

**Application for An Incoming Contract Exchange Or Plan to Plan Transfer to the PCA Retirement Plan**

**Instructions for Application**

- Use this form to request a Contract Exchange of your funds to the PCA Retirement Plan from another Internal Revenue Code Section 403(b)(1) annuity contract, Section 403(b)(7) custodial account, or Section 403(b)(9) retirement account from another vendor within the same employer's sponsored 403(b) retirement plan.
- Use of this form is to request a Plan to Plan transfer of your funds to the PCA Retirement Plan from another Internal Revenue Code Section 403(b)(1) annuity contract, Section 403(b)(7) custodial account, or Section 403(b)(9) retirement account from an unrelated employer's sponsored 403(b) retirement plan
- A Contract Exchange or Plan to Plan Transfer applies only to the exchange or transfer of funds between Code Section 403(b) plans. You cannot exchange or transfer retirement plan funds from a profit sharing plan, a Code Section 401(k) plan, or other qualified retirement plans to the PCA Retirement Plan. In addition, you cannot use a Contract Exchange or Plan to Plan Transfer to move contributions from an IRA to the PCA Retirement Plan.

Use a separate form for each Contract Exchange or Plan to Plan Transfer. For assistance, please call 1-800-789-8765.

**Return the complete form to:**

Rollovers and Transfers  
PCA Retirement and Benefits, Inc. (RBI)  
1700 North Brown Road, Suite 106  
Lawrenceville, GA 30043

**Mail check overnight or first class mail to:**

PCA Retirement Plan  
FBO (Name of Participant)  
PCA Retirement and Benefits, Inc. (RBI)  
1700 North Brown Road, Suite 106  
Lawrenceville, GA 30043

**1. PARTICIPANT INFORMATION**

Participant Name: \_\_\_\_\_ Social Security Number: \_\_\_\_\_

Home Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

Birth Date: \_\_\_\_/\_\_\_\_/\_\_\_\_ Marital Status:  Married  Single  Divorced  Widowed

Daytime telephone: (\_\_\_\_) \_\_\_\_\_ Email address: \_\_\_\_\_

Place exchange or transfer in the following plan with PCA Retirement: \_\_\_\_\_

**2. AMOUNTS EXCHANGED OR TRANSFERRED**

**A. Account to be exchanged or transferred to the PCA Retirement Plan (indicate the name, address and telephone number of the distributing plan):**

Current custodian: \_\_\_\_\_ Telephone: (\_\_\_\_) \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

**B. Please liquidate and exchange or transfer the following investments to PCA Retirement:**

Account number: \_\_\_\_\_ Fund Name: \_\_\_\_\_  Entire account  Partial \_\_\_\_\_ \$ or %

Account number: \_\_\_\_\_ Fund Name: \_\_\_\_\_  Entire account  Partial \_\_\_\_\_ \$ or %

Account number: \_\_\_\_\_ Fund Name: \_\_\_\_\_  Entire account  Partial \_\_\_\_\_ \$ or %

Account number: \_\_\_\_\_ Fund Name: \_\_\_\_\_  Entire account  Partial \_\_\_\_\_ \$ or %

### 3. SOURCE OF EXCHANGE OR TRANSFER

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I am requesting a: (Please check one)

**A. Contract Exchange**

(An exchange of your funds to the PCA Retirement Plan from another vendor within the same employer's sponsored 403(b) retirement plan)

From employer: \_\_\_\_\_

Total amount to be exchanged: \$ \_\_\_\_\_

**B. Plan to Plan Transfer**

(A transfer of your funds to the PCA Retirement Plan from an unrelated employer's sponsored 403(b) retirement plan)

From employer: \_\_\_\_\_

Total amount to be transferred: \$ \_\_\_\_\_

- Code Section 403(b)(1) annuity contract     Code Section 403(b)(9) retirement income account  
 Code Section 403(b)(7) custodial account

### 4. INVESTMENT ALLOCATION

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Please indicate how you wish to allocate your exchange or transfer among the investment funds available. You may select from Option 1 or Option 2. The accumulations will remain in this fund until you change your election.

**Option 1**

Invest my Contract Exchange or Plan to Plan Transfer with the current contribution allocation election on file with RBI.

**Option 2**

Invest according to the contribution election form enclosed (see [www.pcarbi.org](http://www.pcarbi.org) to download form).

For more information on the funds available to you, please contact RBI at 1-800-789-8765.

### 5. PARTICIPANT CERTIFICATION AND AUTHORIZATION TO EXCHANGE OR TRANSFER FUNDS

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I understand it is my responsibility to request the Contract Exchange or Plan to Plan Transfer from the Transferor and to arrange to have the funds paid to the PCA Retirement Plan. This exchange or transfer is intended to qualify as a tax-free direct transfer between Code Section 403(b) annuity contracts or accounts and will be placed in the 403(b) plan of my most current/recent employer. The Transferor is directed to make the transferred amount payable to the PCA Retirement Plan for my benefit and to forward the proceeds to: PCA Service Center, 5446 California Ave SW, Suite 200, Seattle, WA 98136

RBI is released from any responsibility or liability regarding the accuracy of such representations or any tax consequences resulting from the Contract Exchange or Plan to Plan Transfer of these funds.

