the enrollment and product exchange forms.
VL 22059	Sale to Military Personnel Disclosure	This disclosure form is required **if** the client has answered YES to being an active duty service member of the United States Armed Forces for all individual nonqualified and IRA applications.
VL 22305	Agent Access Authorization Form	Used to grant account access to Agents as named by the client or to establish a Contact Center password on the client's account.
VL 26470-B	Disclosure and Comparison of Annuity Contracts	Required for all Florida transactions when purchasing an annuity product and the source of the money is another annuity. Signature pages must be signed.
VL 23765-IC	State of New York Compensation Disclosure - IC	Used when enrolling clients in Group or Individual Annuity products in the state of New York; informing the client regarding VALIC's policy of compensating its insurance producers and their role in offering insurance products.
VC 26126	NAIC Buyers Guide for Deferred Annuities	Used to assist clients in understanding Fixed and Fixed Index Annuities in the following states AL, AK, AR, AZ, CO, FL, GA, HI, IA, ID, KY, ME, MO, MT, NV, NH, NJ, NM, NC, ND, OH, OK, OR, RI, SC, TX, UT, VT, WI and WV. Also required in AL, CO, FL, GA, IA, KY, ME, MO, NH, OH, RI, TX, WI and WV for Variable Annuities. Must be provided to clients at time of application for the following plan types only IRA, Roth IRA, SEP, Simple IRA and NQDA. Use appropriate guide based on client's state of residence.

N/A	Other Carrier Paperwork (if required)	Other carriers often require their own forms along with VALIC forms before they will transfer funds. Please contact the other carrier to secure the necessary forms.
Appendix B	Replacement Form/Notice *Varies by state*	Some states have adopted Replacement Regulations that require clients receive a separate notice if the transaction is replacing or reducing the value of another contract. Refer to Appendix B for state specific forms.

VALIC Product Application (choose appropriate application or enrollment form):

Group Portfolio Director Enrollment

VL 26995 VL 26995-FL VL 26995-NJ VL 26995-NY VL 26995-VA	Portfolio Director Group Enrollment Form	Used exclusively by external broker-dealers to enroll participants in a qualified GROUP contract. Use the appropriate state specific version if the application is signed in FL, NJ, NY or VA.
VL 23180	Uniform Disclosure Notice 403(b) Series 1 - Independent Channel	Required by the Texas Retirement System. This form must accompany any new K-12 403(b) applications for a Series 1 contract.
VL 23181	Uniform Disclosure Notice 403(b) Series 5 - Independent Channel	Required by the Texas Retirement System. This form must accompany any new K-12 403(b) applications for a Series 5 contract.
		Effective June 9, 2017, Portfolio Director (PD) Choice was discontinued for new group sales. As an exception, groups that are part of a consortium, e.g. Florida Independent Benefits Council (IBC), will continue to be allowed to open new plans under PD Choice due to a contract provision.

Group Portfolio Director Choice Enrollment

VL 26995-CHOICE VL 26995-FL CHOICE VL 26995-NJ CHOICE VL 26995-NY CHOICE VL 26995-VA CHOICE	Portfolio Director Choice Group Enrollment Form	Used exclusively by external broker-dealers to enroll participants in a qualified GROUP Choice contract. Use the appropriate state specific version if the application is signed in FL, NJ, NY or VA.
VL 23180	Uniform Disclosure Notice 403(b) Series 1 - Independent Channel	Required by the Texas Retirement System. This form must accompany any new K-12 403(b) applications for a Series 1 contract.
VL 23181	Uniform Disclosure Notice 403(b) Series 5 - Independent Channel	Required by the Texas Retirement System. This form must accompany any new K-12 403(b) applications for a Series 5 contract.

Inside Edge Product Application (choose appropriate application or enrollment form):

Employee Contract

Fixed-Interest Annuity and IRA / Fixed Annuity-406

VL 26991 VL 26991-FL VL 26991-NJ VL 26991-NY VL 26991-VA	Fixed Interest Option Application (Annuity and IRA)	Used exclusively by external broker-dealers and must be completed for employee enrollments in either the 403(b) or 457(b) plans **and** for IRAs. PDF includes the Application (VL 26991) and the Owner Acknowledgement (VL 23769). This form **must** accompany the appropriate Custodial Application. Use the appropriate state specific version if the application is signed in FL, NJ, NY or VA.
OR		
VL 26991 (406) VL 26991-FL (406) VL 26991-NJ (406) VL 26991-NY (406) VL 26991-VA (406)	VALIC Fixed Annuity-406 Application	Used exclusively by external broker-dealers and must be completed for employee enrollments in either the 403(b) or 457(b) plans. PDF includes the Application (VL 26991(406)) and the Owner Acknowledgement (VL 23768). This form **must** accompany the appropriate Custodial Application. Use the appropriate state specific version if the application is signed in FL, NJ, NY or VA .

Mutual Fund 401(a)

VL 22107	Inside Edge 401(a) Custodial Account Application	Used exclusively by external broker-dealers and must be completed for employee enrollments in a 401(a) plan.

