



Direct Rollover/Transfer To ICMA-RC Form: Form #1 - Page 1 of 3

- Do not use this form to transfer from a 457 plan with your current employer to an ICMA-RC 457 plan also with your current employer.
- Use this form to request a direct rollover/transfer of assets from a retirement plan at another financial organization (401 defined contribution, 401 defined benefit, 403(b), 457), or Traditional or Conduit or SEP IRA to an ICMA-RC 457 or 401 plan. Do not use this form to request a transfer to a Vantagepoint IRA.
- If you are new to the ICMA-RC plan you are transferring into, you must also complete the appropriate enrollment form.

1 Personal Information	<p>Full Name of Participant</p> <p>_____</p> <p style="text-align: center; font-size: small;">Last First M.I.</p> <p>Social Security Number (for tax-reporting purposes) Date of Birth Daytime Phone Number</p> <p>_____ / _____ / _____ (____) _____ - _____</p> <p style="text-align: center; font-size: small;">Month Day Year Area Code</p> <p>Mailing Address/Street _____</p> <p>City _____ State _____ Zip Code _____</p> <p style="text-align: right;">Marital Status</p> <p style="text-align: right;"><input type="checkbox"/> Married <input type="checkbox"/> Single</p>
2 Transfer To	<p>I want to transfer assets to my ICMA-RC: (Check only one box. Each transfer requires a separate form.)</p> <p><input type="checkbox"/> 457 Plan Account Number: 3 0 _____ Employer Plan Name _____</p> <p><input type="checkbox"/> 401 Plan Account Number: 1 0 _____ Employer Plan Name _____</p>
3a Transfer From (Other Provider Account Information)	<p>I am requesting a direct rollover from the account specified below.</p> <p><input type="checkbox"/> 457 plan <input type="checkbox"/> 401 plan <input type="checkbox"/> 403(b) plan <input type="checkbox"/> Traditional IRA <input type="checkbox"/> Other: _____</p> <p>Name of Trustee/Custodian* _____</p> <p>Name of Eligible Employer Plan (if applicable) _____</p> <p>Phone Number of Trustee/Custodian* (____) _____ - _____</p> <p>Address of Trustee/Custodian* _____</p> <p>City* _____ State* _____ Zip Code* _____ - _____</p> <p>Account Number* _____</p> <p>*Must be completed - lack of provider information may delay your transfer request.</p>
3b Transfer Amount (must be completed)	<p>I wish to liquidate and transfer:</p> <p><input type="checkbox"/> 100% of my account balance (Estimated Transfer Amount \$ _____).</p> <p style="text-align: center;">OR</p> <p><input type="checkbox"/> Partial transfer in the amount of \$ _____.</p>
3c Roth or Other After-Tax Assets	<p>Note that if the recipient plan specified in Section 2 of this form is not able to accept a rollover of Roth or other after-tax assets, these amounts will be distributed to you, unless you request that these amounts not be transferred.</p> <p><input type="checkbox"/> _____ % Check this box and specify an alternate percentage if you want less than 100% of your Roth and/or other after-tax assets transferred/distributed with your request (if applicable).</p> <p>Please confirm that your 457 or 401(k) plan permits roll-ins of Roth assets prior to requesting a rollover. Note that other after-tax assets are not eligible for a rollover into a 457 plan.</p> <p>Note to Transferring Financial Organization – If the transfer includes Roth or other after-tax assets please note the following on the check/wire: 1) the amount of Roth or other after-tax contributions, 2) the amount attributable to earnings on the Roth or other after-tax contributions, and 3) the date of the participant's first Roth contribution (if applicable). For transfers to a 457 plan, the amount of non-457 rollover assets (if any) should also be noted.</p>



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Employer Plan Number

Social Security Number

_____ - _____ - _____

<p>4 Rollover Investment Allocation</p>	<p>Assets will be invested in your account according to your rollover allocation instructions. You can provide or confirm your rollover investment allocation by accessing your account online at www.icmarc.org and select the "Manage My Account" tab and the "Future Allocations" menu option or by contacting ICMA-RC. Read below for information on how rollover assets will be invested in the absence of valid rollover allocation instructions.</p> <p>457 Plan: In the absence of valid rollover allocation instructions, assets will be invested according to the allocation instructions for contributions to your account (or to the default fund selected by your employer, if you have not yet provided allocation instructions for the investment of contributions to your account).</p> <p>New York State 457 Deferred Compensation Plan: If your 457 plan account is with an employer in New York State, the transferred assets will be invested according to the same allocation instructions that are used for the investment of contributions to your account (or to the default fund selected by your employer, if you have not yet provided allocation instructions for the investment of contributions to your account).</p> <p>401 Plan: In the absence of valid rollover allocation instructions, assets will be invested in the default fund selected by your employer.</p> <p><i>ICMA-RC will send you a confirmation notice when the transferred assets have been received and credited to your account. You will have the ability to transfer your assets to any investments available within your plan at any time by accessing your account online at www.icmarc.org or by contacting ICMA-RC.</i></p>
<p>5 Participant Signature</p>	<p>I acknowledge that I have read and agree to the disclosures shown in the instructions for this section. I have also read and agree to the process described in Section 4 of this form relating to how the transferred assets will be invested within my account.</p> <p>I authorize and request the custodian of my existing retirement plan specified in Section 3a to liquidate and transfer my existing account to the ICMA-RC account specified in Section 2 of this form.</p> <p>Signature _____ Date _____ / _____ / _____ <small style="margin-left: 100px;">Month Day Year</small></p>
<p>6 Signature Guarantee</p>	<p>Signature Guarantee</p> <p>Some plan providers require a signature guarantee on the transfer request form (ICMA-RC does not). Please check with your current plan provider to see if they require a signature guarantee, as the lack of a required signature guarantee may delay the processing of your transfer request. Signature guarantees can be obtained at most local banks.</p> <p>Authorized Officer to Place Stamp Here</p> <p style="text-align: right;">_____ Guarantor</p> <p style="text-align: right;">_____ Title</p>

(EXTERNAL)