

SERFF Tracking Number: NYLC-126214164 State: Arkansas  
 Filing Company: New York Life Insurance and Annuity Corporation State Tracking Number: 42873  
 Company Tracking Number: 22695  
 TOI: L06G Group Life - Variable Sub-TOI: L06G.002 Single Life - Flexible Premium  
 Product Name: CEPPVUL- Premium Allocation Form  
 Project Name/Number: CEPPVUL- Premium Allocation Form/22695

## Filing at a Glance

Company: New York Life Insurance and Annuity Corporation

Product Name: CEPPVUL- Premium Allocation SERFF Tr Num: NYLC-126214164 State: Arkansas  
 Form

TOI: L06G Group Life - Variable	SERFF Status: Closed-Approved- Closed	State Tr Num: 42873
Sub-TOI: L06G.002 Single Life - Flexible Premium	Co Tr Num: 22695	State Status: Approved-Closed
Filing Type: Form	Authors: Team Leader, Sean Hebron	Reviewer(s): Linda Bird Disposition Date: 07/20/2009
	Date Submitted: 07/02/2009	Disposition Status: Approved- Closed
Implementation Date Requested: On Approval		Implementation Date:

State Filing Description:

## General Information

Project Name: CEPPVUL- Premium Allocation Form  
 Project Number: 22695  
 Requested Filing Mode: Review & Approval  
 Explanation for Combination/Other:  
 Submission Type: New Submission  
 Overall Rate Impact:  
 Filing Status Changed: 07/20/2009

Deemer Date:  
 Submitted By: Sean Hebron  
 Filing Description:  
 RE: New York Life Insurance and Annuity Corporation  
 NAIC #: 82691596  
 FEIN #: 13-3044743  
 Form #: 22695

Status of Filing in Domicile:  
 Date Approved in Domicile:  
 Domicile Status Comments:  
 Market Type: Group  
 Group Market Size: Small and Large  
 Group Market Type: Discretionary  
 Explanation for Other Group Market Type:  
 State Status Changed: 07/20/2009  
 Created By: Sean Hebron  
 Corresponding Filing Tracking Number:

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Dear Commissioner:

We are enclosing for your Department's approval form 22695, titled Supplementary Application. This form is intended for use with certificate form 304-46C, originally approved on 11/12/2004, and to update the CSO Mortality table referenced on 11/1/2007. This form does not replace any form previously approved by your Department.

The enclosed form is intended for use as a supplement to our current Part I Application, form 204-500.03, which was approved by your Department on 1/24/2004. This form will be used as a means for the Policyowner to indicate allocation of their premium payments to available investment options.

Once approved, we would like to continue to make minor changes such as fund names and description changes as well as addition/deletion of new or existing investment options, which could result in formatting changes, without resubmitting the form for approval. We will provide the edition date on the form showing the month and year of the revision to the form if a minor change is made.

I hope that this information is satisfactory and that we can receive your Department's approval of this submission as soon as possible. Please contact Diana Moody at 1-888-695-4748 ext. 4064 or via email at [dmoody@nyl.com](mailto:dmoody@nyl.com) if you have any questions or comments in this regard.

Sincerely,  
Linda E. LoPinto  
Corporate Vice President  
Individual Life Department

Attachments

## Company and Contact

### Filing Contact Information

Sean Hebron, Senior Contract Assistant Sean\_Hebron@nyl.com  
51 Madison Avenue 212-576-2681 [Phone]  
Room 606 212-447-4141 [FAX]  
New York, NY 10010

### Filing Company Information

New York Life Insurance and Annuity Corporation CoCode: 91596 State of Domicile: Delaware  
51 Madison Ave Group Code: 826 Company Type: Life

SERFF Tracking Number: NYLC-126214164 State: Arkansas  
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 New York, NY 10010 Group Name: NYLIC State ID Number:  
 (212) 576-4809 ext. [Phone] FEIN Number: 13-3044743  
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## Filing Fees

Fee Required? Yes  
 Fee Amount: \$50.00  
 Retaliatory? Yes  
 Fee Explanation: \$50.00 per form X 1 form = \$50.00  
 Per Company: No

COMPANY	AMOUNT	DATE PROCESSED	TRANSACTION #
New York Life Insurance and Annuity Corporation	\$50.00	07/02/2009	28943786

SERFF Tracking Number: NYLC-126214164 State: Arkansas  
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## Correspondence Summary

### Dispositions

Status	Created By	Created On	Date Submitted
Approved- Closed	Linda Bird	07/20/2009	07/20/2009

*SERFF Tracking Number:* NYLC-126214164      *State:* Arkansas  
*Filing Company:* New York Life Insurance and Annuity      *State Tracking Number:* 42873  
Corporation  
*Company Tracking Number:* 22695  
*TOI:* L06G Group Life - Variable      *Sub-TOI:* L06G.002 Single Life - Flexible Premium  
*Product Name:* CEPPVUL- Premium Allocation Form  
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## **Disposition**

Disposition Date: 07/20/2009

Implementation Date:

Status: Approved-Closed

Comment:

Rate data does NOT apply to filing.

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State: Arkansas

Filing Company: New York Life Insurance and Annuity Corporation

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<b>Schedule</b>	<b>Schedule Item</b>	<b>Schedule Item Status</b>	<b>Public Access</b>
<b>Supporting Document</b>	Flesch Certification		No
<b>Supporting Document</b>	Application		No
<b>Supporting Document</b>	Life & Annuity - Acturial Memo		No
<b>Supporting Document</b>	Bracketed Premium Allocation Form		Yes
<b>Form</b>	Premium Allocation		Yes

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## Form Schedule

**Lead Form Number: 22695**

Schedule Item Status	Form Number	Form Type Form Name	Action	Action Specific Data	Readability	Attachment
	22695	Application/Premium Allocation Enrollment Form	Initial		0.000	Final Gen_22695 CEPPVUL 5-09.pdf

# New York Life Insurance and Annuity Corporation Supplementary Application

## Premium Allocation Form For NYLIAC CorpExec Private Placement Variable Universal Life (CEPPVUL)

**PLEASE READ CAREFULLY:** Variable universal life insurance Investment Divisions involve substantial risk, including the potential to lose some or all of your original investment. Benefits or values are not guaranteed as to dollar amount and are based on the investment performance of the Investment Division(s) selected.

The investment options are categorized as Exempt Investment Divisions or Registered Investment Divisions. The funds comprising the Registered Investment Divisions are registered with the Securities and Exchange Commission (SEC) and are grouped by risk. Risk classifications are determined on the basis of the Lipper Category assigned by Lipper Analytics as of December 31, 2008. Lipper is a widely used independent research firm, which ranks mutual funds and other investment companies by overall performance, investment objectives and assets. Classifications are not a guarantee or prediction of results. The funds comprising the Exempt Investment Divisions are not registered with the SEC and are not grouped by risk because Lipper does not rank those funds.

**You must select either the MainStay VP Cash Management or Fidelity® VIP Money Market Portfolio as your Cash Reserve Account for allocation of premiums during the Right to Examine Period and for holding Monthly Deduction Charges.**

During the Right to Examine Period, Net Premiums are allocated to the Cash Reserve Account that you select. Net Premiums will be allocated to the Investment Division(s) you have selected after the Right to Examine period has expired.

In addition, Monthly Deduction Charges (deducted from your initial premium and subsequently, from the Investment Divisions under your policy) will be taken from the Cash Reserve Account that you select. (See page 6 for more information about the deduction of these charges.)

Once selected, the Cash Reserve Account cannot be changed for purposes of the Right to Examine provision or Monthly Deduction Charges.