Mutual Fund 403(b)		
VL 21555 VL 21555-TX	Inside Edge 403(b) Custodial Account Application	Used exclusively by external broker-dealers and must be completed for employee enrollments in a 403(b) plan. Use the appropriate state specific version if the application is signed in TX.
VL 21679	Inside Edge Individual 403(b) Custodial Account Agreement	This document **must** be provided to the client at enrollment in a 403(b) plan.
Mutual Fund 457(b)		
VL 21706 VL 21706-TX	Inside Edge 457(b) Custodial Account Application	Used exclusively by external broker-dealers and must be completed for employee enrollments in a 457(b) plan. Use the appropriate state specific version if the application is signed in TX.
VL 21680	Inside Edge Individual 457(b) Custodial Account Agreement	This document **must** be provided to the client at enrollment in a 457(b) plan.
Mutual Fund IRA		
VL 21719	Inside Edge IRA Custodial Account Application	Used exclusively by external broker-dealers and must be completed for IRA applications.
VL 21748	Inside Edge IRA Custodial Account Agreement	This document **must** be provided to the client with the application for an IRA contract.

Transfer/Rollover into existing Premiere 5 or Premiere 7 Annuity Account

VL 18484	Transfer/Rollover In Form *For all plan types*	Form used to initiate a transfer/rollover of funds from an outside carrier to a VALIC account. Also used for external Roth IRA conversions.
VL 25031	Request to Transfer Nonqualified/ Non-Insurance Funds to VALIC	Used exclusively by external broker-dealers to liquidate Nonqualified/Non-Insurance accounts and transfer funds to VALIC.
VL 23431	Client Profile	Required to establish client accounts. Must be completed and submitted with every application, VALIC transfer/rollover/exchange, except VALIC group enrollments.
VL 22305	Agent Access Authorization Form	Used to grant account access to Agents as named by the client or to establish a Contact Center password on the client's account.
VL 26470-A	Annuity Suitability Questionnaire	Required for all Florida transactions when purchasing a fixed annuity product regardless of how it is funded. Signature pages must be signed.
VL 26470-B	Disclosure and Comparison of Annuity Contracts	Required for all Florida transactions when purchasing an annuity product and the source of the money is another annuity. Signature pages must be signed.
VL 23765-IC	State of New York Compensation Disclosure - IC	Used when enrolling clients in Group or Individual Annuity products in the state of New York; informing the client regarding VALIC's policy of compensating its insurance producers and their role in offering insurance products.
N/A	Other Carrier Paperwork (if required)	Other carriers often require their own forms along with VALIC forms before they will transfer funds. Please contact the other carrier to secure the necessary forms.
Appendix B	Replacement Form/Notice *Varies by state*	Some states have adopted Replacement Regulations that require clients receive a separate notice if the transaction is replacing or reducing the value of another contract. Refer to the Appendix B for state-specific forms.

Transfer/Rollover to Another Carrier

Form available upon request	Used when a client requests a transfer to another company or a rollover to another company. May be used for a transfer to purchase service credits.* *A state form is also required for purchase of service credits.

VALIC – Make a Non-Financial Change

Refer to Appendix A for Assured Choice and POWER Index Annuity Administrative Forms.

Transaction/ Form Number	Form Name	Description
Note: Changes due to a VALIC set-up error do not need to be corrected by a form, but can be called into the Contact Center.		
Name Changes		
VL 15169	Administrative Change Form	Form must be accompanied by proof of name change (e.g., driver's license, Social Security card, marriage certificate, or court decree). Court decree must include page 1, page(s) pertaining to the change and signature page.
SSN Corrections		
VL 15169	Administrative Change Form	Used to correct Social Security information. Form must be accompanied by copy of client's Social Security card.
Address/Telephone Number Delivery Option Election Changes		
Submit via VALIC.com	N/A	Direct clients to VALIC.com to update their profile for address/phone changes or to change Personal Deliver-e, VALIC's electronic delivery service.
Beneficiary Designations		
VL 14945	Beneficiary Designation Form	Used to submit beneficiary designations. Spousal signature notarized or witnessed by a Plan Administrator required for ERISA accounts when a non-spouse is designated as primary beneficiary.
VL 14945-1	Additional Beneficiary Designation Sheet	Used to submit additional beneficiary designations. Form must be submitted with VL 14945, enrollment form or application.
VL 14945-2	Additional Custodian for Minors Sheet	Used to submit additional designations of beneficiaries who are minors. Form must be submitted with VL 14945, enrollment form or application.
VL 22415	Profile and Inside Edge Beneficiary Change Form	Used *Only* with Inside Edge.
Date of Birth Changes		
VL 15169	Administrative Change Form	Used to submit a change in the date of birth. Form must be accompanied by legal document that confirms correct date of birth (e.g., birth certificate, driver's license).
NQDA Ownership Changes		
VL 15169	Administrative Change Form	Used to submit a change of ownership for nonqualified contracts.
Grant Account Access to Someone Other than Client		
VL 22305	Account Access Authorization Form	Used to authorize account access to another person by the owner.
Living Benefit Option Cancellation		
VL 25414	Living Benefit Cancellation Form	Used for cancellation of IncomeLOCK and IncomeLOCK Plus option on Portfolio Director (PD) and Equity Director Contracts.
Discontinue Guided Portfolio Services Program		
VL 22529	Guided Portfolio Services Program change Authorization Form	Used to Discontinue the services provided by the GPS Program.
VL 28610	Trusted Contact Form	Used to establish a trusted contact for the client accounts, which in accordance with FINRA rules will allow Independent Channel advisors to communicate with the trusted contact when the firm has a reasonable belief of financial exploitation of the client.

VALIC – Make a Financial Change

Refer to Appendix A for Assured Choice and POWER Index Annuity Administrative Forms.

