

## Incoming Rollover Request 401(k) Plan

### PERSI Choice 401(k) Plan

95270-01

Do not send payment with this form. Once your rollover is approved, Service Provider will contact you and provide payment instructions.

#### Participant Information

Last Name			First Name			MI			Social Security Number										
Address - Number & Street												E-Mail Address							
City				State		Zip Code				Mo		Day		Year		<input type="checkbox"/> Female		<input type="checkbox"/> Male	
( ) Home Phone				( ) Work Phone				Date of Birth				<input type="checkbox"/> Married		<input type="checkbox"/> Unmarried					

#### Rollover Information

Amount of Rollover: \$ \_\_\_\_\_ (Enter approximate amount if exact amount is not known.)

Before investing your rollover contribution, Empower Retirement ("Service Provider") must first receive all required documentation and approve your rollover request. Rollover contributions received before approval is granted will not be invested until after approval is granted. The amount received before this form is approved may be returned to the issuer. See enclosed Step-by-Step Instructions for Rollover Contributions.

- I am choosing a Direct Rollover from a:
- Qualified 401(a) Plan (Profit Sharing or Money Purchase)
  - Qualified 401(k) Plan
  - 403(b) Plan
  - Governmental 457(b) Plan
  - Traditional IRA (Non-deductible contributions/basis may not be rolled over)
- I am choosing a Regular 60-Day Rollover from a:
- Qualified 401(a) Plan (Profit Sharing or Money Purchase)
  - Qualified 401(k) Plan
  - 403(b) Plan
  - Governmental 457(b) Plan
  - Traditional IRA (Non-deductible contributions/basis may not be rolled over)

A copy of the original distribution check stub must be attached

#### Previous Provider Information:

Company Name						Account Number											
Mailing Address												( )					
City/State/Zip Code						Phone Number											



Last Name

First Name

MI

Social Security Number

Required Documentation

Indicate the required documents enclosed:

For Rollovers from an IRA

- Most recent Account Statement or Final Distribution Statement from previous IRA provider showing the Internal Revenue Code ("IRC") (i.e. Traditional IRA or 408)

For Rollovers from All Eligible Plans

- Most recent Account Statement or Final Distribution Statement from previous employer's plan showing the Internal Revenue Code ("IRC") and Plan Name.

If the Internal Revenue Code and Plan Name are not reflected on this account statement, ALSO obtain the following certification and the signature of the Plan Administrator of the distributing Plan:

The name of the distributing Plan is: (hereinafter referred to as the "Plan").

The Plan Administrator of the Plan certifies to the best of their knowledge that:

- The Plan is designed or intended to be and meets the requirements of (please check one):
- Qualified 401(a) Plan
- Qualified 401(k) Plan
- 403(b) Plan
- Governmental 457(b) Plan
(2) To the extent applicable, consent requirements have been satisfied prior to a rollover.
(3) The amounts are eligible for rollover as described in Code Section 402(c).
(4) Amount of Rollover: \$ (Enter approximate amount if exact amount is not known).

Authorized Plan Administrator/Trustee

Signature for Previous Employer's Plan:

A handwritten signature is required on this form. An electronic signature will not be accepted and will result in a significant delay.

Name (print)

Title

Company Name

Date

Investment Option Information - Please refer to your communication materials for investment option designations.

I understand that funds may impose redemption fees on certain transfers, redemptions or exchanges if assets are held less than the period stated in the fund's prospectus or other disclosure documents. I will refer to the fund's prospectus and/or disclosure documents for more information.

Select either existing ongoing allocations (A) or your own investment options (B).

(A) Existing Ongoing Allocations

- I wish to allocate this rollover the same as my existing ongoing allocations.

(B) Select Your Own Investment Options

Please Note: For automatic dollar cost averaging call the Voice Response System or access our Web site.

INVESTMENT OPTION

INVESTMENT OPTION

Table with 4 columns: NAME, TICKER, CODE, % for two investment option sections. Includes funds like PERSI Total Return Fund, Vanguard Growth & Income Adm, etc.

