

# TRANSFER FROM ICMA-RC 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 ICMA-RC's assets.

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.

### SECTION 2 – TRANSFER TO (MUST BE COMPLETED)

- Indicate the ICMA-RC account that you are transferring the assets to, and provide the employer plan name. (Only One Box Should Be Checked)

### SECTION 3 – TRANSFER FROM (MUST BE COMPLETED)

- Indicate the ICMA-RC account that you are transferring the assets from, and provide the employer plan name. (Only One Box Should Be Checked)

### SECTION 4a – TRANSFER AMOUNT

- Indicate whether you wish to transfer the total value of your account (100%) or a specified portion of the account. If you elect to transfer a portion of your account, specify the dollar amount. If you are requesting the funds from a specific fund, please indicate the fund name and dollar amount.

### SECTION 4b – ROTH OR OTHER AFTER-TAX ASSETS

- 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 by checking the applicable box in this section and writing "0" in the space provided.
- 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.

### SECTION 5 – ROLLOVER INVESTMENT ALLOCATION

- Please read this section carefully.** It contains detailed information on how the assets you transfer to your ICMA-RC account will be invested.
- Note to participants in 457 plans residing in New York State:** Your assets will be invested according to the allocation instructions on file for your current contributions.

### SECTION 6 – PARTICIPANT AND EMPLOYER SIGNATURES

- Please sign the form and obtain your termination date and an authorized signature from your previous employer (for the plan specified in Section 3).
- The employer signature and termination date is required in order to process your transfer request, unless your previous employer has already notified ICMA-RC of your separation from service.

**Mail or fax completed forms to ICMA-RC. If you fax the form, please do not mail the original.**

#### Mail:

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

#### Fax:

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

### Qualified Joint and Survivor Annuity (applies to married participants in some 401 plans only)

If you are married and transferring assets from an ICMA-RC 401 plan, and the employer sponsoring the plan has elected the Qualified Joint and Survivor Annuity Option, your spouse must consent to the transfer of assets to another retirement plan. You and your spouse will need to complete the Waiver of Qualified Joint and Survivor Annuity Form available online at [www.icmarc.org/forms](http://www.icmarc.org/forms).

### VantageTrust Retirement Income Advantage Fund

If your plan offers the VantageTrust Retirement Income Advantage Fund (the Fund), any assets you have invested in the Fund will be excluded from your transfer/rollover request. If you would like to consolidate your Fund balances into one ICMA-RC plan, please contact ICMA-RC for the appropriate transfer form. You can do a fund transfer from the Fund to other investment options available in your plan if you would like to have the Fund assets distributed with your transfer/rollover request. However, you should be aware that withdrawals from the Fund prior to Lock-In proportionately reduce your guaranteed values. After Lock-In, Excess Withdrawals will proportionately reduce and potentially terminate available guarantees. Please note that if you withdraw all of your assets from the Fund, you lose all guarantees. For additional information, please review the *VantageTrust Retirement Income Advantage Fund Important Considerations* document.



# Transfer From ICMA-RC To ICMA-RC Form - Page 1 of 2

- Use this form to request a direct rollover/transfer of assets from one ICMA-RC plan to another ICMA-RC 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: center;">City State Zip Code Married Single</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: <u>3 0</u> _____ Employer Plan Name _____</p> <p><input type="checkbox"/> 401 Plan Account Number: <u>1 0</u> _____ Employer Plan Name _____</p>
--------------------------------	--

<b>3</b> <b>Transfer From</b>	<p>I want to transfer assets from my ICMA-RC: (Check only <b>one</b> box. Each transfer requires a separate form.)</p> <p><input type="checkbox"/> 457 Plan Account Number: <u>3 0</u> _____ Employer Plan Name _____</p> <p><input type="checkbox"/> 401 Plan Account Number: <u>1 0</u> _____ Employer Plan Name _____</p> <p><input type="checkbox"/> Existing Vantagepoint IRA Account Number: <u>7 0</u> _____</p>
----------------------------------	---

<b>4a</b> <b>Transfer Amount</b>	<p>I wish to liquidate and transfer:</p> <p><input type="checkbox"/> My entire account <b>OR</b> <input type="checkbox"/> The following portion of my account in the manner specified below:</p> <table style="width:100%; border-collapse: collapse;"> <thead> <tr> <th style="width:30%;">Fund Name</th> <th style="width:20%;">Dollar Amount</th> <th style="width:30%;">Fund Name</th> <th style="width:20%;">Dollar Amount</th> </tr> </thead> <tbody> <tr> <td>1) _____</td> <td>_____</td> <td>3) _____</td> <td>_____</td> </tr> <tr> <td>2) _____</td> <td>_____</td> <td>4) _____</td> <td>_____</td> </tr> </tbody> </table>	Fund Name	Dollar Amount	Fund Name	Dollar Amount	1) _____	_____	3) _____	_____	2) _____	_____	4) _____	_____
Fund Name	Dollar Amount	Fund Name	Dollar Amount										
1) _____	_____	3) _____	_____										
2) _____	_____	4) _____	_____										

<b>4b</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>_____ % 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>
--	--

<b>5</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>
---	--

(INTERNAL)  
36271-0118-W1807



# Transfer From ICMA-RC To ICMA-RC Form - Page 2 of 2

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

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

## 6 Participant and Employer Signatures

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 5 of this form relating to how the transferred assets will be invested within my account.

I authorize and request ICMA-RC to liquidate the retirement plan account specified in Section 3 and transfer it to the ICMA-RC retirement plan account specified in Section 2.

\_\_\_\_\_  
Employee Signature

\_\_\_\_ / \_\_\_\_ / \_\_\_\_  
Month Day Year

By signing, the employer confirms the participant is eligible to transfer assets from the retirement plan specified in section 3. A signature is not required if the employer has already notified ICMA-RC of the participant's separation from service.

\_\_\_\_\_  
Authorized Employer Official's Signature

\_\_\_\_ / \_\_\_\_ / \_\_\_\_  
Month Day Year

\_\_\_\_\_  
Name and Title of Authorized Official (Please Print)

Participant's Termination Date \_\_\_\_ / \_\_\_\_ / \_\_\_\_  
Month Day Year

Vesting \_\_\_\_\_ %

(INTERNAL)



ICMA RETIREMENT CORPORATION  
P.O. BOX 96220  
WASHINGTON, DC 20090-6220  
800-669-7400  
[WWW.ICMARC.ORG](http://WWW.ICMARC.ORG)

36271-0118-W1807