**PLEASE SELECT ONE PORTFOLIO AS YOUR CASH RESERVE ACCOUNT FROM THE FOLLOWING REGISTERED INVESTMENT DIVISIONS:**

MainStay VP Cash Management Portfolio (CM)

Fidelity® VIP Money Market Portfolio (M9)

A general description of the investment objective for each Investment Division appears after its name. There is no assurance that any Investment Division will achieve its objective. Please indicate how you want your premiums allocated among the Investment Divisions. Please indicate your allocation percentages in whole numbers and, if needed, up to two decimal places (e.g. 25.47%). **The total allocation must equal 100%.**

**Registered Investment Divisions and the Fixed Account Available to 3(c)(1) and 3(c)(7) Investors**

**GUARANTEED INTEREST ACCOUNT**

**Fixed Account**

Current income with safety of principal ..... %

**LOW RISK**

**MainStay VP Cash Management Portfolio (CM)**

Seeks as high a level of current income as is considered consistent with the preservation of capital and liquidity ..... %

**Fidelity® VIP Money Market Portfolio – Initial Class (M9)**

Seeks as high a level of current income as is consistent with preservation of capital and liquidity ..... %

**PIMCO Low Duration Portfolio – Administrative Class Shares (PL)**

Seeks maximum total return, consistent with preservation of capital and prudent investment management ..... %

**T. Rowe Price Limited-Term Bond Portfolio (TB)**

Seeks a high level of income consistent with moderate fluctuations in principal value ..... %

**MODERATE RISK**

**MainStay VP Bond Portfolio – Initial Class (BD)**

Seeks highest income over the long-term consistent with preservation of principal ..... %

**MainStay VP Floating Rate Portfolio – Initial Class (FL)**

Seeks to provide high current income ..... %

**MainStay VP High Yield Corporate Bond Portfolio – Initial Class (HY)**

Seeks maximum current income through investment in a diversified portfolio of high yield, high risk debt securities. Capital appreciation is a secondary objective ..... %

**American Funds Asset Allocation Fund – Class 2 Shares (AO)**

Seeks to provide you with high total return (including income and capital gains) consistent with preservation of capital over the long-term by investing in a diversified portfolio of common stocks and other equity securities, bonds and other intermediate and long-term debt securities, and money market instruments (debt securities maturing in one year or less) ..... %

**Fidelity® VIP Equity-Income Portfolio – Initial Class (FE)**

Seeks reasonable income. The Fund will also consider the potential for capital appreciation. The Fund's goal is to achieve a yield which exceeds the composite yield on the securities comprising the Standard & Poor's<sup>SM</sup> Index (S&P 500<sup>®</sup>) ..... %

**Fidelity® VIP Freedom 2010 Portfolio – Initial Class (F1)**

Seeks high total return with a secondary objective of principal preservation as the Fund approaches its target date and beyond ... %

**Fidelity® VIP Freedom 2020 Portfolio – Initial Class (F2)**

Seeks high total return with a secondary objective of principal preservation as the Fund approaches its target date and beyond ... %

**Fidelity® VIP Freedom 2030 Portfolio – Initial Class (F3)**

Seeks high total return with a secondary objective of principal preservation as the Fund approaches its target date and beyond ... %

**Fidelity® VIP Investment Grade Bond Portfolio – Initial Class (FB)**

Seeks as high a level of current income as is consistent with the preservation of capital ..... %

**Janus Aspen Balanced Portfolio – Institutional Shares (JB)**

Seeks long-term capital growth, consistent with preservation of capital and balanced by current income ..... %

**Legg Mason Partners Variable High Income Portfolio – Single Share Class (L0)**

Seeks high current income; capital appreciation is a secondary consideration ..... %

**MFS® Total Return Series – Initial Class (M0)**

Seeks total return ..... %

**MFS® Utilities Series – Initial Class (MU)**

Seeks total return ..... %

**MFS® Value Series – Initial Class (GD)**

Seeks capital appreciation ..... %

**Morgan Stanley UIF Emerging Markets Debt Portfolio – Class I Shares (MD)**

Seeks high total return by investing primarily in fixed income securities of government and government-related issuers and, to a lesser extent, of corporate issuers in emerging market countries ..... %

**PIMCO Global Bond Portfolio (Unhedged) – Administrative Class Shares (PG)**

Seeks maximum total return, consistent with preservation of capital and prudent investment management ..... %

**PIMCO High Yield Portfolio – Administrative Class Shares (PI)**

Seeks maximum total return, consistent with preservation of capital and prudent investment management ..... %

**PIMCO Long-Term U.S. Government Portfolio – Administrative Class Shares (WU)**

Seeks maximum total return, consistent with preservation of capital and prudent investment management ..... %

**PIMCO Real Return Portfolio – Administrative Class Shares (RR)**

Seeks maximum real return, consistent with preservation of real capital and prudent investment management ..... %

**PIMCO Total Return Portfolio – Administrative Class Shares (PT)**

Seeks maximum total return, consistent with preservation of capital and prudent investment management ..... %

<b>T. Rowe Price Equity Income Portfolio (EI)</b>	
Seeks to provide substantial dividend income as well as long-term growth of capital through investments in the common stocks of established companies . . . . .	_____ %
<b>T. Rowe Price Personal Strategy Balanced Portfolio (TP)</b>	
Seeks the highest total return over time consistent with an emphasis on both capital appreciation and income . . . . .	_____ %
<b>Van Eck Worldwide Bond Fund – Initial Class (V1)</b>	
Seeks high total return - income plus capital appreciation - by investing globally, primarily in a variety of debt securities . . . . .	_____ %
<b>Van Eck Worldwide Multi-Manager Alternatives Fund – Initial Class (VW)</b>	
Seeks to achieve consistent absolute (positive) returns in various market cycles . . . . .	_____ %

