



# DIRECT ROLLOVER/TRANSFER TO ICMA-RC FORM CHECKLIST

Use the below Checklist to help you complete the form on the following pages so that we can process your transfer of assets to ICMA-RC's plan account.

By providing all the necessary information, we can avoid delays and take care of your request as soon as possible!



## COMPLETING THE FORM

### SECTION 1 – YOUR PERSONAL INFORMATION (MUST BE COMPLETED)

- Make sure you are enrolled in the plan.
- Make sure both provider and ICMA-RC have the same last name on accounts.
- If there is a maiden name on any accounts, please provide verification.

### SECTION 2 – PLAN INFORMATION

- Check and enter the plan number assets are transferring into.

### SECTION 3a – WHERE THE ASSETS ARE TRANSFERRING FROM (MUST BE COMPLETED)

- Enter the name of the trustee/custodian. **(IF INCOMPLETE YOUR REQUEST WILL NOT BE PROCESSED)**
- Enter the complete address.
- Enter the account number.

### SECTION 3b – LIQUIDATION INSTRUCTIONS (MUST CHECK ONE)

- Check whether you want 100% liquidation or a partial and enter a dollar amount.

### SECTION 3c – PROVIDER WHERE THE ASSETS ARE TRANSFERRING FROM (MUST BE COMPLETED)

- Confirm that your 457 or 401(k) plan permits roll-ins of Roth assets prior requesting a rollover. **Note: other after-tax assets are not eligible for a rollover into a 457 plan.**

### SECTION 5 – YOUR SIGNATURE

- Sign and date. **(Please do not mistakenly enter your birth year)**

### SECTION 6 – SIGNATURE GUARANTEE

- Verify with transferring provider if needed. If so, provide a **clear** copy of your driver's license.

## SENDING THE FORM

- Include the completed form.
- Most recent statement.
- Mail or fax. **(If the provider requires the original form please mail and do not fax).**

**FAX:**  
ICMA-RC  
ATTN: Workflow Management Team  
202-682-6439

**MAIL:**  
ICMA-RC  
ATTN: Workflow Management Team  
P.O. Box 96220  
Washington, DC 20090-6220



# Direct Rollover/Transfer To ICMA-RC Form: 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.

<b>1</b> <b>Personal Information</b>	<p><b>Full Name of Participant</b> _____ <b>Email</b> _____</p> <p style="text-align: center;">Last First M.I.</p> <p><b>Social Security Number</b> (for tax reporting purposes) _____ <b>Date of Birth</b> _____ <b>Daytime Phone Number</b> _____</p> <p style="text-align: center;">- - - - - / / - - - - - ( - - - - - ) - - - - -</p> <p style="text-align: center;">Month Day Year Area Code</p> <p><b>Mailing Address/Street</b> _____ <b>Marital Status</b></p> <p style="text-align: right;"><input type="checkbox"/> <input type="checkbox"/></p> <p style="text-align: right;">Married Single</p> <p><b>City</b> _____ <b>State</b> _____ <b>Zip Code</b> _____</p>
<b>2</b> <b>Transfer To</b>	<p>I want to transfer assets to my ICMA-RC: (Check only <b>one</b> box. Each transfer requires a separate form.)</p> <p><input type="checkbox"/> 457 Plan Account Number: <b>3 0</b> _____ Employer Plan Name _____</p> <p><input type="checkbox"/> 401 Plan Account Number: <b>1 0</b> _____ Employer Plan Name _____</p>
<b>3a</b> <b>Transfer From</b>  <b>(Other Provider Account Information)</b>	<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><b>*Must be completed – lack of provider information may delay your transfer request.</b></p>
<b>3b</b> <b>Transfer Amount</b>  <b>(must be completed)</b>	<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;"><b>OR</b></p> <p><input type="checkbox"/> Partial transfer in the amount of \$ _____.</p>
<b>3c</b> <b>Roth or Other After-Tax Assets</b>	<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><b>Note to Transferring Financial Organization</b> – If the transfer includes <b>Roth or other after-tax assets</b> 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 <b>non-457 rollover assets</b> (if any) should also be noted.</p>

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# Direct Rollover/Transfer To ICMA-RC Form: Page 2 of 3

