

You should use this form if you want to roll over an eligible amount from your former employer's IRC § 401(a), 401(k), 403(b) account, § 457(b) (governmental only) plan, or an IRA established pursuant to IRC § 408 (pre-tax money only) to your current account with Prudential Retirement under the Metropolitan Transportation Authority 457 Plan. Please note you must be enrolled in the Metropolitan Transportation Authority 457 Plan in order to roll over these funds. Keep a copy of this form for your records.

In order to roll over funds into your Plan, you must take the following steps:

- A. Complete the attached Rollover Pre-Approval form.
- B. Provide Supporting Documentation from the prior plan or IRA that indicates the plan is either an IRC § 401 (a), 401(k), § 403(b), § 457(governmental only) plan, or an IRA established pursuant to IRC § 408 (pre-tax money only).

Acceptable documentation may be ONE of the following:

- A copy of an account statement from the prior plan or carrier that includes the plan name and indicates the type of plan,
- A letter from the prior plan's administrator stating the plan type and, if the plan is qualified, it has a determination letter,
- An excerpt from the prior plan's Summary Plan Description that indicates the plan name and plan type.

**Note:** All checks should be payable to 'Prudential Retirement for the benefit of (participant's name)' and should also include the last 4 digits of the individuals social security number. Please mail to the address below.

Please fax your completed request to 1-866-439-8602 or mail to:

**MTA Deferred Compensation Program**  
**c/o Prudential Retirement**  
30 Scranton Office Park  
Scranton, PA 18507

Should you have any questions regarding this process, please call 877-PLN-4MTA. If you are hearing impaired and have a teletype (TTY) line, please call 1-877-760-5166.



Please refer to the instructions page before completing this form.

Please print using blue or black ink. Keep a copy of this form for your records.

**About  
You**

Prudential Plan number

**3 0 0 1 8 6**

Sub plan number

\_\_\_\_\_

**Questions?**

Call 877-PLN-4MTA (877-756-4682)  
for assistance.

Social Security number

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

Daytime telephone number

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

*area code*

First name

MI

Last name

\_\_\_\_\_

Address

\_\_\_\_\_

City

State

ZIP code

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

**Distributing  
Plan or  
Carrier  
Information**

Distributing plan or carrier name

\_\_\_\_\_

Distributing plan or carrier address

\_\_\_\_\_

City

State

ZIP code

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

Daytime telephone number

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

*area code*

Plan Sponsor (previous employer) name \_\_\_\_\_

Distributing plan account number \_\_\_\_\_

**Rollover  
Information**

What type of plan are you rolling FROM?

401(a)

401(k)

403(b)

IRA\*

Governmental 457(b)

Please liquidate and rollover/transfer:

Total Account Value

**OR**

\$ \_\_\_\_\_, \_\_\_\_\_ .00

\*A Conduit IRA or Traditional IRA with pre-tax money only.

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.

Any Roth dollars will be invested in the same allocation as your Roth contributions (if applicable).

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).

**Minimum  
Distribution  
Information**

I understand that if I have attained the age of 70½ or older, the distributing carrier is required to process the Minimum Required Distribution before transferring the funds to Prudential. Therefore, if I meet these requirements, and have not already done so, I understand that I need to direct the prior carrier to distribute my Minimum Required Distribution prior to processing this rollover.

**Disclosures**

If your transaction includes **Roth contributions**, your current provider or custodian needs to provide the amount of the **Roth contributions** along with the check, otherwise the entire amount will be applied as before-tax. Not all plans accept rollovers/transfers of **Roth**. \*For Roth rollover contributions, a letter from the prior plan's administrator that provides (1) the amount of Roth contributions (basis) being rolled over, and (2) your "Roth Start Date." If Prudential does not receive your Roth start date or year, we will default it to current day.

**Your  
Authorization**

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

I 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 or Roth contributions, which have been previously taxed,
- 4) does not represent a Minimum Required Distribution, an unforeseen emergency withdrawal, 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 \_\_\_\_\_

*Account Owner's signature*