**HIGH RISK**

<b>MainStay VP International Equity Portfolio – Initial Class (IT)</b>	
Seeks to provide long-term growth of capital commensurate with an acceptable level of risk by investing in a portfolio consisting primarily of non-U.S. equity securities. Current income is a secondary objective . . . . .	_____ %
<b>MainStay VP Mid Cap Core Portfolio – Initial Class (MC)</b>	
Seeks long-term growth of capital . . . . .	_____ %
<b>MainStay VP Mid Cap Growth Portfolio – Initial Class (MG)</b>	
Seeks long-term growth of capital . . . . .	_____ %
<b>MainStay VP Mid Cap Value Portfolio – Initial Class (MY)</b>	
Seeks to realize maximum long-term total return from a combination of capital appreciation and income . . . . .	_____ %
<b>AIM V.I. Global Real Estate Fund – Series I Shares (AH)</b>	
Seeks high total return through growth of capital and current income . . . . .	_____ %
<b>AIM V.I. International Growth Fund – Series I Shares (WS)</b>	
Seeks to provide long-term growth of capital . . . . .	_____ %
<b>Alger American SMidCap Growth Portfolio – Class O Shares (K1)</b>	
Seeks long-term capital appreciation . . . . .	_____ %
<b>AllianceBernstein VPS International Value Portfolio – Class A Shares (A8)</b>	
Seeks long-term growth of capital . . . . .	_____ %
<b>AllianceBernstein VPS Small/Mid Cap Value Portfolio – Class A Shares (A9)</b>	
Seeks long-term growth of capital . . . . .	_____ %
<b>American Century VP Value Fund – Class II Shares (AV)</b>	
Seeks long-term capital growth. Income is a secondary objective . . . . .	_____ %
<b>American Funds Global Small Capitalization Fund – Class 2 Shares (AK)</b>	
Seeks to make your investment grow over time by investing primarily in stocks of smaller companies located around the world . . . . .	_____ %
<b>American Funds Growth Fund – Class 2 Shares (AW)</b>	
Seeks to make your investment grow by investing primarily in common stocks of companies that appear to offer superior opportunities for growth of capital . . . . .	_____ %
<b>American Funds Growth-Income Fund – Class 2 Shares (AN)</b>	
Seeks to make your investment grow and provide you with income over time by investing primarily in common stocks or other securities that demonstrate the potential for appreciation and/or dividends . . . . .	_____ %
<b>American Funds International Fund – Class 2 Shares (AT)</b>	
Seeks to make your investment grow over time by investing primarily in common stocks of companies located outside the United States . . . . .	_____ %
<b>Davis Value Portfolio (VV)</b>	
Seeks long-term growth of capital . . . . .	_____ %
<b>DWS Dreman Small Mid Cap Value VIP – Class A Shares (D4)</b>	
Seeks long-term capital appreciation . . . . .	_____ %
<b>DWS Global Opportunities VIP – Class A Shares (D5)</b>	
Seeks above-average capital appreciation over the long-term . . . . .	_____ %
<b>DWS Small Cap Index VIP – Class A Shares (SS)</b>	
Seeks to replicate, as closely as possible, before the deduction of expenses, the performance of the Russell 2000® Index, which emphasizes stocks of small U.S. companies . . . . .	_____ %
<b>Fidelity® VIP Contrafund® Portfolio – Initial Class (FC)</b>	
Seeks long-term capital appreciation . . . . .	_____ %
<b>Fidelity® VIP Growth Portfolio – Initial Class (FG)</b>	
Seeks to achieve capital appreciation . . . . .	_____ %
<b>Fidelity® VIP Index 500 Portfolio – Initial Class (FI)</b>	
Seeks investment results that correspond to the total return of common stocks publicly traded in the United States, as represented by the Standard & Poor's <sup>SM</sup> Index (S&P 500®) . . . . .	_____ %
<b>Fidelity® VIP Mid Cap Portfolio – Initial Class (FM)</b>	
Seeks long-term growth of capital . . . . .	_____ %
<b>Fidelity® VIP Overseas Portfolio – Initial Class (FO)</b>	
Seeks long-term growth of capital . . . . .	_____ %

**Registered Investment Divisions and the Fixed Account Available to 3(c)(1) and 3(c)(7) Investors (continued)**

<b>Fidelity® VIP Value Leaders Portfolio – Initial Class (F8)</b>	
Seeks capital appreciation . . . . .	_____ %
<b>Fidelity® VIP Value Strategies Portfolio – Service Class 2 (FS)</b>	
Seeks capital appreciation . . . . .	_____ %
<b>Janus Aspen Enterprise Portfolio – Institutional Shares (JA)</b>	
Seeks long-term growth of capital . . . . .	_____ %
<b>Janus Aspen Forty Portfolio – Institutional Shares (JC)</b>	
Seeks long-term growth of capital . . . . .	_____ %
<b>Janus Aspen Worldwide Portfolio – Institutional Shares (JW)</b>	
Seeks long-term growth of capital in a manner consistent with the preservation of capital . . . . .	_____ %
<b>Lazard Retirement International Equity Portfolio – Service Shares (LI)</b>	
Seeks long-term capital appreciation . . . . .	_____ %
<b>Lord Abbett Mid Cap Value Portfolio (LM)</b>	
Seeks capital appreciation through investments, primarily in equity securities, which are believed to be undervalued in the marketplace . . . . .	_____ %
<b>Morgan Stanley UIF Mid Cap Value Portfolio – Class I Shares (MV)</b>	
Seeks above-average total return over a market cycle of three to five years by investing in common stocks and other equity securities . . . . .	_____ %
<b>Morgan Stanley UIF U.S. Real Estate Portfolio – Class I Shares (RE)</b>	
Seeks above average current income and long-term capital appreciation by investing primarily in equity securities of companies in the U.S. real estate industry, including real estate investment trusts . . . . .	_____ %
<b>Neuberger Berman AMT Partners Portfolio – Class I Shares (NB)</b>	
Seeks growth of capital . . . . .	_____ %
<b>Oppenheimer Capital Appreciation Fund/VA – Non-Service Shares (PU)</b>	
Seeks capital appreciation by investing in securities of well known, established companies . . . . .	_____ %
<b>Royce Micro-Cap Portfolio – Investment Class (RC)</b>	
Seeks long-term growth of capital . . . . .	_____ %
<b>Royce Small-Cap Portfolio – Investment Class (RS)</b>	
Seeks long-term growth of capital . . . . .	_____ %
<b>T. Rowe Price Blue Chip Growth Portfolio (BC)</b>	
Seeks to provide long-term capital growth. Income is a secondary objective . . . . .	_____ %
<b>T. Rowe Price Equity Index 500 Portfolio (IF)</b>	
Seeks to match the performance of the Standard & Poor's 500 Stock Index® . . . . .	_____ %
<b>T. Rowe Price International Stock Portfolio (TS)</b>	
Seeks long-term growth of capital through investments primarily in the common stocks of established, non-U.S. companies . . . . .	_____ %
<b>T. Rowe Price New America Growth Portfolio (NG)</b>	
Seeks to provide long-term capital growth by investing primarily in the common stocks of growth companies . . . . .	_____ %
<b>Van Eck Worldwide Hard Assets Fund – Initial Class (HA)</b>	
Seeks long-term capital appreciation by investing primarily in “hard asset” securities. Income is a secondary consideration . . . . .	_____ %

**HIGHEST RISK**

<b>MainStay VP Small Cap Growth Portfolio – Initial Class (SC)</b>	
Seeks long-term capital appreciation by investing in securities of small-cap companies . . . . .	_____ %
<b>Dreyfus IP Technology Growth Portfolio – Initial Shares (DT)</b>	
Seeks capital appreciation by investing in technology companies . . . . .	_____ %
<b>LVIP Baron Growth Opportunities Fund – Service Class (BR)</b>	
Seeks capital appreciation through long-term investments in securities of small and mid-sized companies with undervalued assets or favorable growth prospects . . . . .	_____ %
<b>Morgan Stanley UIF Emerging Markets Equity Portfolio – Class I Shares (MS)</b>	
Seeks long-term capital appreciation by investing primarily in growth-oriented equity securities of issuers in emerging market countries . . . . .	_____ %

**Exempt Investment Divisions Available to 3(c)(1) and 3(c)(7) Investors**

**Caisson Partners, L.P. (19CL)**

The overall investment objective of the partnership is to generate consistent rates of risk-adjusted total return through investments in a diversified portfolio of managers and funds with results that are not correlated to the stock and bond markets . . . \_\_\_\_\_%

**Ryan Labs TIPS Partners, L.P. (18RL)**

The overall investment objective of the Partnership is to seek total return while providing protection against inflation. The General Partner will attempt to accomplish these investment objectives by investing solely in Treasury Inflation Protected Securities (“TIPS”) issued by the government of the United States . . . . . \_\_\_\_\_%

**Titan Legacy Fund II, L.P. (07T2)**

Seeks to attain long-term equity-like returns with minimal correlation to the major market averages . . . . . \_\_\_\_\_%

**Exempt Investment Divisions Only Available to 3(c)(7) Investors**

**Frontpoint Absolute Return Fund, L.P. (Series A) (09FT)**

The Fund will initially invest in the following investment strategies managed by investment teams that are affiliated with or selected by the managers (the “Frontpoint Managers”) of the Underlying Funds (as defined herein): fixed income arbitrage, utilities & energy, healthcare, financial services, Japanese securities, Asia Pacific securities, quantitative and European securities . . . \_\_\_\_\_%

**Titan Legacy Fund I, L.P. (Series A) (06T1)**

The Partnership will seek to attain consistent, superior capital appreciation through the use of a multi-manager investment strategy \_\_\_\_\_%

