

# **Incoming Direct Rollover** 401(k) **Plan**

Do not complete the Investment Option Information portion of this form if you elected to have your account professionally managed by Empower Advisory Group, LLC ("EAG").

Participant Information    Last Name
Address - Number & Street  City  State Zip Code  Home Phone  Work Phone  Direct Rollover Information  Current Plan Administrator must sign this form if Designated Roth Account is being directly rolled over.  I am choosing a:  Direct Rollover, as allowed by your Plan, from a qualified:  401(a) Plan  Non-Roth: \$
Address - Number & Street  City State Zip Code Home Phone Work Phone  Direct Rollover Information  Current Plan Administrator must sign this form if Designated Roth Account is being directly rolled over.  I am choosing a: Direct Rollover, as allowed by your Plan, from a qualified: 401(a) Plan Non-Roth: \$
City State Zip Code
Date of Birth   Date of Birt
Home Phone Work Phone  Direct Rollover Information  Current Plan Administrator must authorize by signing in the Required Signatures section.  Previous Plan Administrator must sign this form if Designated Roth Account is being directly rolled over.  I am choosing a:  Direct Rollover, as allowed by your Plan, from a qualified:  401(a) Plan  401(k) Plan  Non-Roth: \$
Direct Rollover Information  Current Plan Administrator must authorize by signing in the Required Signatures section.  Previous Plan Administrator must sign this form if Designated Roth Account is being directly rolled over.  I am choosing a:  Direct Rollover, as allowed by your Plan, from a qualified:  401(a) Plan  401(k) Plan  Non-Roth: \$
Current Plan Administrator must authorize by signing in the Required Signatures section.  Previous Plan Administrator must sign this form if Designated Roth Account is being directly rolled over.  I am choosing a:  Direct Rollover, as allowed by your Plan, from a qualified:  401(a) Plan  401(k) Plan  Non-Roth: \$
Previous Plan Administrator must sign this form if Designated Roth Account is being directly rolled over.  I am choosing a:  Direct Rollover, as allowed by your Plan, from a qualified:  401(a) Plan  401(k) Plan  Non-Roth: \$
I am choosing a:  Direct Rollover, as allowed by your Plan, from a qualified:  401(a) Plan  401(k) Plan  Non-Roth: \$
<ul> <li>□ Direct Rollover, as allowed by your Plan, from a qualified:</li> <li>□ 401(a) Plan</li> <li>□ 401(k) Plan</li> <li>□ Non-Roth: \$</li></ul>
<ul> <li>□ Direct Rollover, as allowed by your Plan, from a qualified:</li> <li>□ 401(a) Plan</li> <li>□ 401(k) Plan</li> <li>□ Non-Roth: \$</li></ul>
<ul> <li>401(k) Plan</li> <li>Non-Roth: \$</li></ul>
<ul> <li>Non-Roth: \$</li></ul>
<ul> <li>Non-Roth: \$</li></ul>
□ Roth: \$ (employee contributions and earnings) □ Governmental 457(b) Plan □ 403(b) Plan □ Non-Roth: \$ (all contributions and earnings, excluding Roth contributions and earnings) □ Roth: \$ (employee contributions and earnings) □ Direct Rollover from a Traditional IRA, as allowed by your Plan (Non-deductible contributions/basis may not be rolled over)  Previous Provider Information:
□ 403(b) Plan □ Non-Roth: \$
□ 403(b) Plan □ Non-Roth: \$
□ Roth: \$ (employee contributions and earnings) □ Direct Rollover from a Traditional IRA, as allowed by your Plan (Non-deductible contributions/basis may not be rolled over)  Previous Provider Information:
□ Roth: \$ (employee contributions and earnings) □ Direct Rollover from a Traditional IRA, as allowed by your Plan (Non-deductible contributions/basis may not be rolled over)  Previous Provider Information:
Previous Provider Information:
Company Name Account Number
Company Name Account Number
Mailing Address
City/State/Zip Code Phone Number
City/State/Zip Code Phone Number  Previous Provider Must Complete:
After-tax cost basis \$
After-tax earnings \$
Note: If the above information is not provided, all amounts received will be considered employee before-tax contributions and earnings.
Previous Plan Administrator must provide the following information for Designated Roth Account Rollovers:
Roth first contribution date:
Roth contributions (no earnings): \$ Roth earnings: \$
Roth Controduction (no Carmings), w Roth Carmings, w
Previous Plan Authorized Plan Administrator/Trustee Signature Date

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

Last Name	First Name	M.I.	Social Security Number	375340-01 Number
Amount of Direct Rollover: \$	(Enter approximate	amount if ex	xact amount is not known.)	

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.

Do not complete the Investment Option Information portion of this form if you elected to have your account professionally managed by Empower Advisory Group, LLC ("EAG").

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 Client Service Department or access our Web site.