Participant Signature: \_\_\_\_\_ Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

**6. ACCOUNTING DETAIL INFORMATION (TO BE COMPLETED BY TRANSFERRING 403(B) ISSUER)**

The portion of the Contract Exchange or Plan to Plan Transfer that applies to each of the following types of contributions is indicated below to the extent the information is available. **(Failure to complete the information requested may subject the Contract Exchange or Plan to Plan Transfer amounts to more restrictive rules than those imposed prior to the exchange or transfer.)**

	Current employer	Prior employer(s)
<b>A. Total employer (non-elective) contributions &amp; earnings</b>	\$ _____	\$ _____
• Employer contributions	\$ _____	\$ _____
• Earnings on employer contributions	\$ _____	\$ _____
• Pre-89 employer contributions & earnings	\$ _____	\$ _____
(For Code Section 403(b)(7) custodial accounts only)		
	Vested _____ %	Vested _____ %
<b>B. Total salary reduction (elective) contributions &amp; earnings</b>	\$ _____	\$ _____
• Salary reduction contributions	\$ _____	\$ _____
• Earnings on salary reduction contributions	\$ _____	\$ _____
• Pre-89 salary reduction contributions & earnings	\$ _____	\$ _____
<b>C. Total after-tax (tax paid) contributions &amp; earnings</b>	\$ _____	\$ _____
• After-tax contributions	\$ _____	\$ _____
• All earnings on after-tax contributions	\$ _____	\$ _____
• Pre-87 after-tax contributions	\$ _____	\$ _____
<b>D. Total Roth elective deferral contributions</b>	\$ _____	\$ _____
• Roth elective deferral contributions	\$ _____	\$ _____
• Earnings on Roth elective deferral contributions	\$ _____	\$ _____
<b>E. Total tax deductible contributions &amp; earnings</b>	\$ _____	\$ _____
<b>F. Total transfer contributions &amp; earnings</b>	\$ _____	\$ _____
<b>G. Total amount of 12/31/86 account balance</b>	\$ _____	\$ _____

**7. CERTIFICATION BY TRANSFERRING 403(B) ISSUER (COMPLETE IF SECTION 6 IS COMPLETED BY TRANSFERRING 403(B) ISSUER)**

The information provided above accurately reflects our records.

I certify that the Contract Exchange or Plan to Plan Transfer is solely attributable to amounts from a Code 403(b)(1) annuity contract, 403(b)(7) custodial account, and/or a 403(b)(9) retirement income account.

Signature: \_\_\_\_\_ Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

**8. PLAN TO PLAN TRANSFER EMPLOYER VERIFICATION**

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Employer: \_\_\_\_\_

Employment Status:  Active  Terminated Date of termination: \_\_\_\_/\_\_\_\_/\_\_\_\_

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

**9. CONTRACT EXCHANGE EMPLOYER VERIFICATION**

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How many in-service distributions has the participant received in the current plan year? \_\_\_\_\_

Has the participant received a financial hardship distribution within the last six (6) months?  Yes  No

If yes, please give the date of distribution: \_\_\_\_/\_\_\_\_/\_\_\_\_

Does the participant currently have a loan?  Yes  No

If yes, please give the date of loan: \_\_\_\_/\_\_\_\_/\_\_\_\_

What was the highest monthly loan balance of the last twelve (12) months? \$ \_\_\_\_\_

Does the participant have a loan in default status?  Yes  No

If yes, please give the date of default: \_\_\_\_/\_\_\_\_/\_\_\_\_

As required by law, the employer verifies all participant information in regards to the requested Contract Exchange or Plan to Plan Transfer. RBI may rely upon the representations made by the employer or the Transferor. Except to the extent otherwise indicated, the employer authorizes RBI to treat the Contract Exchange or Plan to Plan Transfer as though the amounts are attributable to a transfer of Code Section 403(b) contributions and/or earnings which are subject to distribution restrictions with respect to the participant that are not less stringent than those imposed on the contract being exchanged.

Furthermore, the employer agrees to enter into an agreement with RBI under which the employer and RBI will from time to time in the future exchange the following information: (1) information necessary for any contract to which contributions have been made by the employer to satisfy section 403(b), including information concerning the participant's employment and information that takes into account other section 403(b) contract or qualified employer plans such as severance from employment for purposes of distribution restrictions and whether hardship withdrawal rules are satisfied; (2) information necessary for any contact to which contributions have been made by the employer to satisfy other tax requirements such as information regarding the outstanding balance of plan loans and whether a plan loan constitutes a deemed distribution under section 72(p).

RBI is released from any responsibility or liability regarding the accuracy of such representation or any tax consequences resulting from the exchange or transfer of these funds.

Employee Signature: \_\_\_\_\_ Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

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**TO BE COMPLETED BY RBI**

RBI agrees to accept a Contract Exchange or Plan to Plan Transfer for your benefit from a Code section 403(b) plan as authorized under Code Section 403(b). The Contract Exchange or Plan to Plan Transfer amount will be credited to your Code section 403(b) account at RBI. RBI agrees to separately account for any after-tax and/or Roth elective deferrals included in the Contract Exchange or Plan to Plan transfer.

Signature of PCA authorized representative: \_\_\_\_\_ Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

As required by law and as the receiving plan, RBI provides that, to the extent any amount is subject to any distribution restrictions under applicable regulations, restrictions will be imposed on distributions to the participant or beneficiary whose assets are being transferred that are not less stringent than those imposed on the Transferor plan.