

#10101 (6/2020)

**QP/401(k) Rollover Contribution Form**

234097

SINSRCRIAETF

*This form may be used to move retirement plan assets from a retirement plan or traditional or SIMPLE IRA into your employer's plan, if permitted. This form may NOT be used to request a rollover from this plan to another retirement plan. Missing or incomplete information may cause a delay in the process of your transaction.*

<b>PARTICIPANT INFORMATION</b>	Social Security Number _____ First Name _____ Last Name _____ Address _____ City _____ State _____ Zip _____ Email Address _____ Phone Number _____																																																						
<b>ROLLOVER AMOUNT</b>	<p><b>Complete this section and submit this form along with your check to the address listed in the <i>Mailing Instructions</i> section below.</b></p> <p>Total amount of rollover contribution \$ _____.</p> <p>This rollover contribution is from the following type of plan:</p> <p> <input type="checkbox"/> Qualified Plan             <input type="checkbox"/> Governmental 457(b) Plan             <input type="checkbox"/> 403(b) Plan             <input type="checkbox"/> 403(a) Plan             <input type="checkbox"/> Traditional IRA             <input type="checkbox"/> SIMPLE IRA         </p>																																																						
<b>ROLLOVER CONTRIBUTION INFORMATION</b>	<p><b>Complete all applicable items. Please ensure that any amounts indicated below total the amount of the rollover contribution indicated above.</b></p> <p>1. The amount of my rollover contribution attributable to pre-tax contributions is \$ _____.</p> <p>2. The amount of my rollover contribution attributable to Roth contributions* is \$ _____.</p> <p>         a. The amount of the Roth contribution that is attributable to basis is \$ _____.          b. The first year in which I made a Roth contribution to the plan from which my rollover is being made was _____ (specify).       </p> <p>3. The amount of my rollover contribution attributable to after-tax contributions*(other than Roth contributions) is \$ _____.</p> <p>The amount of the after-tax contribution that is attributable to basis is \$ _____.</p> <p><i>*This plan must permit the rollover contribution type in order to accept this rollover contribution.</i></p>																																																						
<b>ROLLOVER INVESTMENT ELECTIONS</b>	<p><b>Identify the fund(s) in which you would like your rollover contribution invested by selecting one of the boxes below. If neither option is selected, the rollover amount will be invested into the current elections on file or if you have not made prior elections, in the default investment designated by your plan.</b></p> <p><b>Option 1</b></p> <p><input type="checkbox"/> Invest my rollover contribution according to my current investment elections. (Check this box to invest your rollover contribution in the same funds and percentages that apply to your elective deferrals.)</p> <p><b>Option 2</b></p> <p><input type="checkbox"/> Invest my rollover contribution as described below. Elected percentages must be whole percentages and must total 100%.</p> <p><b>NOTE:</b> Certain investment elections or funds may require prior set up of enrollment (e.g., investment models). Please check with your plan fiduciary for any conditions that may apply.</p> <table border="0"> <thead> <tr> <th data-bbox="371 1388 485 1409">Fund Code</th> <th data-bbox="812 1388 930 1409">Fund Name</th> <th data-bbox="1275 1314 1501 1409">Rollover Contribution Allocation Percentage (Use Whole Numbers Only)</th> </tr> </thead> <tbody> <tr><td>1. 01</td><td>Vanguard Balanced Index Adm</td><td>_____ %</td></tr> <tr><td>2. 02</td><td>Vanguard Federal Money Market Inv</td><td>_____ %</td></tr> <tr><td>3. 03</td><td>Invesco Corporate Bond Y</td><td>_____ %</td></tr> <tr><td>4. 04</td><td>DFA Intrmd Govt Fixed Income Port I</td><td>_____ %</td></tr> <tr><td>5. 05</td><td>Metropolitan West Total Return I</td><td>_____ %</td></tr> <tr><td>6. 06</td><td>DFA Inflation-Protected Sec Port I</td><td>_____ %</td></tr> <tr><td>7. 07</td><td>DFA Short-Term Government Portfolio I</td><td>_____ %</td></tr> <tr><td>8. 08</td><td>BNY Mellon Global Fixed Income I</td><td>_____ %</td></tr> <tr><td>9. 09</td><td>Federated Hermes Instl Hyd Bd IS</td><td>_____ %</td></tr> <tr><td>10. 10</td><td>Vanguard Growth Index Adm</td><td>_____ %</td></tr> <tr><td>11. 11</td><td>Vanguard Equity Income Adm</td><td>_____ %</td></tr> <tr><td>12. 12</td><td>MainStay S&amp;P 500 Index I</td><td>_____ %</td></tr> <tr><td>13. 13</td><td>Parnassus Core Equity Inst</td><td>_____ %</td></tr> <tr><td>14. 14</td><td>Principal MidCap Growth Instl</td><td>_____ %</td></tr> <tr><td>15. 15</td><td>Vanguard Mid Cap Index Adm</td><td>_____ %</td></tr> <tr><td>16. 16</td><td>Janus Henderson Triton I</td><td>_____ %</td></tr> <tr><td>17. 17</td><td>Vanguard Small-Cap Value Index Adm</td><td>_____ %</td></tr> </tbody> </table>	Fund Code	Fund Name	Rollover Contribution Allocation Percentage (Use Whole Numbers Only)	1. 01	Vanguard Balanced Index Adm	_____ %	2. 02	Vanguard Federal Money Market Inv	_____ %	3. 03	Invesco Corporate Bond Y	_____ %	4. 04	DFA Intrmd Govt Fixed Income Port I	_____ %	5. 05	Metropolitan West Total Return I	_____ %	6. 06	DFA Inflation-Protected Sec Port I	_____ %	7. 07	DFA Short-Term Government Portfolio I	_____ %	8. 08	BNY Mellon Global Fixed Income I	_____ %	9. 09	Federated Hermes Instl Hyd Bd IS	_____ %	10. 10	Vanguard Growth Index Adm	_____ %	11. 11	Vanguard Equity Income Adm	_____ %	12. 12	MainStay S&P 500 Index I	_____ %	13. 13	Parnassus Core Equity Inst	_____ %	14. 14	Principal MidCap Growth Instl	_____ %	15. 15	Vanguard Mid Cap Index Adm	_____ %	16. 16	Janus Henderson Triton I	_____ %	17. 17	Vanguard Small-Cap Value Index Adm	_____ %
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ELECTIONS  
(CONTINUED)