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Last Name

First Name

MI

Social Security Number

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## Participant Acknowledgements

**General Information** - I understand that only certain types of distributions are eligible for rollover treatment and that it is solely my responsibility to ensure such eligibility. By signing below, I affirm that the funds I am rolling are in fact eligible for such treatment. I authorize these funds to be transferred into my employer's Plan and to be invested according to the information specified in the Investment Option Information section. I understand and agree that this account is subject to the terms of the Plan Document.

If the investment option information is missing or incomplete, I authorize Service Provider to allocate the rollover assets ("assets") the same as my ongoing contributions (if I have an account established) or to the default investment option selected by the Plan (if I do not have an investment election on file). If no default investment option is selected the Plan, the funds will be returned to the payor as required by law. If initial rollover or additional assets from the same provider are received more than 180 calendar days after Service Provider receives this Incoming Rollover form (this "form"), I authorize Service Provider to allocate all monies received the same as my most recent investment election on file with Service Provider. I understand I must call the Voice Response System at 1-866-437-3774 or access the Web site at [www.mypersi401k.com](http://www.mypersi401k.com) in order to make changes or transfer monies from the default investment option. I understand that this completed form must be received by Service Provider at the address provided on this form. Assets will not be invested until after approval is granted. Forms and documentation received after market close will be reviewed for approval the following business day.

I understand that the current Custodian/Provider may require that I furnish additional information before processing the transaction requested on this form, and Service Provider is not responsible for determining the status of any transaction that I have requested. It is entirely my responsibility to provide the current Custodian/Provider with any information that they may require, and/or to notify Service Provider of any information that the current Custodian/Provider may wish to obtain in order to effect the transaction.

**Withdrawal Restrictions** - I understand that the Internal Revenue Code and/or my employer's Plan Document may impose restrictions on rollovers and/or distributions. I understand that I must contact the Plan Administrator/Trustee, if applicable, to determine when and/or under what circumstances I am eligible to receive distributions and make rollovers.

**Investment Options** - I understand and acknowledge that all payments and account values, when based on the experience of the investment options, may not be guaranteed and may fluctuate, and, upon redemption, shares may be worth more or less than their original cost. I acknowledge that investment option information, including prospectuses, disclosure documents, and fund profile sheets have been made available to me and I understand the risks of investing.

**Account Corrections** - I understand that it is my obligation to review all confirmations and quarterly statements for discrepancies or errors. Corrections will be made only for errors which I communicate within 90 calendar days of the last calendar quarter. After this 90 days, account information shall be deemed accurate and acceptable to me. If I notify Service Provider of an error after this 90 days, the correction will only be processed from the date of notification forward and not on a retroactive basis.

**Outstanding Loan Balance** - An outstanding loan balance cannot be included in the transfer/rollover. However, you may pay off the outstanding loan balance *before* this transfer/rollover is submitted. After the loan is paid off, you may submit this transfer/rollover request. If you do not pay off the outstanding loan balance, you may transfer/rollover only the cash value (not including the loan) from the contract that has the outstanding loan.

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## Required Signature(s) and Date

### Participant Consent

My signature indicates that I have read, understand the effect of my election and agree to all pages of this Incoming Rollover Request form. I affirm that all information provided is true and correct. If a rollover is requested I certify that: 1) I was entitled to a distribution as a participant, not as a beneficiary; 2) the distribution was neither one of a series of periodic payments or required minimum distribution nor a hardship distribution; 3) the rollover contribution is being made to the Plan within 60 days from the date I received my distribution, 4) the entire amount being rolled over would be included in my income if it were not being rolled over; and 5) that the entire amount is being rolled over from an "eligible retirement plan" within the meaning of Code Section 402. I understand that Service Provider is required to comply with the regulations and requirements of the Office of Foreign Assets Control, Department of the Treasury ("OFAC"). As a result, Service Provider cannot conduct business with persons in a blocked country or any person designated by OFAC as a specially designated national or blocked person. For more information, please access the OFAC Web site at: <http://www.treasury.gov/about/organization-structure/office/Pages/Office-of-Foreign-Assets-Control.aspx>

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**Participant Signature**

**Date**

*A handwritten signature is required on this form. An electronic signature will not be accepted and will result in a significant delay.*

### Core securities, when offered, are offered through GWFS Equities, Inc. and/or other broker dealers.

GWFS Equities, Inc., Member FINRA/SIPC, is a wholly owned subsidiary of Great-West Life & Annuity Insurance Company.

