

## A. ISSUER, TRUSTEE, CUSTODIAN, OR PLAN ADMINISTRATOR OF TRANSFEROR ARRANGEMENT

Name: \_\_\_\_\_ Current contract/account # \_\_\_\_\_  
 Address line 1: \_\_\_\_\_ SSN/Tax ID: \_\_\_\_\_  
 Address line 2: \_\_\_\_\_  
 City: \_\_\_\_\_ State: \_\_\_\_\_ Zip code: \_\_\_\_\_

## B. IDENTITY OF INDIVIDUAL REQUESTING THE TRANSFER

Name: \_\_\_\_\_ New contract # \_\_\_\_\_  
 Address line 1: \_\_\_\_\_ SSN/Tax ID: \_\_\_\_\_  
 Address line 2: \_\_\_\_\_ Date of birth: \_\_\_\_\_  
 City: \_\_\_\_\_ State: \_\_\_\_\_ Zip code: \_\_\_\_\_

The requesting individual is (check one):

- The owner, employee, or former employee for whose benefit the transferor arrangement was established and maintained.
- The surviving spouse of the deceased owner, employee, or former employee. If so, please provide the following:
  - (1) The date of birth of the owner, employee, or former employee: \_\_\_\_\_
  - (2) The date of death of the owner, employee, or former employee: \_\_\_\_\_
- A non-spouse beneficiary of the deceased owner, employee, or former employee. If so, please provide the following:
  - (1) The date of birth of the owner, employee, or former employee: \_\_\_\_\_
  - (2) The date of death of the owner, employee, or former employee: \_\_\_\_\_

## C. TYPE OF TRANSFER (check which is applicable)

- Into a **TRADITIONAL IRA** annuity contract (check one):
  - From a **TRADITIONAL IRA** or **SEP IRA** in a trustee-to-trustee transfer
  - From a **SIMPLE IRA** in a rollover made after the 2-year period beginning on the day contributions are first deposited in the SIMPLE IRA by the individual's employer
  - From a **SECTION 401(a) QUALIFIED TRUST, SECTION 403(a) ANNUITY PLAN, SECTION 403(b) ANNUITY CONTRACT, SECTION 403(b)(7) CUSTODIAL ACCOUNT, or GOVERNMENTAL SECTION 457(b) PLAN** in an eligible rollover distribution
- Into a **ROTH IRA** annuity contract (check one):
  - From a **ROTH IRA** in a trustee-to-trustee transfer
  - From a **DESIGNATED ROTH ACCOUNT** in a qualified rollover
  - From a **TRADITIONAL IRA** or **SEP IRA** in a qualified rollover
  - From a **SIMPLE IRA** in a qualified rollover made after the 2-year period beginning on the day contributions are first deposited in the SIMPLE IRA by the individual's employer
  - From a **SECTION 401(a) QUALIFIED TRUST, SECTION 403(a) ANNUITY PLAN, SECTION 403(b) ANNUITY CONTRACT, SECTION 403(b)(7) CUSTODIAL ACCOUNT, or GOVERNMENTAL SECTION 457(b) PLAN** in a qualified rollover *made after 2007*
- Into a **SECTION 403(b) ANNUITY CONTRACT** (check one):
  - From a **SECTION 403(b) ANNUITY CONTRACT** or a **SECTION 403(b)(7) CUSTODIAL ACCOUNT** in a rollover, transfer, or exchange
  - From a **TRADITIONAL IRA** or **SEP IRA** in a rollover
  - From a **SIMPLE IRA** in a rollover made after the 2-year period beginning on the day contributions are first deposited in the SIMPLE IRA by the individual's employer
  - From a **SECTION 401(a) QUALIFIED TRUST, SECTION 403(a) ANNUITY PLAN, or GOVERNMENTAL SECTION 457(b) PLAN** in an eligible rollover distribution

**NON-ERISA FUNDS ONLY.** The section 403(b) annuity contract will not be subject to the requirements of the Employee Retirement Income Security Act of 1974, as amended ("ERISA"). Hence, we will not accept amounts transferred into a section 403(b) annuity contract if the amounts transferred include funds which are subject to ERISA.



