



## Small Group Sold Group Checklist

The “Sold Group Checklist” is a summary of required documents as noted in the [Regional Small Group New Business Submission Guide](#) and also the [Underwriting Guidelines](#). Please direct questions regarding this document to your Highmark Sales Representative.

**SUBMISSION PAPERWORK** - Please reference the **Regional Small Group New Business Submission Guide** for specific or additional information.

- Small Group Business Application**
  - Pages 1, 2, and page 3 must be fully completed, signed and dated by an authorized group representative.
  - If applicable, [Certification of Eligibility to Combine and Employer Group Size](#)
    - Use if enrolling related entities subject to IRC 414 code
- Electronic Enrollment/Waiver Spreadsheet -OR- Enrollment/Waiver Form**
  - Enrollment/Waiver spreadsheet - In lieu of submitting paper enrollment/waiver forms this spreadsheet can be completed and submitted.
    - Please refer to the Small Group Business Application section IX- Enrollment Applications and Waiver Forms
  - OR-
  - Include forms for ALL eligible employees that are signed and dated
    - If enrolling, please complete section 1 & 5, and if applicable sections 2, 3 and 4
    - If waiving, please complete section 1 & 3
    - COBRA election notices are required for all COBRA beneficiaries
- Unemployment Compensation (UC) Tax Report (1<sup>st</sup> and 2<sup>nd</sup> pages) -OR- Year to Date Payroll (if UC exempt or New Start Up Business)**
  - Group Administrator must use the annotations found in the Regional New Business Submission Guide to note each person’s employment status and sign/date the document.
  - New Employees that do not appear on the UC report
    - Submit most recent paystub –or- payroll report
    - [New Employee Affidavit](#) – Should be completed for any new employee(s) that do not yet appear on the payroll report
- Ownership Documentation**
  - Schedule C (Form 1040 for Profit or Loss from Business), Schedule E (Form 1040 for Supplemental Income and Loss), Schedule F (Form 1040 Profit or Loss from Farming), or Schedule H (Form 1040 for Household Employment Taxes)
  - Form 1065 and Schedule K-1s
  - Form 1120S (S Corporation) and Schedule K-1s
  - Form 1120 (C Corporation) (Officers must appear on UC/Payroll as FT employees)
    - Form 1125-E – Can show compensation paid to officers
  - Form 990 (Religious/Non-Profit Organizations)
- New “Start-up” Businesses** – Must provide ALL of the following documents:
  - [Start Up Business Affidavit](#) – Should be completed if the UC report or payroll is not yet available
  - SS-4 letter received from the IRS showing the EIN assignment
  - If UC report has not yet been filed, then the payroll listing for ALL employees annotated by employer

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**Additional Forms:**

- [Act 4 of 2009 Form](#)
- [Affidavit of Common Law Marriage](#)
- [Disabled Dependent Application](#)
- [Disability Verification Form](#)
- [Domestic Partner Affidavit](#)
- Spending Account Forms**
  - [HSA Application](#)

**Note:** Information on required tax documents **should NOT be omitted or altered in any way** as it affords Underwriting the ability to determine whether a group is a viable full-time business and how many owners/employees are eligible for group coverage. Wage/income information is only used to validate owner/employee eligibility based on weekly hour/probationary requirements and will be kept strictly confidential as noted in the terms below. Underwriting reserves the right to request additional information not listed above when deemed necessary.

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