Employer Plan Number \_\_\_\_\_

Social Security Number \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_

<b>4</b> <b>Rollover Investment Allocation</b>	<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 <a href="http://www.icmarc.org">www.icmarc.org</a> 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><b>457 Plan:</b> 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><b>New York State 457 Deferred Compensation Plan:</b> 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><b>401 Plan:</b> 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 <a href="http://www.icmarc.org">www.icmarc.org</a> or by contacting ICMA-RC.</i></p>
<b>5</b> <b>Participant Signature</b>	<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 _____ / _____ / _____ Month Day Year</p>
<b>6</b> <b>Signature Guarantee</b>	<p><b>Signature Guarantee</b></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>_____ Guarantor</p> <p>_____ Title</p>



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

Employer Plan Number \_\_\_\_\_

Social Security Number \_\_\_\_\_

<p><b>6a</b> ICMA-RC Use ONLY</p>	<p><input type="checkbox"/> No LOA needed</p>				
<p><b>7</b> ICMA-RC Authorization</p>	<p>ICMA-RC hereby attests that it maintains an eligible 457 or 401 plan account for the above named individual and will accept the above referenced transfer of assets.</p> <div style="text-align: center;">  </div> <p>_____ Authorized Signature, ICMA-RC</p> <p style="text-align: right;">Assistant Secretary Title</p>				
<p><b>8</b> Check/Wire Instructions for Former Trustee/Custodian</p>	<p><b>Please review Section 2 to determine if the assets are being transferred to a 457 plan or 401 plan account and follow the appropriate instructions.</b></p> <p><b>457 Plan</b></p> <table style="width: 100%;"> <tr> <td style="width: 50%;"> <p><u>Send checks to:</u></p> <p>Vantagepoint Transfer Agents/457 c/o M &amp; T Bank P.O. Box 64553 Baltimore, MD 21264-4553</p> </td> <td style="width: 50%;"> <p><u>Send wire transfers to:</u></p> <p>M &amp; T Bank ABA #022000046 Vantagepoint Transfer Agent/457 Account # 42538001</p> </td> </tr> </table> <p><b>Please reference:</b> 30XXXX (six-digit plan # beginning with "30" specified in Section 2), investor name and SSN on check/wire.</p> <p><b>Roth and Non-457 Rollover Assets</b> – If the transfer includes <b>Roth assets</b> please note the following on the check/wire: 1) the amount of Roth contributions, 2) the amount attributable to earnings on the Roth contributions, and 3) the date of the participant's first Roth contribution. The amount of <b>non-457 rollover assets</b> (if any) should also be noted.</p> <hr/> <p><b>401 Plan</b></p> <table style="width: 100%;"> <tr> <td style="width: 50%;"> <p><u>Send checks to:</u></p> <p>Vantagepoint Transfer Agents/401 c/o M &amp; T Bank P.O. Box 64668 Baltimore, MD 21264-4668</p> </td> <td style="width: 50%;"> <p><u>Send wire transfers to:</u></p> <p>M &amp; T Bank ABA #022000046 Vantagepoint Transfer Agent/401 Account # 42537981</p> </td> </tr> </table> <p><b>Please reference:</b> 10XXXX (six-digit plan # beginning with "10" specified in Section 2), investor name and SSN on check/wire.</p> <p><b>Roth and Other After-Tax Assets</b> – If the transfer includes <b>Roth or other after-tax assets</b> 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).</p>	<p><u>Send checks to:</u></p> <p>Vantagepoint Transfer Agents/457 c/o M &amp; T Bank P.O. Box 64553 Baltimore, MD 21264-4553</p>	<p><u>Send wire transfers to:</u></p> <p>M &amp; T Bank ABA #022000046 Vantagepoint Transfer Agent/457 Account # 42538001</p>	<p><u>Send checks to:</u></p> <p>Vantagepoint Transfer Agents/401 c/o M &amp; T Bank P.O. Box 64668 Baltimore, MD 21264-4668</p>	<p><u>Send wire transfers to:</u></p> <p>M &amp; T Bank ABA #022000046 Vantagepoint Transfer Agent/401 Account # 42537981</p>
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