Transaction/ Form Number	Form Name	Description
Electronic Funds Transfer (Contributions)		
VL 16377	Electronic Contribution Agreement Form	Used to establish electronic fund transfers for IRAs, nonqualified tax-deferred annuities (NQDAs) and SEPs.
Record of Additional Deposit		
VL 8715	Record of Additional Deposit Form	Used to submit individual deposits to IRAs and NQDAs.
Transfers of Value		
Submit via VALIC.com	N/A	To request a transfer of value, submit via VALIC.com, or by calling 1-800-448-2542. Paper form can be used when client has reached their maximum number of transfer of values for the year. Financial Change Form VL 10386 – for limited use only.
Allocation Change		
Submit via VALIC.com	N/A	To request an allocation change, submit via VALIC.com, or by calling 1-800-448-2542. Paper form can be used when access to VALIC.com or by phone is unavailable. Financial Change Form VL 10386 – for limited use only.
Systematic Transfers of Value		
Submit via VALIC.com	N/A	To request a systematic transfer of value, submit via VALIC.com, or by calling 1-800-448-2542. Paper form can be used when access to VALIC.com or by phone is unavailable. Financial Change Form VL 10386 – for limited use only.
Internal Rollover - Inside Edge *Portfolio Director to Inside Edge*		
VL 9006	Internal Combination/Rollover Form	Used for partial and complete rollover requests from an existing VALIC annuity account to a VALIC account (new or existing) that is not under the same employer group. Also used to convert an IRA to a Roth IRA.
Appendix B	Replacement Form/Notice *Varies by state*	Some states have adopted Replacement Regulations that require clients receive a separate notice if the transaction is replacing or reducing the value of another contract. Refer to Appendix B for state specific forms.
Fixed-Interest Annuity and IRA / Fixed Annuity-406		
VL 26991 VL 26991-FL VL 26991-NJ VL 26991-NY VL 26991-VA	Fixed Interest Option Application (Annuity and IRA)	Used exclusively by external broker-dealers and must be completed for employee enrollments in either the 403(b) or 457(b) plans **and** for IRAs. PDF includes the Application (VL 26991) and the Owner Acknowledgement (VL 23769). This form **must** accompany the appropriate Custodial Application. Use the appropriate state specific version if the application is signed in FL, NJ, NY or VA.
OR		
VL 26991 (406) VL 26991-FL (406) VL 26991-NJ (406) VL 26991-NY (406) VL 26991-VA (406)	VALIC Fixed Annuity-406 Application	Used exclusively by external broker-dealers and must be completed for employee enrollments in either the 403(b) or 457(b) plans. PDF includes the Application (VL 26991 (406)) and the Owner Acknowledgement (VL 23768). This form **must** accompany the appropriate Custodial Application. Use the appropriate state specific version if the application is signed in FL, NJ, NY or VA .
VL 22059	Sale to Military Personnel Disclosure	This disclosure form is required **if** the client has answered YES to being an active duty service member of the United States Armed Forces for all individual nonqualified and IRA applications.

VC 26126	NAIC Buyers Guide for Deferred Annuities	Used to assist clients in understanding Fixed and Fixed Index Annuities in the following states AL, AK, AR, AZ, CO, FL, GA, HI, IA, ID, KY, ME, MO, MT, NV, NJ, NM, NC, ND, NY, OH, OK, OR, RI, SC, TX, UT, VT, WI and WV. Also required in AL, CO, FL, GA, IA, KY, ME, MO, NH, OH, RI, TX, WI and WV for Variable Annuities. Must be provided to clients at time of application for the following plan types only IRA, Roth IRA, SEP, Simple IRA and NQDA. Use appropriate guide based on client's state of residence.
VL 26470-A	Annuity Suitability Questionnaire	Required for all Florida transactions when purchasing a fixed annuity product regardless of how it is funded. Signature pages must be signed.
VL 26470-B	Disclosure and Comparison of Annuity Contracts	Required for all Florida transactions when purchasing an annuity product and the source of the money is another annuity. Signature pages must be signed.
VL 23479	Payroll Deduction IRA Salary Reduction or Term Agreement	Used to authorize a reduction or terminate a salary reduction agreement for Traditional and Roth IRAs.
Mutual Fund 403(b)		
VL 21555 VL 21555-TX	Inside Edge 403(b) Custodial Account Application	Used exclusively by external broker-dealers and must be completed for employee enrollments in a 403(b) plan. Use the appropriate state specific version if the application is signed in TX.
VL 21679	Individual 403(b) Custodial Account Agreement	This document **must** be provided to the client at enrollment in a 403(b) plan.
Mutual Fund 401(a)		
VL 22107	Inside Edge 401(a) Custodial Account Application	Used exclusively by external broker-dealers and must be completed for employee enrollments in a 401(a) plan.
Mutual Fund 457(b)		
VL 21706 VL 21706-TX	Inside Edge 457(b) Custodial Account Application	Used exclusively by external broker-dealers and must be completed for employee enrollments in a 457(b) plan. Use the appropriate state specific version if the application is signed in TX.
VL 21680	Inside Edge Individual 457(b) Custodial Account Agreement	This document **must** be provided to the client at enrollment in a 457(b) plan.
Mutual Fund IRA		
VL 21719	Inside Edge IRA Custodial Account Application	Used exclusively by external broker-dealers and must be completed for IRA applications.
VL 21748	Inside Edge IRA Custodial Account Agreement	This document **must** be provided to the client with the application for an IRA contract.
VL 22059	Sale to Military Personnel Disclosure	This disclosure form is required **if** the client has answered YES to being an active duty service member of the United States Armed Forces for all individual nonqualified and IRA applications.
VL 23479	Payroll Deduction IRA Salary Reduction or Term Agreement	Used to authorize a reduction or terminate a salary reduction agreement for Traditional and Roth IRAs.