**Titan Legacy Fund I, L.P. (Series B) (06T4)**

The Partnership will seek to attain consistent, superior capital appreciation through the use of a multi-manager investment strategy. It is anticipated that the investment strategy for the Series B Interests will be more concentrated in less Portfolio Funds with focus on a limited number of investment strategies. Consequently, Series B Interests will be subject to the potential for greater volatility \_\_\_\_\_%

**Titan Legacy Ultra Fund, L.P. (06T3)**

Seeks to attain consistently superior capital appreciation through the use of a multi-manager investment strategy. It is anticipated that the Partnership will utilize a significant amount of leverage as part of its investment strategy. The General Partner believes that leverage will allow the Partnership to take advantage of investing with quality Portfolio Managers identified through the General Partner’s diligent investment process . . . . . \_\_\_\_\_%

---

Total . . . . . \_\_\_\_\_%

Please make sure the Total equals . . . . . 100%

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Exempt Investment Divisions may require a notice prior to the Liquidity Date for initial and subsequent investments and/or transfers among Investment Divisions. In addition, Exempt Investment Divisions may have minimum investment amounts. Please refer to the policy/certificate and the Private Placement Memorandum for each Exempt Investment Division setting forth Notice Periods, Liquidity Dates and minimum investment amount for that Exempt Investment Division. Investment Divisions may limit investments in the future. If an Exempt Investment Division you have elected becomes closed to new investments, we will notify you. Refer to the funds’ Private Placement Memorandum for more information about the fund’s investment strategies and risks.

Serviced by: New York Life Advanced Markets Network, Attention: Executive Benefits, 11400 Tomahawk Creek Parkway, Suite 200,  
Leawood, KS 66211, Toll Free (888) 695-4748  
Issued by: New York Life Insurance and Annuity Corporation, 51 Madison Avenue, New York, NY 10010  
Distributed by: NYLIFE Distributors LLC, Member FINRA/SIPC

# APPLICANT / OWNER / INSURED INFORMATION

Applicant/Owner's Name \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Tax ID # \_\_\_\_\_

Trustee (if Applicant/Owner is a Trust)

Is Applicant/Owner or Trustee Employed by another FINRA/SIPC firm? Yes  No

If "Yes", please indicate Name and Address of Firm \_\_\_\_\_

Insured's Name \_\_\_\_\_

## GENERAL:

- I/We understand that neither the policy/certificate nor the Separate Accounts have been registered with the Securities and Exchange Commission under the Securities Act of 1933 ("1933 Act"), as amended or the Investment Company Act of 1940 ("1940 Act"), as amended. The policy/certificate is being sold in reliance on an exemption for sales of securities in private placements to Accredited Investors as defined in Regulation D under the 1933 Act. The policy/certificate may not be sold or otherwise transferred except pursuant to registration or an exemption from registration under the 1933 Act. All transfers are subject to our prior consent in our discretion.
- I/We understand that in order to make payments into the policy/certificate, make transfers among the Investment Divisions, or take a loan or partial surrender, I/we must be an "Eligible Investor" as that term is defined in the policy/certificate and the Private Placement Memorandum. However, in the event I/we cease to be an "Eligible Investor", I/we may exchange the policy/certificate for a registered policy/certificate or surrender the policy/certificate and receive the Cash Surrender Value.
- I/We understand that the product applied for is a life insurance policy/certificate with an investment component, and that monthly deductions for policy/certificate charges and expenses will be deducted from the policy/certificate's cash value.
- **I/WE UNDERSTAND THAT UNDER THE POLICY/CERTIFICATE APPLIED FOR THE AMOUNT OF THE LIFE INSURANCE BENEFIT AND CASH VALUE MAY INCREASE OR DECREASE DEPENDING UPON INVESTMENT EXPERIENCE OF THE SEPARATE ACCOUNTS.**
- **I/WE UNDERSTAND THAT THE DEATH BENEFIT MAY BE VARIABLE OR FIXED UNDER SPECIFIC CONDITIONS.**
- I/We understand that a life insurance policy/certificate involves a long-term financial commitment and I/we should have other liquid assets available for day-to-day living expenses and other major anticipated obligations.
- I/We understand that I/we may lose the life insurance benefit if the cash surrender value of the policy/certificate is not sufficient to pay all the monthly deduction charges even if I/we continue making planned premium payments.

## MONTHLY DEDUCTION CHARGE ALLOCATION:

- I/We authorize the Company to deduct from the initial premium an amount equal to the estimated Monthly Deduction Charges for up to twelve months and to allocate that amount to the Cash Reserve Account that I/We selected on page 1 of this form. Subsequently, if the amount in the Cash Reserve Account falls below the estimated Monthly Deduction Charges for the upcoming three months, I/We authorize the Company to deduct from the Investment Divisions an amount equal to the greater of the anticipated Monthly Deduction Charges for six months or the anticipated Monthly Deduction Charges up to the next policy/certificate anniversary and to allocate that amount to the Cash Reserve Account.
- I/We authorize the Company to deduct all Monthly Deduction Charges from the Cash Reserve Account.

If there is insufficient value in the Cash Reserve Account, the Company will allocate charges first among the Registered Investment Divisions in proportion to the value of your investment in each Registered Investment Division on the date of the charge.

If there is insufficient value in the Registered Investment Divisions, the Company will allocate charges among the Exempt Investment Divisions in proportion to the value of your investment in each Exempt Investment Division on the date of the charge, and deduct that amount as of each Investment Division's next Liquidity Date.

## APPLICANT / OWNER SIGNATURE

Those person(s) who sign below agree and affirm that:

- I/we have read and understood the above General provisions,
- I/we have read and understood a current Private Placement Memorandum for the policy/certificate applied for and have received, read and understood the Private Placement Memorandum for the Exempt Investment Divisions and the Prospectus for the Registered Investment Divisions offered under the policies; and
- I/we acknowledge that I/we understand the objectives, risks, sales charges, and all expenses applicable to the policy/certificate. This variable universal life insurance policy/certificate is in accordance with my/our investment objectives and anticipated financial needs. Past performance is not a guarantee of future results.
- I/we acknowledge that each time I/we complete this form, I/we are also re-certifying my/our status as an Eligible Investor as defined in the policy/certificate and Private Placement Memorandum.

Applicant/Owner Signature \_\_\_\_\_ Date \_\_\_\_\_

Other Required Signature \_\_\_\_\_ Date \_\_\_\_\_

State where application is signed \_\_\_\_\_

### REGISTERED REPRESENTATIVE INFORMATION:

I have not made any representations that are inconsistent with the Private Placement Memorandum.

1. Rep Code \_\_\_\_\_ Print Registered Rep Name \_\_\_\_\_

License ID \_\_\_\_\_ Registered Rep Signature \_\_\_\_\_

Date \_\_\_\_\_

2. Rep Code \_\_\_\_\_ Print Registered Rep Name \_\_\_\_\_

License ID \_\_\_\_\_ Registered Rep Signature \_\_\_\_\_

Date \_\_\_\_\_

3. Rep Code \_\_\_\_\_ Print Registered Rep Name \_\_\_\_\_

License ID \_\_\_\_\_ Registered Rep Signature \_\_\_\_\_

Date \_\_\_\_\_

**REGISTERED REPRESENTATIVE INITIAL  
SUITABILITY REVIEWED:**

Name (Print) \_\_\_\_\_

Title \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_

**BROKER/DEALER SUITABILITY REVIEWED:  
APPLICATION ACCEPTED SUBJECT TO  
UNDERWRITING BY:**

Name (Print) \_\_\_\_\_

Title \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_

# SUMMARY OF EXEMPT INVESTMENT DIVISION TERMS

For full descriptions of the funds, please refer to your Private Placement Memorandum.

