

## Rollover 403(b)(7) to Traditional or Roth IRA Form

### INSTRUCTIONS:

1. Complete the attached Rollover 403(b)(7) to Traditional or Roth IRA Form
2. Sign the form
3. Mail or fax the completed, signed form to:

Please send to:	Regular Mail	Overnight Mail
	Primerica Shareholder Services P.O. Box 534485 Pittsburgh, PA 15253 – 4485	Primerica Shareholder Services Attention: 534485 500 Ross Street, 154-0520 Pittsburgh, PA 15262
<b>Client Services:</b>	<b>(800) 544-5445</b>	
<b>Fax Services:</b>	<b>(833) 748-3938</b> <i>See fax services below</i>	

You may use this form to rollover assets from your 403(b)(7) account currently with Primerica Shareholder Services to a new or existing Traditional or Roth IRA. If you do not have an existing IRA account, you must complete the appropriate New Account Application so that the account can be established.

**FAX SERVICES:** If you have an **existing IRA account with PSS** for which the 403(b)(7) assets are to be rolled in to, you may fax the attached completed form to 833-748-3938 for processing, of your rollover request.

**NOTE:** You must provide your existing 403(b)(7) account number from which assets are to be rolled over. This is required to process your request.

Have you completed the IRA Assembler DOL Tool to document the rollover or transfer?



Print the Rollover/Transfer documentation from the IRA Assembler DOL Tool and mail with this Form. Transactions will not be processed without the Rollover/Transfer documentation for each rollover/transfer.

### SECTION 1 – ROLLOVER ELECTION

In Section 1.1 please check the appropriate box to indicate the type of IRA account you wish to establish, either Traditional or Roth IRA. Please indicate whether this is a full or partial distribution by checking the appropriate box. If this is a partial distribution, please provide the dollar or share amount for the distribution. A new account application is required to roll over the assets if you do not have an existing type of IRA account for which you wish the rollover assets to be deposited. You must contact a Primerica Financial Services Representative for assistance in completing the application and Customer Identification Form .

**NOTE:** Investments will be moved “in kind” to your existing account, that is the same fund(s) currently in your 403b account. You should speak with your PFSI Agent for assistance in determining what if any changes should be made after the transfer is complete.

**NOTE:** You must complete the eSTAR Form and the IRA Assembler DOL Tool as follows:

1. In eSTAR, select “No, I want to record actions I took earlier using another system.” Then select “Via FAX/Mail” and “Purchase”.
2. In the IRA Assembler DOL Tool, select the appropriate source of funds (rollover from a retirement plan, internal IRA and/or external IRA).
3. In the IRA Assembler DOL Tool, you will enter the mutual funds the client is rolling over into/transferring into and the client will select the reasons he/she wishes to rollover and/or transfer their assets. Then you will acknowledge whether you are recommending the rollover/transfer and the basis for the recommendation.
4. Upload the IRA Rollover/Transfer Documentation and submit with this form.

If you have an existing account (Traditional or Roth IRA), please check the appropriate box and provide the account number for the existing account.

### SECTION 2 – REASON FOR ROLLOVER

Please indicate the reason for the rollover by checking the appropriate allowable reason.

### SECTION 3 – EMPLOYER / TPA APPROVAL

All distributions require Employer or TPA approval. Please have your employer or TPA approve by signing this section.

### SECTION 4 – SIGNATURE

To roll over the assets from your 403(b)(7) account please sign as your name is registered on your account.

(This page retained by the Client)

# Rollover 403(b)(7) to Traditional or Roth IRA Form

**REQUIRED INFORMATION**

You must provide the PSS 403(b)(7) account number and name from which the assets will be rolled over.

**Account Owner Name:** \_\_\_\_\_ **Account Number:** \_\_\_\_\_

## 1 ROLLOVER ELECTION

I have elected to rollover assets in my Primerica Shareholder Services 403(b)(7) account to:

**1.1 A New Account (Choose one)**      Traditional IRA      Roth IRA

This is a:      Full Distribution    or    Partial Distribution    Dollar Amount: \$ \_\_\_\_\_    Number of Shares: # \_\_\_\_\_

**NOTE:** A new account application is required to establish a new account to accept your roll over proceeds. You must contact a Primerica Financial Services Representative to complete the New Account Application and Customer Identification Form.

**1.2 OR, My Existing Account (Choose One)**

Traditional IRA      Roth IRA      **Account Number:** \_\_\_\_\_

**NOTE:** Investments will be moved "in kind" to your existing account, that is the same fund(s) currently held in the account will be moved to your existing account. You should speak with your Representative for assistance in determining what if any changes should be made after the transfer to your name

**NOTE:** You must complete the eSTAR Form and the IRA Assembler DOL Tool as follows:

1. In eSTAR, select "No, I want to record actions I took earlier using another system." Then select "Via FAX/Mail" and "Purchase".
2. In the IRA Assembler DOL Tool, select the appropriate source of funds (rollover from a retirement plan, internal IRA and/or external IRA).
3. In the IRA Assembler DOL Tool, you will enter the mutual funds the client is rolling over into/transferring into and the client will select the reasons he/she wishes to rollover and/or transfer their assets. Then you will acknowledge whether you are recommending the rollover/transfer and the basis for the recommendation.
4. Upload the IRA Rollover/Transfer Documentation and submit with this form.

## 2 REASON FOR ROLLOVER

In order to roll over proceeds in a 403(b)(7) account to an IRA account, it must meet one of the allowable reasons below. Please check one:

Age 59 ½ or older      Separation from Service      Employer Plan Terminated

Disabled – I certify that I meet the definition of disability as defined under IRS Code 72(m)(7)

Self-Certification - Late 60 Day Rollover (Must also complete and provide the POL-18 with this form)

## 3 EMPLOYER / TPA APPROVAL

**Effective January 1, 2009 all distributions will require Employer or TPA approval. Please have your employer or TPA approve by signing this section.**

*I hereby affirm that the information given is true and correct, and I authorize and direct the custodian to make distributions according to the instructions provided on this form.*

\_\_\_\_\_  
**Employer or TPA Authorized Signature**

\_\_\_\_\_  
**Title**      \_\_\_\_\_  
**Date**

## 4 SIGNATURE

By signing this form, I understand that (i) my employer may be required to execute any and all other documents, and to provide and/or share any and all other information, necessary to comply with section 403(b) of the Code and the final regulations promulgated there under and (ii) there is a risk that if my employer and/or the plan is not in compliance with section 403(b) of the Code and the final regulations promulgated there under that the distribution being made by Primerica Shareholder Services (PSS) under this form may be considered disqualifying event by the Internal Revenue Service and reportable by PSS.

\_\_\_\_\_  
**Account Owner's Signature**      \_\_\_\_\_  
**Date**

Once completed, mail the form and required documents to the appropriate address or service number listed for processing.	<b>Please send to:</b>	<b>Regular Mail</b>	<b>Overnight Mail</b>
	<b>Client Services:</b> <b>Fax Services:</b>	Primerica Shareholder Services P.O. Box 534485 Pittsburgh, PA 15253 - 4485 <b>(800) 544-5445</b> <b>(833) 748-3938</b> <i>See fax services on the Instructions (page 1)</i>	Primerica Shareholder Services Attention: 534485 500 Ross Street, 154-0520 Pittsburgh, PA 15262