Empower Retirement refers to the products and services offered in the retirement markets by Great-West Life & Annuity Insurance Company (GWL&A), Corporate Headquarters: Greenwood Village, CO; Great-West Life & Annuity Insurance Company of New York, Home Office: NY, NY; and their subsidiaries and affiliates. All trademarks, logos, service marks, and design elements used are owned by their respective owners and are used by permission.

## Step-by-Step Instructions for Rollover Contributions

### Participant Instructions

PERSI Choice 401(k) Plan offers you the opportunity to “roll over” the distribution you receive from your previous Employer’s Plan or your IRA. The following information and instructions are designed to help you through this process. If you have any questions, please contact the Voice Response System at 1-866-437-3774.

### Determine Whether Your Contribution Is a Direct Rollover or a Regular 60-Day Rollover

#### Direct Rollover

Return this Incoming Rollover form (fully completed),  
*plus*, required supporting documentation (see Required Documentation section),

#### DO NOT SEND PAYMENT TO THE ADDRESS BELOW.

<u>Regular Mail</u>	Empower Retirement PO Box 173764 Denver, CO 80217-3764
<u>Overnight Express</u>	8515 East Orchard Road Greenwood Village, CO 80111
<u>Phone</u>	1-866-437-3774
<u>Fax</u>	1-866-745-5766

#### Regular 60-Day Rollover

Return this Incoming Rollover form (fully completed),  
*plus*, copy of stub from other investment provider/company’s distribution check,  
*plus*, required supporting documentation (see Required Documentation section) to:

#### DO NOT SEND PAYMENT TO THE ADDRESS BELOW.

<u>Regular Mail</u>	Empower Retirement PO Box 173764 Denver, CO 80217-3764
<u>Overnight Express</u>	8515 East Orchard Road Greenwood Village, CO 80111
<u>Phone</u>	1-866-437-3774
<u>Fax</u>	1-866-745-5766

**Send no check (money) with this form. Once your rollover is approved, Empower Retirement will contact you and provide payment instructions.**

#### IMPORTANT INFORMATION AND REMINDERS

This form must arrive at Empower Retirement prior to the transaction proceeds. Rollover contributions received before transaction approval will not be invested until approval is granted.

In the event that a rollover contribution is made that can not be accepted, the rollover contribution will be made payable to and returned to the issuer.

Examples of contributions that can not be rolled over:

Any required minimum distributions (i.e. amount being paid to you because you are age 70 1/2 or older)

Distributions that are a series of periodic payments (made at least annually and paid to you over your life expectancy or the life expectancy of you and your beneficiary) or for a period of at least 10 years.

Review decisions related to your qualified plan distribution with your financial advisor or your tax advisor.

#### If Electing a Direct Rollover

For a Direct Rollover from a Traditional IRA please note: The maximum amount eligible is the total amount of your deductible IRA contributions plus earnings. Non-deductible IRA contributions may not be rolled over. If your rollover amount was held in a conduit IRA and you were born before January 1, 1936, you may be eligible for capital gains treatment. In this instance, you may want to track these rollover amounts in order to be eligible for favorable tax treatment. If the amounts were from a SIMPLE IRA, you would have had to participate in the SIMPLE IRA for a minimum of two years.

#### If Electing a Regular 60-Day Rollover

If choosing a Regular 60-Day Rollover, remember to send a copy of the check stub from the previous provider, showing the amount of distribution and withholding.

Please Note: If you are making a “Regular 60-Day Rollover” under Federal Regulations, you have 60 (sixty) days from the date you receive your distribution to make a rollover contribution. After 60 days, Service Provider cannot accept your rollover contribution. It is your responsibility to ensure that Service Provider receives all required documentation **AND** your rollover contribution prior to the expiration of the 60-day period. There are no exceptions to the 60-day rule. You will be responsible for any income tax or tax penalties for failure to meet the 60-day rule for rollover contributions when information is not provided and the rollover contribution is not made within the 60-day period.