# **INVESTMENT OPTION**

## INVESTMENT OPTION

NAME	TICKER	CODE	<u>%</u>	NAME	TICKER	CODE	<u>%</u>
American Funds EuroPacific Gr R6	. RERGX	RERGX		AB Large Cap Growth Z	. APGZX	<b>APGZX</b>	
Fidelity International Index	. FSPSX	FSPSX		JPMorgan U.S. Value R6	VGINX	VGINX	
Goldman Sachs Em Mkts Eq Insghts R6	. GERUX	GERUX		Vanguard 500 Index Admiral	. VFIAX	VFIAX	
Nuveen Real Estate Securities I	FARCX	FARCX		Vanguard Wellington Fund	VWELX	VWELX	
Vanguard Small Cap Growth Index Admiral	. VSGAX	VSGAX		Dodge & Cox Income - I	DODIX	DODIX	
Vanguard Small Cap Index Adm	. VSMAX	VSMAX		PIMCO Income Instl	. PIMIX	PIMIX	
JPMorgan Mid Cap Growth R6	JMGMX	<b>JMGMX</b>		Galliard Retirement Income Fd Fee Cl 35	. N/A	GARI35	
Vanguard Mid Cap Index Fund - Admiral	. VIMAX	VIMAX		Guaranteed Interest Fund	GWGIF	<b>GWGIF</b>	
Victory Sycamore Established Value I	VEVIX	VEVIX		MUST INDICATE WHOLE PERCENT	<b>TAGES</b>	=	= 100%

## **Participation Agreement**

**Empower Advisory Group, LLC** - If I have elected to have my account professionally managed by Empower Advisory Group, LLC and this form is submitted, my election to have my account professionally managed will override the investment allocation requested on this form until such time as I revoke or amend my election to have my account professionally managed.

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 direct rollover assets ("assets") the same as my ongoing contributions (if I have an account established) or to the default investment option selected by my Plan (if I do not have an investment election on file). If no default investment option is selected by my Plan, the funds will be returned to the payor as required by law. If additional assets from the same provider are received more than 180 calendar days after Service Provider receives this Incoming Direct Rollover form (this "form"), I authorize Service Provider all monies received the same as my ongoing allocation election on file with Service Provider. I understand I must call the Voice Response System at 1-800-338-4015 or access Web site at empowermyretirement.com in order to make changes or transfer monies from the default investment option. If my initial rollover assets are received more than 1 year after Service Provider receives and approves this Incoming Direct Rollover form, I understand Service Provider will require the submission of a new form for approval. I understand that this completed form must be received by Service Provider at the address provided on this form.

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 direct rollovers and/or distributions. I understand that I must contact the Plan Administrator, if applicable, to determine when and/or under what circumstances I am eligible to receive distributions or make direct 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.

Asset Allocation Models - If your ongoing allocations are being directed to an Asset Allocation Model, your total account will be rebalanced, including your rollover funds, at the next scheduled frequency. To make a change to your account, access the Web site.

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.

				375340-01
Last Name	First Name	M.I.	Social Security Number	Number
<b>Payment Instructions</b>				
Make check payable to: Empower Trust Company, LLC			Regular mail address for the check and form (if mailed	together):
<b>Include the following informatio</b> Participant Name, Social Security Plan Number, Plan Name			Empower Trust Company, PO Box 561148 Denver, CO 80256-1148	LLC
Wire instructions: Account of: Empower Trust Comp Bank: US Bank Account no: 103656586049 Routing transit no: 102000021 Attention: Financial Control Reference: Participant Name, Soc Plan Number, Plan Name			Overnight mail address for check and form (if mailed US Bank 10035 East 40th Avenue Su Dept 1148 Denver, CO 80238 Contact: Empower Phone#: 1-855-756-4738	together):
	se follow mailing instructions above. Fu	unds receiv	ed will not be invested unless	accompanied by a completed
	Funds will be invested on the day that he taccept hand delivered forms at Express	ooth a comp	leted Incoming Direct Rollove	
prior to market close. We will no Required Signatures - My signat		ooth a compose Mail addressed the effect	oleted Incoming Direct Rolloversses.  of my election and agree to all	form and funds are received
Required Signatures - My signat Rollover form, including the Participant Signature  Participant Signature  A handwritten signature is require	ure indicates that I have read, understartipant Acknowledgements. I affirm that a Date on this form. An electronic signature	ooth a comps Mail addre	oleted Incoming Direct Rolloversses.  of my election and agree to all	pages of this Incoming Direc
Required Signatures - My signat Rollover form, including the Particle Participant Signature  A handwritten signature is required to accepted and will result in a signature is released from and the Plan Additional Plan Plan Additional Plan Additional Plan Plan Additional Plan Plan Plan Plan Plan Plan Plan P	ure indicates that I have read, understartipant Acknowledgements. I affirm that a Date on this form. An electronic signature	ooth a comps Mail address Mail address Mail address Mail information at the control of the contr	pleted Incoming Direct Rolloverses.  of my election and agree to all on provided is true and correct.  Participant forward to Plan A Plan Administrator forward a	pages of this Incoming Direct
Required Signatures - My signat Rollover form, including the Particle Participant Signature  A handwritten signature is required be accepted and will result in a signature assume all obligations associated Direct Rollover form.  Authorized Plan Administrator is a signature and the Plan Administrator is a signature.	t accept hand delivered forms at Express ure indicates that I have read, understar cipant Acknowledgements. I affirm that a red on this form. An electronic signatur conficant delay.  Ilan Administrator for the Previous Employer's with any amounts transferred under this  Signature  Da red on this form. An electronic signatur conficant delay.	ate  Over's plan Plan shall Incoming	pleted Incoming Direct Rolloverses.  of my election and agree to all on provided is true and correct.  Participant forward to Plan A Plan Administrator forward a	pages of this Incoming Direct

**Print Full Name** 

Securities, when presented, are offered and/or distributed by Empower Financial Services, Inc., Member FINRA/SIPC. EFSI is an affiliate of Empower Retirement, LLC; Empower Funds, Inc.; and registered investment adviser Empower Advisory Group, LLC. This material is for informational purposes only and is not intended to provide investment, legal or tax recommendations or advice.