**Valuation Frequency** ..... Monthly

**Valuation Date** ..... The last day the NYSE is open of each calendar month.

## INVESTMENTS

Liquidity Date .....	• Caisson:	One (1) business day prior to the Valuation Date.
	• Frontpoint:	Three (3) business days prior to the Valuation Date.
	• Ryan Labs:	The Valuation Date.
	• Titan I (A&B):	The Valuation Date.
	• Titan II:	The Valuation Date.
	• Titan Ultra:	Two (2) business days prior to the Valuation Date.

Notification Period..... Five (5) business days prior to the Liquidity Date.

## DISBURSEMENTS

Liquidity Date .....	• Caisson:	The first day the NYSE is open after the 15th day of each calendar quarter.
	• Frontpoint:	The first day the NYSE is open after the 15th day of each calendar month.
	• Ryan Labs:	The first day the NYSE is open after the 15th day of each calendar month.
	• Titan:	The first day the NYSE is open after the 15th day of each calendar quarter.

Notification Period.....	• Caisson:	60 days prior to the last day the NYSE is open of each calendar quarter.
	• Frontpoint:	45 days prior to the last day the NYSE is open of each calendar month.
	• Ryan Labs:	30 days prior to the last day the NYSE is open of each calendar month.
	• Titan:	60 days prior to the last day the NYSE is open of each calendar quarter.

**Minimum Investment** ..... \$100,000

**Minimum Balance** ..... \$100,000

**Minimum Disbursement** ..... \$100,000

SERFF Tracking Number: NYLC-126214164 State: Arkansas  
 Filing Company: New York Life Insurance and Annuity Corporation State Tracking Number: 42873  
 Company Tracking Number: 22695  
 TOI: L06G Group Life - Variable Sub-TOI: L06G.002 Single Life - Flexible Premium  
 Product Name: CEPPVUL- Premium Allocation Form  
 Project Name/Number: CEPPVUL- Premium Allocation Form/22695

## Supporting Document Schedules

		<b>Item Status:</b>	<b>Status Date:</b>
<b>Bypassed - Item:</b>	Flesch Certification		
<b>Bypass Reason:</b>	N/A		
<b>Comments:</b>			

		<b>Item Status:</b>	<b>Status Date:</b>
<b>Bypassed - Item:</b>	Application		
<b>Bypass Reason:</b>	N/A - Premium Allocation Form filing		
<b>Comments:</b>			

		<b>Item Status:</b>	<b>Status Date:</b>
<b>Satisfied - Item:</b>	Bracketed Premium Allocation Form		
<b>Comments:</b>			
<b>Attachment:</b>			
	Bracket Gen 22695 CEPPVUL5-09 _brackets.pdf		

# New York Life Insurance and Annuity Corporation Supplementary Application

## Premium Allocation Form For NYLIAC CorpExec Private Placement Variable Universal Life (CEPPVUL)

**PLEASE READ CAREFULLY:** Variable universal life insurance Investment Divisions involve substantial risk, including the potential to lose some or all of your original investment. Benefits or values are not guaranteed as to dollar amount and are based on the investment performance of the Investment Division(s) selected.

The investment options are categorized as Exempt Investment Divisions or Registered Investment Divisions. The funds comprising the Registered Investment Divisions are registered with the Securities and Exchange Commission (SEC) and are grouped by risk. Risk classifications are determined on the basis of [the Lipper Category assigned by Lipper Analytics as of December 31, 2008. Lipper is a widely used independent research firm, which ranks mutual funds and other investment companies by overall performance, investment objectives and assets. Classifications are not a guarantee or prediction of results. The funds comprising the Exempt Investment Divisions are not registered with the SEC and are not grouped by risk because Lipper does not rank those funds.]

**You must select either the MainStay VP Cash Management or Fidelity® VIP Money Market Portfolio as your Cash Reserve Account for allocation of premiums during the Right to Examine Period and for holding Monthly Deduction Charges.**

During the Right to Examine Period, Net Premiums are allocated to the Cash Reserve Account that you select. Net Premiums will be allocated to the Investment Division(s) you have selected after the Right to Examine period has expired.

In addition, Monthly Deduction Charges (deducted from your initial premium and subsequently, from the Investment Divisions under your policy) will be taken from the Cash Reserve Account that you select. (See page 6 for more information about the deduction of these charges.)

Once selected, the Cash Reserve Account cannot be changed for purposes of the Right to Examine provision or Monthly Deduction Charges.

**PLEASE SELECT ONE PORTFOLIO AS YOUR CASH RESERVE ACCOUNT FROM THE FOLLOWING REGISTERED INVESTMENT DIVISIONS:**

MainStay VP Cash Management Portfolio (CM)

Fidelity® VIP Money Market Portfolio (M9)

A general description of the investment objective for each Investment Division appears after its name. There is no assurance that any Investment Division will achieve its objective. Please indicate how you want your premiums allocated among the Investment Divisions. Please indicate your allocation percentages in whole numbers and, if needed, up to two decimal places (e.g. 25.47%). **The total allocation must equal 100%.**

**Registered Investment Divisions and the Fixed Account Available to 3(c)(1) and 3(c)(7) Investors**

**GUARANTEED INTEREST ACCOUNT**

**Fixed Account**

Current income with safety of principal ..... %

**LOW RISK**

**[MainStay VP Cash Management Portfolio (CM)**  
Seeks as high a level of current income as is considered consistent with the preservation of capital and liquidity ..... %

**Fidelity® VIP Money Market Portfolio – Initial Class (M9)**  
Seeks as high a level of current income as is consistent with preservation of capital and liquidity ..... %

**PIMCO Low Duration Portfolio – Administrative Class Shares (PL)**  
Seeks maximum total return, consistent with preservation of capital and prudent investment management ..... %

**T. Rowe Price Limited-Term Bond Portfolio (TB)**  
Seeks a high level of income consistent with moderate fluctuations in principal value ..... %

**MODERATE RISK**

**MainStay VP Bond Portfolio – Initial Class (BD)**  
Seeks highest income over the long-term consistent with preservation of principal ..... %

**MainStay VP Floating Rate Portfolio – Initial Class (FL)**  
Seeks to provide high current income ..... %

**MainStay VP High Yield Corporate Bond Portfolio – Initial Class (HY)**  
Seeks maximum current income through investment in a diversified portfolio of high yield, high risk debt securities. Capital appreciation is a secondary objective ..... %

**American Funds Asset Allocation Fund – Class 2 Shares (AO)**  
Seeks to provide you with high total return (including income and capital gains) consistent with preservation of capital over the long-term by investing in a diversified portfolio of common stocks and other equity securities, bonds and other intermediate and long-term debt securities, and money market instruments (debt securities maturing in one year or less) ..... %

**Fidelity® VIP Equity-Income Portfolio – Initial Class (FE)**  
Seeks reasonable income. The Fund will also consider the potential for capital appreciation. The Fund's goal is to achieve a yield which exceeds the composite yield on the securities comprising the Standard & Poor's<sup>SM</sup> Index (S&P 500<sup>®</sup>) ..... %

**Fidelity® VIP Freedom 2010 Portfolio – Initial Class (F1)**  
Seeks high total return with a secondary objective of principal preservation as the Fund approaches its target date and beyond ... %

**Fidelity® VIP Freedom 2020 Portfolio – Initial Class (F2)**  
Seeks high total return with a secondary objective of principal preservation as the Fund approaches its target date and beyond ... %

**Fidelity® VIP Freedom 2030 Portfolio – Initial Class (F3)**  
Seeks high total return with a secondary objective of principal preservation as the Fund approaches its target date and beyond ... %