Fund Code		Fund Name	Rollover Contribution Allocation Percentage (Use Whole Numbers Only)
18.	18	Columbia Small Cap Index I2	_____ %
19.	19	DFA Global Equity Portfolio I	_____ %
20.	20	Vanguard Developed Mkts Index Adm	_____ %
21.	21	Invesco Oppy Intl Growth R6	_____ %
22.	22	Virtus Vontobel Emerging Mkt Opport R6	_____ %
23.	23	Vanguard Emerging Mkts Stock Idx Adm	_____ %
24.	24	Vanguard Real Estate Index Adm	_____ %
25.	25	Vanguard Health Care Adm	_____ %
26.	26	Vanguard Energy Adm	_____ %
27.	27	MFS Technology R6	_____ %
28.	28	Franklin Utilities Fund R6	_____ %
29.	29	Allspring Precious Metals Instl	_____ %
30.	30	Vanguard Communications Services ETF	_____ %
31.	31	Vanguard Wellesley Income Adm	_____ %
32.	32	Vanguard Target Retirement 2020 Fund	_____ %
33.	33	Vanguard Target Retirement 2025 Fund	_____ %
34.	34	Vanguard Target Retirement 2030 Fund	_____ %
35.	35	Vanguard Target Retirement 2035 Fund	_____ %
36.	36	Vanguard Target Retirement 2040 Fund	_____ %
37.	37	Vanguard Target Retirement 2045 Fund	_____ %
38.	38	Vanguard Target Retirement 2050 Fund	_____ %
39.	39	Vanguard Target Retirement Income Fund	_____ %
		<b>Total</b>	<b>100%</b>

