

# Incoming Transfer/Direct Rollover Governmental 457(b) Plan

Do not complete the Investment Option Information portion of this form if you elected to have your account professionally managed by Advised Assets Group, LLC ("AAG"). If you have not yet elected to have your account professionally managed by AAG and would like to enroll in the Managed Accounts Service, call 1-877-457-9327.

## Wisconsin Deferred Compensation Program

## 98971-01

Participant Information	

Last Name	First Name	MI			Socia	l Security Number	
Addres	s - Number & Street				E	E-Mail Address	
City	State	Zip Code					
2		1	Mo	Day	Year	□ Female	□ Male
( ) Home Phone	( ) Work Phone	:	D	ate of Bin	rth	□ Married	□ Unmarried
Payroll Information							
Payr	roll Center Name				Payro	oll Center Number	
E	Division Name				Di	ivision Number	
Transfer/Direct Rollover	Information						
I am choosing a:							
□ Transfer from a govern	mental 457(b) plan.						
Direct Rollover from a general							
	(all contributions and	d earnings, exc	luding Ro	h contri	butions and ea	rnings)	
	(employee contributions a	-	in a second second				
Direct Rollover from a							
$\square$ 401(a) plan	quantion						
$\square$ 401(k) plan							
	(all contributions	and earnings	excluding	Roth co	ontributions an	d earnings)	
	(employee contributio	-	-	nour co	indications un	a carinings)	
$\Box$ 403(b) plan		ino una curning	,5)				
· · -	(all contributions	and earnings	excluding	Roth co	ontributions an	d earnings)	
<ul> <li>Non-Roth \$ (all contributions and earnings, excluding Roth contributions and earnings)</li> <li>Roth \$ (employee contributions and earnings)</li> </ul>							
	Traditional IRA. (Non-deducti	-		av not h	e rolled over )		
Previous Provider Inform			115/ Uasis III	ay not 0	e folieu over.)		
1 revious r roviuer fillorit	auvii.						
Company Name					Account Nu	mber	
Malling Address							
Mailing Address							

City/State/Zip Code

Phone Number

)

### **Previous Provider must complete:**

Employer/employee before-tax earnings and contributions: \$\_\_\_\_\_

Note: Unless otherwise indicated, all amounts received will be considered employee before-tax contributions and earnings.

Last Name	First Name	M.I.	Social Security Number	Number	
Previous Plan Administrator m	ust provide the following information	on for Designa	ted Roth Account Rollovers:		
Roth first contribution date:					
Roth contributions (no earnings):	\$				
					-

Amount of Transfer/Direct Rollover: \$	(Enter approximate amount if exact amount is not known.)
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#### 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 transfer/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 OPTIO	N		INVESTMENT O	PTION		
NAME <u>TICK</u>	ER CODE	%	NAME	<b>TICKER</b>	CODE	%
Vanguard Target Retirement Inc Instl VITR	K VITRX		American Beacon Bridgwy Lg Cp Val I CIT	N/A	ABBLCI	
Vanguard Instl Trgt Retire 2015 InstlVITV2	K VITVX		Calvert Equity I	CEYIX	CEYIX	
Vanguard Instl Trgt Retire 2025 Instl VRIV	K VRIVX		Fidelity Contrafund	FCNTX	FD-CNT	
Vanguard Instl Trgt Retire 2035 Instl VITFX	X VITFX		Vanguard Institutional Index Instl Pl	VIIIX	VIIIX	
Vanguard Instl Trgt Retire 2045 InstlVITLX	X VITLX		Vanguard Wellington Adm	VWENX	VWENX	
Vanguard Instl Trgt Retire 2055 InstlVIVL	K VIVLX		BlackRock US Debt Index Fund Coll W	N/A	05USDW	
American Funds EuroPacific Gr R6 RERG	X RERGX		Federated US Government Securities 2-5yr	FIGTX	FE-GOV	
BlackRock EAFE Equity Index Coll T N/A	10EAFE		Vanguard Long-Term Investment Grade Adm	. VWETX	VWETX	
BlackRock Russell 2000 Index Coll TN/A	06RUSW		FDIC Bank Option	. N/A	WIFDI2	
DFA US Micro Cap I DFSC	K DFSCX		Stable Value Fund	. N/A	WISSVF	
BlackRock Mid Cap Equity Index - Coll F N/A	04MDWS		Vanguard Treasury Money Market Inv	VUSXX	VUSXX	
T. Rowe Price Instl Mid-Cap Equity Gr PMEG	X PMEGX		MUST INDICATE WHOLE PERCEN	TAGES	=	100%

#### **Participant Acknowledgements**

Advised Assets Group, LLC - If I have elected to have my account professionally managed by Advised Assets 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 transfer/rollover treatment and that it is solely my responsibility to ensure such eligibility. By signing below, I affirm that the funds I am transferring/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.

If the investment option information is missing or incomplete, I authorize Service Provider to allocate the transfer/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 account established). If no default investment option is selected, the funds will be returned to the payor as required by law. If my assets are received more than 180 calendar days after Service Provider receives this Incoming Transfer/Direct Rollover form (this "form"), I authorize Service Provider to allocate all monies received the same as my ongoing allocation election on file with Service Provider. I understand I must call the Voice Response System or access the Web site in order to make changes or transfer monies from the default investment option. The assets will be processed on the day this form is received. I understand that this completed form must be received by Service Provider at the address below.

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 transfers, direct 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 or make transfers/direct rollovers.

**Investment Options -** I understand that by signing and submitting this form for processing, I am requesting to have investment options established under the Plan as specified in the Investment Option Information section. I understand and agree that this account is subject to the terms of the Plan Document. 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.

**GWRS FRLCNT 11/20/17** 

98971-01

**CHG NUPART** 

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Last Name	First Name	M.I.	Social Security Number	98971-01 Number			
Payment Instructions							
Make check payable to: Great-West Financial		Regular m (if mailed	ail address for the check and fo together):	rm			
<b>Include the following information on the check:</b> Participant Name, Social Security Number, Plan Number, Plan Name		Great-West Financial PO Box 560889 Denver, CO 80256-0889					
Wire instructions: Bank: US Bank		Overnight (if mailed	mail address for the check and together):	form			
Account of: Great-West Financial Account no: 103655774398 Routing transit no: 102000021 Attention: Financial Control Reference: Participant Name, Social Security Plan Number, Plan Name	Number,	US Bank 10035 East 40th Avenue Suite 100 Dept #0889 Denver, CO 80238 <b>Contact:</b> Empower Retirement <b>Phone #:</b> 1-877-457-9327					

If sending the "form" only, please fax to 1-866-745-5766 or follow the mailing instructions above. Please remember that this form needs to arrive prior to or at the same time the funds arrive to invest according to the allocations on this form.

### **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 Transfer/Direct Rollover form. I affirm that all information provided is true and correct. 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/organizational-structure/offices/Pages/Office-of-Foreign-Assets-Control.aspx.

#### **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.

**Participant** forward or fax as shown above in the Payment Instructions section

## 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, Corporate Headquarters: Greenwood Village, CO; Great-West Life & Annuity Insurance Company of New York, Home Office: NY, NY; and their subsidiaries and affiliates. The trademarks, logos, service marks, and design elements used are owned by their respective owners and are used by permission.