

## Rollover Contribution Instructions & Application

Rolling money into your retirement plan account is an easy four-step process. To help us process your rollover contribution quickly and accurately, please follow these instructions carefully, making sure to complete each step.

- Step 1 -** Review the rollover types available and certifications required on this application to ensure your retirement savings are eligible to roll into your retirement plan account.
- Step 2 -** Request a distribution check from your prior plan administrator or custodian. The check should be made payable to the Schwab Bank (Schwab Bank) for (your retirement plan name), FBO (your name and last 4 digits of your social security number).

Example: Schwab Bank for (Your Plan Name), FBO John Doe, 9999

This check can be mailed to you or directly to Schwab Retirement Plan Services, Inc. at the address below.

If the distribution check was already made payable directly to you, you can send us a certified check or money order (personal checks are not acceptable). This indirect rollover option is only available for 60 days after you receive your distribution check. Also, when the distribution was originally paid directly to you, your prior administrator or custodian may have withheld taxes from your savings. If these additional amounts are not included in your rollover contribution, they will be considered a withdrawal and may be subject to income tax and penalties.

- Step 3 -** Carefully complete and sign this application.
- Step 4 -** Return this application (with your rollover check if sent to you) by one of the following methods:

Regular Mail

Schwab Retirement Plan Services, Inc.  
PO Box 5050  
Richfield, OH 44286-5050

For Express Mail (Overnight)

Schwab Retirement Plan Services, Inc.  
4150 Kinross Lakes Parkway  
Richfield, OH 44286

Fax the application to 877-312-3347 (check must be mailed)

Or upload the application via the Message Center in your account at [workplace.schwab.com](https://workplace.schwab.com) (check must be mailed)

Upon receipt of this rollover check and completed application in good order, the money will be invested in your account according to your current investment instructions (investment elections). In the event there are no investment instructions on file, your rollover contribution will be invested according to the Plan's default instructions. You may change your investments at [workplace.schwab.com](https://workplace.schwab.com) or by calling Participant Services at the number below.

If we are unable to process this rollover contribution, we will mail the rollover check back to you at your address on file after attempting to contact you for a resolution. Also, if after accepting the rollover contribution into the retirement plan account, it is determined that the contribution was not an eligible rollover, then the entire amount of the rollover and any associated earnings will be sent back to you.

If you need help or have any questions about this process, please call Participant Services at **800-724-7526**. Thank you.

## Rollover Contribution Application

### Your Information

Name: \_\_\_\_\_  
 Social Security #: \_\_\_\_\_  
 Email Address: \_\_\_\_\_  
 Date of Birth: \_\_\_\_\_  
 Retirement Plan Name: \_\_\_\_\_

Home Phone: \_\_\_\_\_  
 Work Phone: \_\_\_\_\_  
 Current Employer: \_\_\_\_\_

### Distributing Plan or IRA Information (where the rollover is coming from)

Administrator or Custodian: \_\_\_\_\_ Phone #: \_\_\_\_\_  
 Name of Retirement Plan or IRA: \_\_\_\_\_

### Rollover Type

Your current employer's retirement plan only accepts rollovers from the following types of retirement accounts. If your savings is from another type of account, it is not eligible to roll into your current employer's plan. If you are not certain of the account type, please contact your prior plan administrator or custodian for verification.

My rollover contribution is from:

- ☐ a 401(k), 401(a), or 403(a)
- ☐ a 403(b) plan
- ☐ a 457 government savings plan
- ☐ an IRA with no after-tax contributions
- ☐ a SEP IRA or SIMPLE IRA (a SIMPLE plan must have been in existence for at least 2 years)

- ☐ Check if this is the return of a Qualified Disaster Relief Distribution (may not exceed \$100,000). Provide name of disaster here \_\_\_\_\_ and please attach an explanation

To avoid invalidating your rollover or potentially being double taxed on this savings, please include your pre-tax and after-tax amounts here. If you are not certain what amount, if any, is after-tax money, please contact your prior plan administrator or custodian for verification. I certify that my enclosed rollover includes:

\$ \_\_\_\_\_ Pre-tax dollars  
 \$ \_\_\_\_\_ After-tax Contributions  
 \$ \_\_\_\_\_ After-tax Earnings

Please also provide the total Roth contributions (if any) or the amount of Roth savings you added to your employer-sponsored plan along with the earnings on that money. I certify that my enclosed rollover includes the following Roth savings:

\$ \_\_\_\_\_ Roth Start Date (if any)  
 \$ \_\_\_\_\_ Roth Contributions (if any)  
 \$ \_\_\_\_\_ Roth Earnings (if any)

Your Certification and Signature

By signing this application, I certify that the information in this application is complete and correct.

- This rollover contribution is of amounts I received as an "eligible rollover distribution"
- I did not receive the funds as a non-spouse beneficiary of a death benefit.
- I did not receive the funds as one of a series of periodic payments.
- I did not receive the funds as a hardship distribution.
- If an indirect rollover, (the distribution was originally paid directly to you by the prior plan administrator or custodian), I am rolling over these funds within 60 days of the date I received them from an eligible employer plan or IRA; or I am enclosing a written certification (using the model self-certification letter found in Revenue Procedure 2016-47) that the rollover contribution missed the 60-day deadline due to one of the reasons provided under Revenue Procedure 2016-47. However, if my indirect rollover is a rollover of a loan offset amount, I am rolling over these funds by the due date (including extension) of my individual tax return for the year in which the loan offset occurred.
- If from an IRA, these funds would be included in my gross income if not rolled over (no after-tax funds).
- These funds do not include any required minimum distributions (age 70 ½).

*If you are not certain on any of these items, please contact your prior plan administrator or custodian for verification. Also, if there are no investment instructions on file, these funds will be invested according to the Plan's default instructions.*

Signature: \_\_\_\_\_

Date: \_\_\_\_\_