**QP/401(k) Rollover Contribution Form**

<b>MAILING INSTRUCTIONS</b>	<p>Sign where indicated below and immediately mail a copy of this form and the <b><u>ORIGINAL</u></b> check to:</p> <table border="0"><tr><td><b>Regular Mail</b> Ascensus Trust PO Box 10399 Fargo, ND 58106-0399</td><td><b>Overnight Delivery</b> Ascensus Trust 1655 43rd Street South Suite 100 Fargo, ND 58103</td></tr></table>	<b>Regular Mail</b> Ascensus Trust PO Box 10399 Fargo, ND 58106-0399	<b>Overnight Delivery</b> Ascensus Trust 1655 43rd Street South Suite 100 Fargo, ND 58103
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<b>REQUIRED MINIMUM DISTRIBUTION RESTRICTIONS</b>	<p>If this rollover contribution is being made during or after the first year for which you must take a required distribution, you cannot roll over any distribution which would constitute a required minimum distribution. Please check with your employer for more information about required minimum distributions.</p>		
<b>AUTHORIZATION</b>	<p>I certify that I have read, understand and agree with the information in the instructions to this form. In addition, I certify that the rollover amount specified above qualifies as a rollover contribution and I irrevocably designate such amount as a rollover contribution. Furthermore, I hereby direct that the investment elections specified on this form be made in my plan account for the appropriate contribution type.</p> <p><b>Signature of Participant</b> _____ <b>Date</b> _____</p> <p><b>Plan Administrator Use Only</b></p> <p>Signature of Plan Administrator _____ Date _____</p> <p><b>NOTE:</b> <i>To process this request in the most efficient manner, please utilize the website at <a href="http://www.sponsorinsight.com">www.sponsorinsight.com</a></i></p>		

# Using the QP/401(k) Rollover Contribution Form

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By completing this form and writing (or endorsing) your rollover check (if applicable) to the trustee or custodian, you can effect a rollover contribution to this plan. A rollover contribution is a tax-free movement of retirement plan assets from one retirement plan or a traditional or SIMPLE IRA into another plan. Your plan administrator may ask you for additional information in order to verify that the funds you are contributing qualify as a rollover contribution. Once completed, you should forward this form to your plan administrator for approval.

**Note:** *If this rollover contribution is being made during or after the first year for which you must take a required minimum distribution, you cannot roll over any amount which constitutes a required minimum distribution. Please check with your plan administrator for more information about this rule.*

## Participant Information

Please complete the information requested in this section. Please be advised that the contact information will be used for purposes of this form only. If your information has recently changed, please ensure that it is also updated with your plan administrator. Your email address will be used only to collect any necessary information to fulfill this request.

## Initiating Your Rollover

Contact your prior employer/investment company to request a distribution of your account balance. Please have a check made payable to: Ascensus Trust Trustee/Custodian; FBO Participant's Name and Social Security Number.

## Rollover Amount

Please indicate the exact dollar amount of your total rollover contribution.

## Rollover Contribution Information

Please indicate the exact dollar amount of your rollover contribution that is pre-tax and after-tax. You must ensure that the amount entered in items 1-3, not including basis amounts, equals the total amount entered into the *Rollover Amount* section. If you are rolling over contributions that you previously paid taxes on, please include the basis amount(s) and if Roth contributions, the first contribution year. Basis is the amount of your net contributions less earnings.

## Rollover Investment Elections

Please indicate the investment fund(s) into which your rollover contribution should be placed by selecting option one or option two. If you choose to invest your rollover contribution differently than you invest your other future contributions, locate the name(s) of the investment fund(s) in which you want your rollover contribution invested and enter the percentage (whole numbers only) of the contributions you want invested in each fund. You can invest in one fund or any combination of funds offered by your plan. Certain investment elections or funds may require prior set-up of enrollment (e.g., investment models). Please check with your plan fiduciary for any conditions that may apply. If you do not want any of your contributions invested in a particular fund, leave the corresponding percentage space blank. Please be sure that your percentages total 100 percent.

**Note:** *If no investment elections are made with regard to the rollover amount, the rollover amount will be invested in the current election on file or if you have not made prior elections, the default investment option designated by your plan. Please check with your plan administrator for more information about the default investment option.*

## Authorization

### Participant

By signing and dating the form, you acknowledge that you have provided your plan administrator with accurate information and authorize the plan administrator to act on your request. Upon receipt of this form and your rollover contribution, the plan administrator is authorized to make your directed investment elections in your plan account as soon as administratively possible.

### Plan Administrator

Please verify that:

1. Your plan document permits you to accept rollover contributions including that your plan document permits rollovers from the plan type elected on page 1.
2. The rollover contribution you are accepting qualifies for rollover treatment.
3. The information completed by the participant is accurate and complete.