PAYCHEX®

HR | Payroll | Benefits | Insurance

Retirement Services Employee Rollover Form

Participant Information – All Information is Required

Participant Name ________________________________ Email Address ________________________

Current Company Name ________________________________ Phone Number ____________________

Date of Birth ______/______/______ Date of Hire ______/______/______ SSN: XXX-XX-______

Important: **What type of contributions does this rollover check contain?** ☐ Only Pre Tax ☐ Only Roth ☐ Both Pre Tax & Roth (*)

- **If the check contains ONLY Pre Tax funds, skip** to Investment Selection Information, then review and sign the remainder of the form.
- **If the check contains ONLY Roth funds**, complete **ALL** information below. *Your Roth rollover cannot be processed without this information.*
- **If the check contains BOTH Roth and Pre Tax funds,** complete **ALL** information below.

Roth Establishment Date (date of first Roth deferral) ______/______/______

Roth Contribution Amount $______________ *plus* Roth Earnings Amount $______________ *equals* Total Check Amount $____________

(*)Please confirm the remainder of the amount consists of Pre-Tax Contributions, if applicable, by checking the below box:

☐ Yes, the remaining amount consists of Pre-Tax Contributions

Note: Only plans that permit employees to make Roth 401(k) salary deferrals may accept Roth 401(k) rollovers. Refer to the General Information Sheet/Summary Plan Description or contact your plan administrator to determine if your plan accepts Roth 401(k) rollovers.

Investment Selection Information

- If you have made investments selections in your company's 401(k) retirement plan with Paychex, your rollover funds will be invested according to your current fund allocations.
- If you have **not** made investment selections and are currently eligible to participate in your company's plan, select funds by accessing the Paychex 401(k) participant website at http://www.paychexflex.com.
- If you have not made investment selections prior to your rollover being processed, your funds will be invested in the Participant Default Fund within your company's plan.

Important Information Regarding your Rollover

- Receipt of this form by Paychex does not initiate the rollover of prior plan assets. You must contact your prior plan administrator to initiate the transfer of assets to Paychex.
- **Your rollover check must be made payable to:** "Paychex FBO *Participant Name/Last 4 digits of Social Security Number*."
- Your rollover check and rollover form must be mailed to the address listed below underneath the participant signature section.
- If you are not yet eligible to participate in your company's plan, you may roll funds into the plan. However, a loan from the rollover balance is not available until you are eligible to participate in the plan.
- Funds rolled into the plan become subject to the terms of the plan sponsored by your employer.

Authorization

I hereby certify that this rollover represents a distribution from a qualified retirement plan, and that I understand the terms of the plan as they apply to my rollover account. The authorization set forth in this form shall become effective at the earliest time permitted by the terms of the plan. I acknowledge that I have received and reviewed the Fee Disclosure Statement for Participants.

Participant Signature ____ Date ______/______/______

Electronic Signatures are not accepted

Submit your completed Employee Rollover Form:

By Fax (Form Submissions Only):
585-389-7878

Using FedEX, UPS or USPS (Signature of Certified Mail with Tracking):
Paychex Retirement Services
Attn: Lockbox 830401
525 Fellowship Road, Suite 330
Mt. Laurel, NJ 08054-3415

Using Regular Mail (No Tracking or Signature Required):
Paychex Retirement Services
PO Box 830401
Philadelphia, PA 19182-0401

Note: Failure to send overnight or signature required mail to the appropriate address may result in the delay of processing of your request, as the check will be returned to sender.

Guide For Completing the Retirement Services Employee Rollover Form

*****THIS PAGE DOES NOT NEED TO BE RETURNED BACK TO PAYCHEX*****

PLEASE NOTE: Each Rollover check sent in requires its own separate form for processing. If you submit two checks, please submit two separate Rollover forms - one for each corresponding check.

1. **Complete the "Participant Information – All Information Is Required" section.**

Participant Information – All Information is Required

Participant Name ______________________ Email Address ______________________

Current Company Name ______________________ Phone Number ______________________

Date of Birth _____/_____/_____ Date of Hire _____/_____/_____ SSN: XXX-XX-______

2. **Answer the question, "What type of contributions does this rollover check contain?**

Important: What type of contributions does this rollover check contain? ☐ Only Pre Tax ☐ Only Roth ☐ Both Pre Tax & Roth (*)

- **If the check contains ONLY Pre Tax funds, skip** to Investment Selection Information, then review and sign the remainder of the form.
- **If the check contains ONLY Roth funds**, complete **ALL** information below. *Your Roth rollover cannot be processed without this information.*
- **If the check contains BOTH Roth and Pre Tax funds,** complete **ALL** information below. In addition, check the box that says "remaining balance is from Pre Tax Contributions". *Your Roth rollover cannot be processed without this information.*

Roth Establishment Date (date of first Roth deferral) _____/_____/_____

Roth Contribution Amount $__________ *plus* Roth Earnings Amount $__________ *equals* Total Check Amount $__________

(*)Please confirm the remainder of the amount consists of Pre-Tax Contributions, if applicable, by checking the below box:

☐ Yes, the remaining amount consists of Pre-Tax Contributions

If the answer is "ONLY Pre Tax": then the roth establishment date, roth contribution amount, roth earnings amount, and total check amount should be left blank. Skip to the Investment Selection Information section.

If the answer is "ONLY Roth" OR "Both Pre-Tax & Roth": then **all** the information below must be included.

- **Roth Establishment date:** This is the date that you made your first roth deferral; also meaning the first date that money was withheld from your paycheck and put into your personal retirement account with your prior retirement service provider.)
- **Roth contribution amount:** This is the amount that was withheld from your paycheck that you personally contributed into your roth account.
- **Roth earnings amount:** This is the amount that the market had in gains/ losses on the money that you personally contributed into your account. This can be either a positive (gain) or negative (loss) number.
- **Total check amount:** This is the actual amount of the check.

If the check contains "Both Pre-tax and Roth" contributions: then also check the "Yes" box indicating that the remaining check balance is from pre tax contributions.

☐ Yes, the remaining amount consists of Pre-Tax Contributions

Please note: When you add the roth contribution amount plus the roth earnings amount it must equal the actual amount of the check. (Exception: If your check includes both roth and pre-tax contributions, then enter the roth contribution amount, roth earnings amount, actual total check amount. Then hand write a note on the rollover form that says, "remaining balance is from pre-tax contributions."

Please note: If you do not know the roth contribution, roth earning, roth establishment date then please contact your prior retirement service provider that issued the check, and they would be able to provide you with that information.

3. **Print the form and sign it with a pen. Unfortunately, we cannot accept electronic signatures.**

Participant Signature ______________________ Date _____/_____/_____

Electronic Signatures are not accepted