



**Prior Retirement Plan Provider and Plan Information**

To ensure proper and timely processing, please complete all fields below. You must include a copy of a statement from your prior retirement plan provider.

Prior retirement plan provider name

\_\_\_\_\_

Prior plan account number \_\_\_\_\_

Prior retirement plan provider address

\_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ ZIP code \_\_\_\_\_

\_\_\_\_\_

Prior retirement plan provider daytime telephone number

\_\_\_\_\_-\_\_\_\_\_-\_\_\_\_\_

*area code*

Previous retirement plan name \_\_\_\_\_

- What type of plan are you rolling/transferring FROM?  401(k)       401(a)       403(a)  
 403(b)       IRA       Governmental 457(b)  
 Simplified Employee Pension (SEP) Plan

**(After-tax contributions are not eligible for rollover into this plan.)**

Please liquidate and rollover/transfer:

Total Account Value      OR      \$ \_\_\_\_\_,\_\_\_\_\_.00

**Rollover Allocation Information**

If you are **enrolled** in the Plan and you have *not* made a rollover investment election by the time your rollover is processed, your rollover contribution will be invested in the same allocation as your employee contributions, **otherwise** it will be invested according to your current allocation. If you are **not enrolled** in the Plan, your rollover contribution will be invested in the default investment option selected by your Plan.

If you wish to change your investment elections or transfer funds (if allowed under your plan), you can do so by calling Prudential toll-free at the number on the first page or go online at [www.prudential.com/online/retirement](http://www.prudential.com/online/retirement).

**Required Information**

In order for your rollover to be approved, please be sure to submit proof to ensure the assets are acceptable and the plan satisfies the Code Sections indicated.

You will be required to provide the following documentation from the distributing retirement plan or IRA.

- A copy of a statement from the distributing plan or carrier that includes the plan name and identifies the type of plan (i.e., 401(a), 401(k) etc.),
- OR
- A letter from the distributing plan or plan representative stating the plan is qualified under the applicable section of the Internal Revenue Code, or a copy of the plan's most recent determination letter or opinion letter.

Important information continued and signature required on the following pages

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

**Minimum Distribution Information**

I understand that if I am age 70 1/2 or older, the distributing provider is required to process the Required Minimum Distribution before these funds are rolled over to Prudential. I further understand that I need to direct the prior provider to distribute my Required Minimum Distribution prior to processing this rollover.

**Disclosures**

If your transaction includes **after-tax dollars**, your current provider or custodian needs to provide the amount of the **after-tax dollars** along with the check, otherwise the entire amount will be applied as before-tax. Not all plans accept rollovers/transfers of **after-tax**.

**Your Authorization**

I, the Plan participant, certify that all information on this form is accurate. I also certify that this transaction was distributed from a plan intended to satisfy the requirements of I.R.C. § 401(a), 403(a), 403(b), 457 (governmental only), or an IRA established pursuant to IRC § 408 and, which to the best of my knowledge, does satisfy them.

I additionally certify that this distribution can be rolled over into my account with Prudential because it:

- 1) is not one of a series of substantially equal periodic payments (not less frequently than annually) distributed over my life or life expectancy (or the joint lives [or joint life expectancies] of me and my beneficiary) or over a period equal to or greater than 10 years,
- 2) was received by me not more than 60 days before the date of the rollover to the Plan,
- 3) would be includible in gross income if not rolled over in its entirety, unless after-tax contributions, which have been previously taxed.
- 4) does not represent a Required Minimum Distribution, a hardship distribution, or a corrective distribution (for example: corrections of elective deferrals or elective contributions, etc.), and
- 5) was distributed to me as an employee (not as a beneficiary) or as a surviving spouse.

  X   \_\_\_\_\_ Date    |    |     
*Participant's/Account Owner's signature*

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