Product Exchange / Product Upgrade

VL 9034	Enrollment and Product Exchange Form	Used to upgrade/exchange the product on an existing account. A separate application or enrollment form is not needed when using this form.
VL 11411	Portfolio Director Investment Options	Used to provide additional fund selection space as an addendum to applications, enrollment, internal combination/rollover and the enrollment and product exchange forms.
VL 22059	Sale to Military Personnel Disclosure	This disclosure form is required **if** the client has answered YES to being an active duty service member of the United States Armed Forces for all individual nonqualified and IRA applications.

VL 26470-B	Disclosure and Comparison of Annuity Contracts	Required for all Florida transactions when purchasing an annuity product and the source of the money is another annuity. Signature pages must be signed.
Appendix B	Replacement Form/Notice *Varies by state*	Some states have adopted Replacement Regulations that require clients receive a separate notice if the transaction is replacing or reducing the value of another contract. Refer to Appendix B for state specific forms.

Roth Conversions and Recharacterizations

VALIC to VALIC

VL 9006	Internal Combination/Rollover Form	Used for partial and complete rollover requests from an existing VALIC annuity account to a VALIC account (new or existing) that is not under the same employer group. Also used to convert an IRA to a Roth IRA.
VL 22059	Sale to Military Personnel Disclosure	This disclosure form is required **if** the client has answered YES to being an active duty service member of the United States Armed Forces for all individual nonqualified and IRA applications.
VL 22305	Agent Access Authorization Form	Used to grant account access to Agents as named by the client or to establish a Contact Center password on the client's account.
VL 26470-A	Annuity Suitability Questionnaire	Required for all Florida transactions when purchasing a fixed annuity product regardless of how it is funded. Signature pages must be signed.
VL 26470-B	Disclosure and Comparison of Annuity Contracts	Required for all Florida transactions when purchasing an annuity product and the source of the money is another annuity. Signature pages must be signed.
VL 259	Notice Regarding Standards for Medi-Cal Eligibility	Required for all VALIC annuity products (fixed, variable, qualified and nonqualified) being sold to clients who reside in CA and are 65 years of age or older if the product is being sold on the basis of its treatment under the California Medi-Cal program.

To be used for Inside Edge, Premiere 5 & Premiere 7 Products.

VC 26126	NAIC Buyers Guide for Deferred Annuities	Used to assist clients in understanding Fixed and Fixed Index Annuities in the following states AL, AK, AR, AZ, CO, FL, GA, HI, IA, ID, KY, ME, MO, MT, NV, NJ, NM, NC, ND, NY, OH, OK, OR, RI, SC, TX, UT, VT, WI and WV. Also required in AL, CO, FL, GA, IA, KY, ME, MO, NH, OH, RI, TX, WI and WV for Variable Annuities. Must be provided to clients at time of application for the following plan types only IRA, Roth IRA, SEP, Simple IRA and NQDA. Use appropriate guide based on client's state of residence.
Appendix B	Replacement Form/Notice *Varies by state*	Some states have adopted Replacement Regulations that require clients receive a separate notice if the transaction is replacing or reducing the value of another contract. Refer to Appendix B for state specific forms.

Inside Edge

VL 26991 VL 26991-FL VL 26991-NJ VL 26991-NY VL 26991-VA	Fixed Interest Option Application (Annuity and IRA)	Used exclusively by external broker-dealers and must be completed for employee enrollments in either the 403(b) or 457(b) plans **and** for IRAs. PDF includes the Application (VL 26991) and the Owner Acknowledgement (VL 23769). This form **must** accompany the appropriate Custodial Application. Use the appropriate state specific version if the application is signed in FL, NJ, NY or VA.
VL 21719	Inside Edge IRA Custodial Account Application	Used exclusively by external broker-dealers and must be completed for IRA applications.
VL 21748	Inside Edge IRA Custodial Account Agreement	This document **must** be provided to the client with the application for an IRA contract.

VALIC Assured Choice Annuity		
VL 316-ROTH *(Only Form Required)*	Roth IRA Acknowledgement	Used to request an Internal Roth IRA conversion of an existing account for Premiere 5 & 7 (pre 10/19/09 contract issue dates), Assured Choice and POWER Index products.
POWER Index Annuity		
VL 316-ROTH *(Only Form Required)*	Roth IRA Acknowledgement	Used to request an Internal Roth IRA conversion of an existing account for Premiere 5 & 7 (pre 10/19/09 contract issue dates) and Assured Choice products and POWER Index products.

VALIC – Receive a Distribution

Refer to Appendix A for Assured Choice Annuity and POWER Index Administrative Forms.