**Fidelity® VIP Investment Grade Bond Portfolio – Initial Class (FB)**  
Seeks as high a level of current income as is consistent with the preservation of capital ..... %

**Janus Aspen Balanced Portfolio – Institutional Shares (JB)**  
Seeks long-term capital growth, consistent with preservation of capital and balanced by current income ..... %

**Legg Mason Partners Variable High Income Portfolio – Single Share Class (L0)**  
Seeks high current income; capital appreciation is a secondary consideration ..... %

**MFS® Total Return Series – Initial Class (M0)**  
Seeks total return ..... %

**MFS® Utilities Series – Initial Class (MU)**  
Seeks total return ..... %

**MFS® Value Series – Initial Class (GD)**  
Seeks capital appreciation ..... %

**Morgan Stanley UIF Emerging Markets Debt Portfolio – Class I Shares (MD)**  
Seeks high total return by investing primarily in fixed income securities of government and government-related issuers and, to a lesser extent, of corporate issuers in emerging market countries ..... %

**PIMCO Global Bond Portfolio (Unhedged) – Administrative Class Shares (PG)**  
Seeks maximum total return, consistent with preservation of capital and prudent investment management ..... %

**PIMCO High Yield Portfolio – Administrative Class Shares (PI)**  
Seeks maximum total return, consistent with preservation of capital and prudent investment management ..... %

**PIMCO Long-Term U.S. Government Portfolio – Administrative Class Shares (WU)**  
Seeks maximum total return, consistent with preservation of capital and prudent investment management ..... %

**PIMCO Real Return Portfolio – Administrative Class Shares (RR)**  
Seeks maximum real return, consistent with preservation of real capital and prudent investment management ..... %

**PIMCO Total Return Portfolio – Administrative Class Shares (PT)**  
Seeks maximum total return, consistent with preservation of capital and prudent investment management ..... %

<b>T. Rowe Price Equity Income Portfolio (EI)</b>	
Seeks to provide substantial dividend income as well as long-term growth of capital through investments in the common stocks of established companies . . . . .	_____ %
<b>T. Rowe Price Personal Strategy Balanced Portfolio (TP)</b>	
Seeks the highest total return over time consistent with an emphasis on both capital appreciation and income . . . . .	_____ %
<b>Van Eck Worldwide Bond Fund – Initial Class (V1)</b>	
Seeks high total return - income plus capital appreciation - by investing globally, primarily in a variety of debt securities . . . . .	_____ %
<b>Van Eck Worldwide Multi-Manager Alternatives Fund – Initial Class (VW)</b>	
Seeks to achieve consistent absolute (positive) returns in various market cycles . . . . .	_____ %

**HIGH RISK**

<b>MainStay VP International Equity Portfolio – Initial Class (IT)</b>	
Seeks to provide long-term growth of capital commensurate with an acceptable level of risk by investing in a portfolio consisting primarily of non-U.S. equity securities. Current income is a secondary objective . . . . .	_____ %
<b>MainStay VP Mid Cap Core Portfolio – Initial Class (MC)</b>	
Seeks long-term growth of capital . . . . .	_____ %
<b>MainStay VP Mid Cap Growth Portfolio – Initial Class (MG)</b>	
Seeks long-term growth of capital . . . . .	_____ %
<b>MainStay VP Mid Cap Value Portfolio – Initial Class (MY)</b>	
Seeks to realize maximum long-term total return from a combination of capital appreciation and income . . . . .	_____ %
<b>AIM V.I. Global Real Estate Fund – Series I Shares (AH)</b>	
Seeks high total return through growth of capital and current income . . . . .	_____ %
<b>AIM V.I. International Growth Fund – Series I Shares (WS)</b>	
Seeks to provide long-term growth of capital . . . . .	_____ %
<b>Alger American SMidCap Growth Portfolio – Class O Shares (K1)</b>	
Seeks long-term capital appreciation . . . . .	_____ %
<b>AllianceBernstein VPS International Value Portfolio – Class A Shares (A8)</b>	
Seeks long-term growth of capital . . . . .	_____ %
<b>AllianceBernstein VPS Small/Mid Cap Value Portfolio – Class A Shares (A9)</b>	
Seeks long-term growth of capital . . . . .	_____ %
<b>American Century VP Value Fund – Class II Shares (AV)</b>	
Seeks long-term capital growth. Income is a secondary objective . . . . .	_____ %
<b>American Funds Global Small Capitalization Fund – Class 2 Shares (AK)</b>	
Seeks to make your investment grow over time by investing primarily in stocks of smaller companies located around the world . . . . .	_____ %
<b>American Funds Growth Fund – Class 2 Shares (AW)</b>	
Seeks to make your investment grow by investing primarily in common stocks of companies that appear to offer superior opportunities for growth of capital . . . . .	_____ %
<b>American Funds Growth-Income Fund – Class 2 Shares (AN)</b>	
Seeks to make your investment grow and provide you with income over time by investing primarily in common stocks or other securities that demonstrate the potential for appreciation and/or dividends . . . . .	_____ %
<b>American Funds International Fund – Class 2 Shares (AT)</b>	
Seeks to make your investment grow over time by investing primarily in common stocks of companies located outside the United States . . . . .	_____ %
<b>Davis Value Portfolio (VV)</b>	
Seeks long-term growth of capital . . . . .	_____ %
<b>DWS Dreman Small Mid Cap Value VIP – Class A Shares (D4)</b>	
Seeks long-term capital appreciation . . . . .	_____ %
<b>DWS Global Opportunities VIP – Class A Shares (D5)</b>	
Seeks above-average capital appreciation over the long-term . . . . .	_____ %
<b>DWS Small Cap Index VIP – Class A Shares (SS)</b>	
Seeks to replicate, as closely as possible, before the deduction of expenses, the performance of the Russell 2000® Index, which emphasizes stocks of small U.S. companies . . . . .	_____ %
<b>Fidelity® VIP Contrafund® Portfolio – Initial Class (FC)</b>	
Seeks long-term capital appreciation . . . . .	_____ %
<b>Fidelity® VIP Growth Portfolio – Initial Class (FG)</b>	
Seeks to achieve capital appreciation . . . . .	_____ %
<b>Fidelity® VIP Index 500 Portfolio – Initial Class (FI)</b>	
Seeks investment results that correspond to the total return of common stocks publicly traded in the United States, as represented by the Standard & Poor's <sup>SM</sup> Index (S&P 500®) . . . . .	_____ %
<b>Fidelity® VIP Mid Cap Portfolio – Initial Class (FM)</b>	
Seeks long-term growth of capital . . . . .	_____ %
<b>Fidelity® VIP Overseas Portfolio – Initial Class (FO)</b>	
Seeks long-term growth of capital . . . . .	_____ %

**Registered Investment Divisions and the Fixed Account Available to 3(c)(1) and 3(c)(7) Investors (continued)**

<b>Fidelity® VIP Value Leaders Portfolio – Initial Class (F8)</b>	
Seeks capital appreciation . . . . .	_____ %
<b>Fidelity® VIP Value Strategies Portfolio – Service Class 2 (FS)</b>	
Seeks capital appreciation . . . . .	_____ %
<b>Janus Aspen Enterprise Portfolio – Institutional Shares (JA)</b>	
Seeks long-term growth of capital . . . . .	_____ %
<b>Janus Aspen Forty Portfolio – Institutional Shares (JC)</b>	
Seeks long-term growth of capital . . . . .	_____ %
<b>Janus Aspen Worldwide Portfolio – Institutional Shares (JW)</b>	
Seeks long-term growth of capital in a manner consistent with the preservation of capital . . . . .	_____ %
<b>Lazard Retirement International Equity Portfolio – Service Shares (LI)</b>	
Seeks long-term capital appreciation . . . . .	_____ %
<b>Lord Abbett Mid Cap Value Portfolio (LM)</b>	
Seeks capital appreciation through investments, primarily in equity securities, which are believed to be undervalued in the marketplace . . . . .	_____ %
<b>Morgan Stanley UIF Mid Cap Value Portfolio – Class I Shares (MV)</b>	
Seeks above-average total return over a market cycle of three to five years by investing in common stocks and other equity securities . . . . .	_____ %
<b>Morgan Stanley UIF U.S. Real Estate Portfolio – Class I Shares (RE)</b>	
Seeks above average current income and long-term capital appreciation by investing primarily in equity securities of companies in the U.S. real estate industry, including real estate investment trusts . . . . .	_____ %
<b>Neuberger Berman AMT Partners Portfolio – Class I Shares (NB)</b>	
Seeks growth of capital . . . . .	_____ %
<b>Oppenheimer Capital Appreciation Fund/VA – Non-Service Shares (PU)</b>	
Seeks capital appreciation by investing in securities of well known, established companies . . . . .	_____ %
<b>Royce Micro-Cap Portfolio – Investment Class (RC)</b>	
Seeks long-term growth of capital . . . . .	_____ %
<b>Royce Small-Cap Portfolio – Investment Class (RS)</b>	
Seeks long-term growth of capital . . . . .	_____ %
<b>T. Rowe Price Blue Chip Growth Portfolio (BC)</b>	
Seeks to provide long-term capital growth. Income is a secondary objective . . . . .	_____ %
<b>T. Rowe Price Equity Index 500 Portfolio (IF)</b>	
Seeks to match the performance of the Standard & Poor's 500 Stock Index® . . . . .	_____ %
<b>T. Rowe Price International Stock Portfolio (TS)</b>	
Seeks long-term growth of capital through investments primarily in the common stocks of established, non-U.S. companies . . . . .	_____ %
<b>T. Rowe Price New America Growth Portfolio (NG)</b>	
Seeks to provide long-term capital growth by investing primarily in the common stocks of growth companies . . . . .	_____ %
<b>Van Eck Worldwide Hard Assets Fund – Initial Class (HA)</b>	
Seeks long-term capital appreciation by investing primarily in “hard asset” securities. Income is a secondary consideration . . . . .	_____ %

**HIGHEST RISK**

<b>MainStay VP Small Cap Growth Portfolio – Initial Class (SC)</b>	
Seeks long-term capital appreciation by investing in securities of small-cap companies . . . . .	_____ %
<b>Dreyfus IP Technology Growth Portfolio – Initial Shares (DT)</b>	
Seeks capital appreciation by investing in technology companies . . . . .	_____ %
<b>LVIP Baron Growth Opportunities Fund – Service Class (BR)</b>	
Seeks capital appreciation through long-term investments in securities of small and mid-sized companies with undervalued assets or favorable growth prospects . . . . .	_____ %
<b>Morgan Stanley UIF Emerging Markets Equity Portfolio – Class I Shares (MS)</b>	
Seeks long-term capital appreciation by investing primarily in growth-oriented equity securities of issuers in emerging market countries . . . . .	_____ %

**Exempt Investment Divisions Available to 3(c)(1) and 3(c)(7) Investors**

<b>Caisson Partners, L.P.</b> Private Placement Variable Universal Life Separate Account 19 (19CL) The overall investment objective of the partnership is to generate consistent rates of risk-adjusted total return through investments in a diversified portfolio of managers and funds with results that are not correlated to the stock and bond markets . . . _____%
<b>Ryan Labs TIPS Partners, L.P.</b> Private Placement Variable Universal Life Separate Account 18 (18RL) The overall investment objective of the Partnership is to seek total return while providing protection against inflation. The General Partner will attempt to accomplish these investment objectives by investing solely in Treasury Inflation Protected Securities (“TIPS”) issued by the government of the United States . . . . . _____%
<b>Titan Legacy Fund II, L.P.</b> Private Placement Variable Universal Life Separate Account 7 (07T2) Seeks to attain long-term equity-like returns with minimal correlation to the major market averages . . . . . _____%

**Exempt Investment Divisions Only Available to 3(c)(7) Investors**

<b>Asset Allocation Blend - 65% Fixed Income /35% Equity</b> Private Placement Variable Universal Life Separate Account 26A (R1) Seeks to track the market performance of a broadly diversified asset allocation of 65% Fixed Income / 35% Equity by investing in passive index tracking vehicles such as Exchange Traded Funds, by directly investing in securities with the goal of replicating indexes, or by utilizing other index tracking methods. . . . . _____%
<b>Frontpoint Absolute Return Fund, L.P. (Series A)</b> Private Placement Variable Universal Life Separate Account 9 (09FT) The Fund will initially invest in the following investment strategies managed by investment teams that are affiliated with or selected by the managers (the “Frontpoint Managers”) of the Underlying Funds (as defined herein): fixed income arbitrage, utilities & energy, healthcare, financial services, Japanese securities, Asia Pacific securities, quantitative and European securities . . . _____%
<b>Titan Legacy Fund I, L.P. (Series A)</b> Private Placement Variable Universal Life Separate Account 6 (06T1) The Partnership will seek to attain consistent, superior capital appreciation through the use of a multi-manager investment strategy . . . . . _____%
<b>Titan Legacy Fund I, L.P. (Series B)</b> Private Placement Variable Universal Life Separate Account 6 (06T4) The Partnership will seek to attain consistent, superior capital appreciation through the use of a multi-manager investment strategy. It is anticipated that the investment strategy for the Series B Interests will be more concentrated in less Portfolio Funds with focus on a limited number of investment strategies. Consequently, Series B Interests will be subject to the potential for greater volatility . . . . . _____%
<b>Titan Legacy Ultra Fund, L.P.</b> Private Placement Variable Universal Life Separate Account 6 (06T3) Seeks to attain consistently superior capital appreciation through the use of a multi-manager investment strategy. It is anticipated that the Partnership will utilize a significant amount of leverage as part of its investment strategy. The General Partner believes that leverage will allow the Partnership to take advantage of investing with quality Portfolio Managers identified through the General Partner’s diligent investment process . . . . . _____%]

Total . . . . . \_\_\_\_\_%

Please make sure the Total equals . . . . . 100%

Exempt Investment Divisions may require a notice prior to the Liquidity Date for initial and subsequent investments and/or transfers among Investment Divisions. In addition, Exempt Investment Divisions may have minimum investment amounts. Please refer to the policy/certificate and the Private Placement Memorandum for each Exempt Investment Division setting forth Notice Periods, Liquidity Dates and minimum investment amount for that Exempt Investment Division. Investment Divisions may limit investments in the future. If an Exempt Investment Division you have elected becomes closed to new investments, we will notify you. Refer to the funds’ Private Placement Memorandum for more information about the fund’s investment strategies and risks.