Transaction/ Form Number	Form Name	Description
Cash Distribution Payable to Client		
VL 8725	Cash Distribution Form	Used when a client has met a distributable event and the client requests a distribution to themselves.
VL 19725	Pension Protection Act of 2006 and HEART Act of 2008 Supplemental Distribution Form - 403(b) and 401(k) Plans Only	Used to provide additional information for distributions for – military reservists called to active duty, health, long-term care or accident insurance for retired public safety officers – or hardship or UEWs for certain beneficiaries of 403(b) and 401(k) plans.
VL 23767	Terminal Illness Rider Claimant Statement	Used with POWER Index and ProFlex products, to provide proof of terminal illness in order to waive the contracts early withdrawal charge.
457 Unforeseeable Emergency Withdrawal		
VL 12837	Unforeseeable Emergency Distribution Form	Used for unforeseen emergencies from 457 accounts.
VL 19725-457	Pension Protection Act of 2006 Supplemental Distribution Form	Used to provide additional information for distributions for – military reservists called to active duty, health, long-term care or accident insurance for retired public safety officers – or hardship or UEWs for certain beneficiaries of 457(b) plans.
Hardship Distribution Payable to Client		
VL 22140	Hardship Distribution Form	Used for a hardship withdrawal for plan types 403(b), 401(a) and 401(k) that allow hardships.
VL 19725	Pension Protection Act of 2006 and HEART Act of 2008 Supplemental Distribution Form - 403(b) and 401(k) Plans Only	Used to provide additional information for distributions for – military reservists called to active duty, health, long-term care or accident insurance for retired public safety officers – or hardship or UEWs for certain beneficiaries of 403(b) and 401(k) plans.
VL 19725-457	Pension Protection Act of 2006 Supplemental Distribution Form	Used to provide additional information for distributions for – military reservists called to active duty, health, long-term care or accident insurance for retired public safety officers – or hardship or UEWs for certain beneficiaries of 457(b) plans.
VL 23767	Terminal Illness Rider Claimant Statement	Used with POWER Index and ProFlex products, to provide proof of terminal illness in order to waive the contracts early withdrawal charge.
Minimum Distribution Transaction		
VL 5320	Minimum Distribution Form	Used to set up a client's required minimum distribution.
VL 5320-EZ	Minimum Distribution Form - Easy	Used for RMD set ups for group sponsored plans only clients where VALIC calculated, pro-rata, multi-year automatic recurring payments. Use RMD Maintenance Form for making changes to an existing RMD. Use Beneficiary Distribution form for beneficiary distributions. Do not use this form for IRA plans.
VL 5320-IRA	Minimum Distribution Form - IRA	Used for RMD set ups for IRA only clients where participant calculates RMD payment, prior year payments, non pro-rata fund selection, joint life expectancy calculation, reinvestment into an existing nonqualified deferred annuity. Use RMD Maintenance Form for making changes to an existing RMD. Use Beneficiary Distribution form for beneficiary distributions. Do not use this form for group sponsored plans.

VL 5320-IRA-EZ	Minimum Distribution Form - IRA Easy	Used for RMD set ups for IRA only clients where VALIC calculated, pro-rata, multi-year automatic recurring payments. Use RMD Maintenance Form for making changes to an existing RMD. Use Beneficiary Distribution form for beneficiary distributions. Do not use this form for group sponsored plans.
VL 5320-MAINT	Maintenance Distribution Form	Used for changes to an existing periodic payment. Required Minimum Distribution (RMD) and Systematic Withdrawal only.
Systematic Withdrawal Transaction		
VL 20795	Systematic Withdrawal Form	Used to set up systematic withdrawals on a client's account that does not have a living benefit.
VL 20795-LB	Systematic Withdrawal Form with a Living Benefit	Used to set up systematic withdrawals on a client's account that has a living benefit.
Qualified Charitable Distribution		
VL 28668	Qualified Charitable Distribution Supplemental Form	Submit with a Cash Distribution, Minimum Distribution, or Systematic Withdrawal form to send a distribution from an IRA directly to a 501(c)(3) organization as a charitable distribution.
Excess Refund		
VL 15736	Return of Excess Contributions	Used to correct contribution excesses for plans that go over mandated IRS regulatory limits such as ADP-ACP 415 or 402(g). The plan sponsor is required to sign and authorize the form.
VL 21635-Annuity	PPA Permissive Distribution Form	Used to return deferrals made through auto enrollments for Annuity accounts only.
Direct Deposit/EFT of Periodic Distribution		
VL 6730	Bank Deposit Agreement	Used to set up an electronic funds agreement for systematic withdrawals, minimum distributions or an annuity.
Annuitize/Begin Payments From an Established Account		
VL 6201	Annuity Benefits Form	Used to annuitize a VALIC annuity account.
Death Claim Processing		
VL 995	Death Claim Form	Used to transfer the money from a deceased participant to the beneficiary on file or for the beneficiary to take a lump sum payment. If used to request a pay-out phase in the form of annuitization, the Annuity Benefits form is also required.

VALIC – Apply for a Loan

Transaction/ Form Number	Form Name	Description
ERISA Loan		
VL 22116	ERISA Loan Agreement	Used to set up a loan on ERISA covered accounts.
Non-ERISA Loan		
VL 22118	Non-ERISA Loan Agreement	Used to set up a loan for non-ERISA accounts only.
Non-ERISA Loan Requiring Spousal Consent		
VL 22117	Non-ERISA/REA Loan Agreement	Used to set up a loan for non-ERISA accounts that require spousal consent.
Public Employer 403(b) Eligibility		
VL 20819	Vendor Loan Supplement	Used to obtain information necessary to determine eligibility for a loan under a Public Employer 403(b) plan.

Appendix A

Administrative Forms for VALIC Assured Choice Annuity and POWER Index Annuity

Form Number	Form Name	Description
VL 010	Systematic Withdrawal Request	Used to establish a systematic withdrawal of a designated amount and frequency.
VL 100	Service Request	Used to submit administrative changes to a client account. Changes include beneficiary change, address, name and duplicate contract request.
VL 151	Minimum Distribution Election Form	Used to initiate the minimum distribution as required by the IRS.
VL 162	Annuity Withdrawal Request	Used to request a partial or full cash withdrawal from an annuity contract other than 403(b) TSA.
VL 162A	Withdrawal Request (for 403(b) TSA only)	Used to request a partial or full cash withdrawal.
VL 217	Fixed Annuity Systematic Premium Preauthorized Debit Form	Used to request an agreement or to change or cancel an existing agreement allowing for the preauthorized debit of systematic premiums. This form is used for POWER Index and Assured Choice.
VL 250	Annuitization Request	Used to select the type annuity benefit and payment frequency. Note: Once selected, the annuity option is irrevocable.
VL 18711	VALIC Rollover/Transfer Out Form *For all plan types except 403(b)*	Used when a client requests a transfer or rollover to another product or carrier. May be used for a transfer to purchase service credits*. *A state form is also required for purchase of service credits.
VL 897	Power of Attorney Affidavit	Used to affirm the competency of the Principal and the non-revocation of the Power of Attorney named by the Principal.
VL 23015	Certification of Trust Document and Trustee Powers	This form is required when submitting nonqualified applications where the ownership is a Trust. The form will also be required for subsequent NQDA ownership changes where the new owner is a Trust.
VL 23554	Extended Care Rider Claimant Statement	Used with Premiere 5 and 7 and POWER Index Products, to provide proof of extended care in order to waive the contracts early withdrawal charge.
VL 995	Death Claim Form	Used to transfer the money from a deceased participant to the beneficiary on file or for the beneficiary to take a lump sum payment. If used to request a pay-out phase in the form of annuitization, the Annuity Benefits form is also required.

Appendix B

State Specific Replacement Form/Notice
To be used for all products.

Form Number	Form Name	Description
VL 12667-NY IC	Replacement Form for NY 10A	Used exclusively in New York when replacing an individual annuity or other insurance products. Instructions for distribution of copies and materials are on the cover page of the form.
VL 12669-NY IC	Replacement Form for NY 10C	Used exclusively in New York when replacing an individual annuity or other insurance products. Instructions for distribution of copies and materials are on the cover page of the form.
VL 12670-NY IC	Replacement Form for NY 10B	Used exclusively in New York when replacing an individual annuity or other insurance products. Instructions for distribution of copies and materials are on the cover page of the form.
VL 19176	Authorization To Disclose Information - NY Reg 60	Used exclusively in NY when replacing an individual annuity or other insurance products to authorize current carrier to release information necessary to complete attached forms pursuant to NY Reg 60. Replacement.
VL 14131	Model Replacement Form	Used when replacing life insurance products, including annuities and with all new business in the following states: AK-AL-AR-AZ-CO-CT-HI-IA-KY-LA-MD-ME-MO-MS-MT-NC-NE-NH-NJ-NM-OH-OR-RI-SC-SD-TX-UT-VT-WI-WV.
VL 14715	Replacement Form for NV	Used exclusively in Nevada when replacing life insurance products, including annuities. Instructions are on the cover page. Obtain and submit replacement form to expedite processing by redeeming carrier. Include VL 14715-A Only when replacing a fixed deferred annuity.
VL 14715-A	Fixed Annuity Replacement Comparison Statement for NV	Used exclusively in Nevada in combination with VL 14715 Replacement Form for NV when replacing fixed deferred annuities. Instructions are on the cover page. Obtain and submit Comparison Statement to expedite processing by redeeming carrier.
VL 14735	Replacement Form for KS	Used exclusively in Kansas when replacing life insurance products, including annuities. Instructions are on the cover page. Obtain and submit replacement form to expedite processing by redeeming carrier.
VL 23562	Arkansas Comparison Memorandum	Used in Arkansas for all Individual and Group Annuity contracts when replacing an Individual Fixed Deferred Annuity. Replacement Memorandum must be completed at the point of sale.
VL 7742	Replacement Form for MA	Used exclusively in Massachusetts when replacing life insurance products, including annuities. Instructions are on the cover page. Obtain and submit replacement form to expedite processing by redeeming carrier.
VL 7744	Replacement Form for CA and IL	Used exclusively in California and Illinois, when replacing life insurance products, including annuities. Instructions are on the cover page. Obtain and submit replacement form to expedite processing by redeeming carrier.
VL 7814	Replacement Form for IN	Used exclusively in Indiana when replacing life insurance products, including annuities. Instructions are on the cover page. Obtain and submit replacement form to expedite processing by redeeming carrier.
VL 7818	Replacement Form for MN	Used exclusively in Minnesota when replacing life insurance products, including annuities. Instructions are on the cover page. Obtain and submit replacement form to expedite processing by redeeming carrier.

Appendix B

State Specific Replacement Form/Notice
To be used for all products.