Served by: New York Life Advanced Markets Network, Attention: Executive Benefits, 11400 Tomahawk Creek Parkway, Suite 200,  
Leawood, KS 66211, Toll Free (888) 695-4748  
Issued by: New York Life Insurance and Annuity Corporation, 51 Madison Avenue, New York, NY 10010  
Distributed by: NYLIFE Distributors LLC, Member FINRA/SIPC

# APPLICANT / OWNER / INSURED INFORMATION

Applicant/Owner's Name \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Tax ID # \_\_\_\_\_

Trustee (if Applicant/Owner is a Trust)

Is Applicant/Owner or Trustee Employed by another FINRA/SIPC firm? Yes  No

If "Yes", please indicate Name and Address of Firm \_\_\_\_\_

\_\_\_\_\_

Insured's Name \_\_\_\_\_

## GENERAL:

- I/We understand that neither the policy/certificate nor the Separate Accounts have been registered with the Securities and Exchange Commission under the Securities Act of 1933 ("1933 Act"), as amended or the Investment Company Act of 1940 ("1940 Act"), as amended. The policy/certificate is being sold in reliance on an exemption for sales of securities in private placements to Accredited Investors as defined in Regulation D under the 1933 Act. The policy/certificate may not be sold or otherwise transferred except pursuant to registration or an exemption from registration under the 1933 Act. All transfers are subject to our prior consent in our discretion.
- I/We understand that in order to make payments into the policy/certificate, make transfers among the Investment Divisions, or take a loan or partial surrender, I/we must be an "Eligible Investor" as that term is defined in the policy/certificate and the Private Placement Memorandum. However, in the event I/we cease to be an "Eligible Investor", I/we may exchange the policy/certificate for a registered policy/certificate or surrender the policy/certificate and receive the Cash Surrender Value.
- I/We understand that the product applied for is a life insurance policy/certificate with an investment component, and that monthly deductions for policy/certificate charges and expenses will be deducted from the policy/certificate's cash value.
- **I/WE UNDERSTAND THAT UNDER THE POLICY/CERTIFICATE APPLIED FOR THE AMOUNT OF THE LIFE INSURANCE BENEFIT AND CASH VALUE MAY INCREASE OR DECREASE DEPENDING UPON INVESTMENT EXPERIENCE OF THE SEPARATE ACCOUNTS.**
- **I/WE UNDERSTAND THAT THE DEATH BENEFIT MAY BE VARIABLE OR FIXED UNDER SPECIFIC CONDITIONS.**
- I/We understand that a life insurance policy/certificate involves a long-term financial commitment and I/we should have other liquid assets available for day-to-day living expenses and other major anticipated obligations.
- I/We understand that I/we may lose the life insurance benefit if the cash surrender value of the policy/certificate is not sufficient to pay all the monthly deduction charges even if I/we continue making planned premium payments.

## MONTHLY DEDUCTION CHARGE ALLOCATION:

- I/We understand that the Company will deduct from the initial premium an amount equal to the estimated Monthly Deduction Charges for up to twelve months and to allocate that amount to the Cash Reserve Account that I/We selected on page 1 of this form. Subsequently, if the amount in the Cash Reserve Account falls below the estimated Monthly Deduction Charges for the upcoming three months, I/We understand that the Company will deduct from the Investment Divisions an amount equal to the greater of the anticipated Monthly Deduction Charges for six months or the anticipated Monthly Deduction Charges up to the next policy/certificate anniversary and to allocate that amount to the Cash Reserve Account.
- I/We understand that the Company will deduct all Monthly Deduction Charges from the Cash Reserve Account.

If there is insufficient value in the Cash Reserve Account, the Company will allocate charges first among the Registered Investment Divisions in proportion to the value of your investment in each Registered Investment Division on the date of the charge.

If there is insufficient value in the Registered Investment Divisions, the Company will allocate charges among the Exempt Investment Divisions in proportion to the value of your investment in each Exempt Investment Division on the date of the charge, and deduct that amount as of each Investment Division's next Liquidity Date.

## APPLICANT / OWNER SIGNATURE

Those person(s) who sign below agree and affirm that:

- I/we have read and understood the above General provisions,
- I/we have read and understood a current Private Placement Memorandum for the policy/certificate applied for and have received, read and understood the Private Placement Memorandum for the Exempt Investment Divisions and the Prospectus for the Registered Investment Divisions offered under the policies; and
- I/we acknowledge that I/we understand the objectives, risks, sales charges, and all expenses applicable to the policy/certificate. This variable universal life insurance policy/certificate is in accordance with my/our investment objectives and anticipated financial needs. Past performance is not a guarantee of future results.
- I/we acknowledge that each time I/we complete this form, I/we are also re-certifying my/our status as an Eligible Investor as defined in the policy/certificate and Private Placement Memorandum.

Applicant/Owner Signature \_\_\_\_\_ Date \_\_\_\_\_

Other Required Signature \_\_\_\_\_ Date \_\_\_\_\_

State where application is signed \_\_\_\_\_

**A copy of this completed Supplementary Application is attached to and made a part of the contract.**

**REGISTERED REPRESENTATIVE INFORMATION:**

I have not made any representations that are inconsistent with the Private Placement Memorandum.

1. Rep Code \_\_\_\_\_ Print Registered Rep Name \_\_\_\_\_

License ID \_\_\_\_\_ Registered Rep Signature \_\_\_\_\_

Date \_\_\_\_\_

2. Rep Code \_\_\_\_\_ Print Registered Rep Name \_\_\_\_\_

License ID \_\_\_\_\_ Registered Rep Signature \_\_\_\_\_

Date \_\_\_\_\_

3. Rep Code \_\_\_\_\_ Print Registered Rep Name \_\_\_\_\_

License ID \_\_\_\_\_ Registered Rep Signature \_\_\_\_\_

Date \_\_\_\_\_

**REGISTERED REPRESENTATIVE INITIAL  
SUITABILITY REVIEWED:**

Name (Print) \_\_\_\_\_

Title \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_

**BROKER/DEALER SUITABILITY REVIEWED:  
APPLICATION ACCEPTED SUBJECT TO  
UNDERWRITING BY:**

Name (Print) \_\_\_\_\_

Title \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_

# SUMMARY OF EXEMPT INVESTMENT DIVISION TERMS

For full descriptions of the funds, please refer to your Private Placement Memorandum.

**Valuation Frequency** ..... [ Monthly ]

**Valuation Date** ..... [ • Asset Allocation Blend: The first day the NYSE is open of each calendar month.  
• Caisson: The last day the NYSE is open of each calendar month.  
• Frontpoint: The last day the NYSE is open of each calendar month.  
• Ryan Labs: The last day the NYSE is open of each calendar month.  
• Titan I (A&B): The last day the NYSE is open of each calendar month.  
• Titan II: The last day the NYSE is open of each calendar month.  
• Titan Ultra: The last day the NYSE is open of each calendar month.]

## INVESTMENTS

**Liquidity Date** ..... [ • Asset Allocation Blend: Two (2) business days prior to the Valuation Date.  
• Caisson: One (1) business day prior to the Valuation Date.  
• Frontpoint: Three (3) business days prior to the Valuation Date.  
• Ryan Labs: The Valuation Date.  
• Titan I (A&B): The Valuation Date.  
• Titan II: The Valuation Date.  
• Titan Ultra: Two (2) business days prior to the Valuation Date.]

**Notification Period** ..... [ Five (5) business days prior to the Liquidity Date.]

## DISBURSEMENTS

**Liquidity Date** ..... [ • Asset Allocation Blend: The first day the NYSE is open after the 1st business day of each calendar month.  
• Caisson: The first day the NYSE is open after the 15th day of each calendar quarter.  
• Frontpoint: The first day the NYSE is open after the 15th day of each calendar month.  
• Ryan Labs: The first day the NYSE is open after the 15th day of each calendar month.  
• Titan: The first day the NYSE is open after the 15th day of each calendar quarter.]

**Notification Period** ..... [ • Asset Allocation Blend: 5 days prior to the last day the NYSE is open of each calendar month.  
• Caisson: 60 days prior to the last day the NYSE is open of each calendar quarter.  
• Frontpoint: 45 days prior to the last day the NYSE is open of each calendar month.  
• Ryan Labs: 30 days prior to the last day the NYSE is open of each calendar month.  
• Titan: 60 days prior to the last day the NYSE is open of each calendar quarter.]

**Minimum Investment** ..... [ \$100,000 ]

**Minimum Balance** ..... [ \$100,000 ]

**Minimum Disbursement** ..... [ \$100,000 ]