Form Number	Form Name	Description
VL 7844	Replacement Form for MO	Used exclusively in Missouri when replacing life insurance products, including annuities. Instructions are on the cover page. Obtain and submit replacement form to expedite processing by redeeming carrier.
VL 7847	Replacement Form for WY	Used exclusively in Wyoming when replacing life insurance products, including annuities. Instructions are on the cover page. Obtain & submit replacement form to expedite processing by redeeming carrier.
VL 7859	Replacement Form for DE	Used exclusively in Delaware when replacing life insurance products, including annuities. Instructions are on the cover page. Obtain and submit replacement form to expedite processing by redeeming carrier.
VL 7862	Replacement Form for PA	Used exclusively in Pennsylvania when replacing life insurance products, including annuities. Instructions are on the cover page. Obtain and submit replacement form to expedite processing by redeeming carrier.
VL 7866	Replacement Form for OK	Used exclusively in Oklahoma when replacing life insurance products, including annuities. Instructions are on the cover page. Obtain and submit replacement form to expedite processing by redeeming carrier.
VL 7897	Replacement/Exchange Disclosure for FL	Used exclusively in Florida when replacing life insurance products, including annuities funded through values in existing in-force policy with the same insurer. Instructions are on the cover page. Obtain and submit replacement form to expedite processing by redeeming carrier.
VL 8096	Replacement Form for WA	Used exclusively in Washington when replacing life insurance products, including annuities. Instructions are on the cover page. Obtain and submit replacement form to expedite processing by redeeming carrier.
VL 8165	Replacement Form for ID and TN	Used exclusively in Idaho and Tennessee when replacing life insurance products, including annuities. Instructions are on the cover page. Obtain and submit replacement form to expedite processing by redeeming carrier.
VL 24844	Replacement Notice for GA	Used exclusively in Georgia when replacing life insurance products. Instructions are on the cover page. Obtain and submit replacement form to expedite processing by redeeming carrier.
VL 26470-A	Annuity Suitability Questionnaire	Required for all Florida transactions when purchasing a fixed annuity product regardless of how it is funded. Signature pages must be signed.
VL 26470-B	Disclosure - Comparison of Annuity Contracts	Required for all Florida transactions when purchasing an annuity product and the source of the money is another annuity. Signature pages must be signed.
VL 28103	Replacement Notice for VA	Used exclusively in Virginia when replacing life insurance products. Instructions are on the cover page. Obtain and submit replacement form to expedite processing by redeeming carrier.

QUESTIONS? VALIC Advisor Careline 877-246-4501 – Wholesaling Team 877-246-4501 – Advisor/Broker Dealer Support 877-246-4501

VALIC

The Variable Annuity Life Insurance Company (VALIC), Houston, Texas

INDEPENDENT CHANNEL UNIVERSAL PAPERWORK ROUTING CHECKLIST

Prior to Routing Paperwork for Processing.

Verify with your Broker Dealer for their specific paperwork submittal procedures. In order to sell VALIC products you must be appointed with the company. Contact your Broker-Dealer to confirm that the selling group agreement is in place. Always check the Independent Channel web site for the most current version date and state specifics for each form. Form version dates that are equal to, or newer, are acceptable. For Additional questions please contact your Broker-Dealer.

(FAX & FILE Legend) — Annuity (Group Mutual Fund)

■ New Acct/Cap In - 877-202-0187 ▲ DO NOT FAX!

≠ CHECKS ONLY

Regular Mail: VALIC Document Control, P.O. Box 15648, Amarillo, TX 79105
Overnight: VALIC Document Control, 1050 N. Western St., Amarillo, TX 79106-7011

Regular Mail: VALIC c/o JP Morgan Chase, P.O. Box 301700, Dallas, TX 75303-1700
Overnight: J.P. Morgan Chase (TX1-0029), VALIC, Lockbox 301700, 14800 Frye Rd., Fort Worth, TX 76155

	Forms	Version	VALIC Document Control (Amarillo)	VALIC c/o JP Morgan Chase
PORTFOLIO DIRECTOR				
Group Qualified Application Use state specific application if signed in FL, NJ, NY or VA ***For clients age 65 or older in CA	PD Application (VL 26995) PD Choice Application (VL 26995-CHOICE) *Model Replacement Form (VL 14131) Uniform Disclosure Series 1 (TX only) (VL 23180) Uniform Disclosure Series 5 (TX only) (VL 23181) Agent Access Authorization Form (VL 22305)	ver 12/15 ver 12/15 ver 10/15 ver 8/23 ver 8/23 ver 5/19	■	
Transfer/Rollover In	Transfer In all plan types (VL 18484) *See Replacement Forms	ver 5/19	▲	
Initial and Subsequent Annuity Contributions ;Additional Annuity Contributions (IRA, NQDA, Group) — (Use Lockbox 301104)				≠
Transfer/Rollover In Checks (received after compliance approval)				≠
Internal Exchange (PD to PD)	Enrollment Product Exchange (VL 9034) PD Application (if new account) *See Replacement Forms	ver 1/22	■	
Roth IRA Conversion	Internal Combo/Rollover (VL 9006) (Plus applicable new account forms)	ver 1/23		≠
INSIDE EDGE MUTUAL FUNDS				
Employee Enrollment Use state specific application if signed in FL, NY, NJ, TX or VA Use state specific owner acknowledgement if signed in NY ***For clients age 65 or older in CA ****Buyer's Guides	Fixed-Interest Annuity & IRA Application (VL 26991) Fixed Annuity-406 Application (VL 26991-406) Client Profile (VL 23431) 401(a) Application (VL 22107) 403(b) Application (VL 21555) Individual 403(b) Custodial Account Agreement (VL 21679) 457(b) Application (VL 21706) Individual 457(b) Custodial Account Agreement (VL 21680) IRA Application (VL 21719) *Model Replacement Form (VL 14131) **Sale to Military Personnel Disclosure (VL 22059) Affidavit and Indemnification of Custodian for Minors (VL 23303) Agent Access Authorization Form (VL 22305)	ver 12/15 ver 12/15 ver 3/20 ver 5/19 ver 5/19 ver 10/22 ver 5/19 ver 10/22 ver 5/19 ver 10/15 ver 5/19 ver 5/19 ver 5/19	■	
Transfer/Rollover In	Transfer In all plan types (VL 18484) *See Replacement Forms	ver 5/19	▲	
Contribution/Initial Deposit — (Use Lockbox 301104)				≠
Transfer/Rollover In Checks				≠
Internal Transfer PD to Inside Edge Roth IRA Conversion **(use forms bolded)** Use state specific application if signed in FL, NY, NJ, TX or VA Use state specific owner acknowledgement if signed in NY ***For clients age 65 or older in CA	**Internal Combo/Rollover (VL 9006)** **Fixed-Interest Annuity & IRA Application (VL 26991)** Fixed Annuity-406 Application (VL 26991-406) Client Profile (VL 23431) 401(a) Application (VL 22107) 403(b) Application (VL 21555) Individual 403(b) Custodial Account Agreement (VL 21679) 457(b) Application (VL 21706) Individual 457(b) Custodial Account Agreement (VL 21680) **IRA Application (VL 21719)** ****Sale to Military Personnel Disclosure (VL 22059)** **Agent Access Authorization Form (VL 22305)** ***See Replacement Forms**	ver 1/23 ver 12/15 ver 12/15 ver 3/20 ver 5/19 ver 5/19 ver 10/22 ver 5/19 ver 10/22 ver 5/19 ver 5/19 ver 5/19	■	

QUESTIONS? VALIC Advisor Careline 877-246-4501 – Wholesaling Team 877-246-4501 – Advisor/Broker Dealer Support 877-246-4501

VALIC®

The Variable Annuity Life Insurance Company (VALIC), Houston, Texas

INDEPENDENT CHANNEL UNIVERSAL PAPERWORK ROUTING CHECKLIST

Prior to Routing Paperwork for Processing.

Verify with your Broker Dealer for their specific paperwork submittal procedures. In order to sell VALIC products you must be appointed with the company. Contact your Broker-Dealer to confirm that the selling group agreement is in place. Always check the Independent Channel web site for the most current version date and state specifics for each form. Form version dates that are equal to, or newer, are acceptable. For Additional questions please contact your Broker-Dealer.

(FAX & FILE Legend) — Annuity (Group Mutual Fund)

■ New Acct/Cap In - 877-202-0187 ▲ DO NOT FAX!

≠ CHECKS ONLY

Regular Mail: VALIC Document Control, P.O. Box 15648, Amarillo, TX 79105

Overnight: VALIC Document Control, 1050 N. Western St., Amarillo, TX 79106-7011

Regular Mail: VALIC, c/o JP Morgan Chase, P.O. Box 301700, Dallas, TX 75303-1700

Overnight: J.P. Morgan Chase (TX1-0029), VALIC, Lockbox 301700, 14800 Frye Rd., Fort Worth, TX 76155

***REPLACEMENT FORM(s)**

Generic VL 14131 is used when replacing life insurance products, including annuities and with all new business in the following states: AK-AL-AR-AZ-CO-CT-HI-IA-KY-LA-MD-ME-MO-MS-MT-NC-NE-NH-NJ-NM-OH-OR-RI-SD-SC-TX-UT-VT-WI-WV

State Specific For state specific replacement forms, please see Appendix B of the Forms Usage by Transaction Guide, located on the Independent Channel Broker Dealer web site.

****SALE TO MILITARY PERSONNEL DISCLOSURE (VL 22059)** Required for all individual nonqualified and IRA applications when the client has answered YES, on any application, to being an active duty service member of the United States Armed Forces. If the client answered NO on a VALIC branded application, then form VL 22059 is not required.

*****FOR CLIENTS 65 OR OLDER IN CALIFORNIA**

VL 259 is required for all VALIC annuity products (fixed, variable, qualified and nonqualified) being sold to clients who reside in CA and are 65 years of age or older if the product is being sold on the basis of its treatment under the California Medi-Cal program.

CONTACT INFORMATION

VALIC Internal Wholesalers	Post-Sale Support
877-246-4501 (Option 2, 2)	Contact for Questions and support for client accounts. VALIC Contact Center 877-246-4501 (Option 2, 0)

*****BUYER'S GUIDES (Must be provided to Client at or before the time of application.)**

VC 26126 NAIC Buyers Guide for Deferred Annuities Used to assist clients in understanding Variable Annuities for IRA and NQDAs in the following states: AL, CO, FL, GA, IA, KY, ME, MO, OH, RI, TX, VT, WI and WV.

Used to assist clients in understanding Fixed and Fixed Index Annuities for IRA and NQDAs in the following states: AL, AK, AR, AZ, CO, FL, GA, HI, ID, IA, KY, ME, MO, MT, NV, NJ, NM, NC, ND, OH, OK, OR, RI, SC, TX, UT, WI and WV.

Prior to routing paperwork for processing contact your Broker-Dealer to confirm that the selling group agreement is in place.

All Other Products

Lockbox Mailing Address Standard	Lockbox Mailing Address Overnight		
VALIC c/o JP Morgan Chase P.O. Box 301700 Dallas, TX 75303-1700	VALIC c/o JP Morgan Chase (TX1-0029) Lockbox: 301700 14800 Frye Rd., Fort Worth, TX 76155		