



**Incoming Direct Rollover
401(k) Plan**

Do not complete the Investment Option Information portion of this form if you elected to have your account professionally managed by Empower Advisory Group, LLC ("EAG").

I.B.E.W. Local 697 Defined Contribution Plan

330224-01

Participant Information

Last Name			First Name			MI			Social Security Number											
<i>(The name provided MUST match the name on file with Service Provider.)</i>																				
Address - Number & Street												E-Mail Address								
City				State		Zip Code		Mo			Day			Year			<input type="checkbox"/> Female		<input type="checkbox"/> Male	
()				()				Date of Birth						<input type="checkbox"/> Married		<input type="checkbox"/> Unmarried				
Home Phone						Work Phone														

Direct Rollover Information

Current Plan Administrator must authorize by signing in the Required Signatures section.

Previous Plan Administrator must sign this form if Designated Roth Account is being directly rolled over.

I am choosing a:

- Direct Rollover, as allowed by your Plan, from a qualified:
 - 401(a) Plan
 - 401(k) Plan
 - Non-Roth: \$ _____ (all contributions and earnings, excluding Roth contributions and earnings)
 - Roth: \$ _____ (employee contributions and earnings)
 - Governmental 457(b) Plan
 - 403(b) Plan
 - Non-Roth: \$ _____ (all contributions and earnings, excluding Roth contributions and earnings)
 - Roth: \$ _____ (employee contributions and earnings)
- Direct Rollover from a Traditional IRA, as allowed by your Plan (Non-deductible contributions/basis may not be rolled over)

Previous Provider Information:

Company Name						Account Number											
Mailing Address												()					
City/State/Zip Code						Phone Number											

Last Name

First Name

M.I.

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Number

Required Documentation

If you are rolling over from an IRA, please provide a copy of the most recent account statement. If you are rolling over from an employer sponsored retirement plan, please provide a copy of the most recent account statement showing the Internal Revenue Code ("Code") plan type, plan name, and if applicable, Roth first contribution date and Roth contribution amounts.

If you do not have this information on the statement, please have your Previous Plan Administrator complete the applicable fields below. Also provide the signature of the previous employer as Plan Administrator.

The name of the distributing Plan is _____
(hereinafter referred to as the "Plan"). The Plan Administrator of the Plan certifies to the best of their knowledge that:

(1) The Plan is designed or intended to be tax qualified under the Code and meets the requirements of a

Qualified 401(a) or 401(k) plan

403(b) Plan

457(b) for governmental plans

(2) The amounts are eligible for rollover as described in Code section 402(c).

(3) Employer/employee before-tax contribution and earnings: \$ _____

(4) After-tax contributions: _____

After-tax cost basis: \$ _____

After-tax cost earnings: \$ _____

12/31/86 after-tax cost basis: \$ _____

Note: Unless otherwise indicated, all amounts received will be considered employee before-tax contributions and earnings.

(5) For Rollovers from designated Roth accounts:

Roth first contribution date: _____

Roth contributions (no earnings): _____

Roth earnings: _____

(6) For In-plan Roth Transfers/Rollovers:

Roth recapture amount: _____

Roth recapture date(s): _____

Roth contributions (no earnings): _____

Roth earnings: _____

(7) Signature of previous employer:

I am authorized to sign as Plan Administrator of the previous employer.

Signature of "Plan Administrator" _____

Printed Name of "Plan Administrator" _____

Title _____

Company Name _____ Date _____

Phone Number _____ Email Address _____

Last Name

First Name

M.I.

Social Security Number

Number

Amount of Direct Rollover: \$ _____ (Enter approximate amount if exact amount is not known.)

Investment Option Information - Please refer to your communication materials for investment option designations.

I understand that funds may impose redemption fees on certain transfers, redemptions or exchanges if assets are held less than the period stated in the fund's prospectus or other disclosure documents. I will refer to the fund's prospectus and/or disclosure documents for more information.

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Select either existing ongoing allocations (A) or your own investment options (B).

(A) Existing Ongoing Allocations

I wish to allocate this rollover the same as my existing ongoing allocations.

(B) Select Your Own Investment Options

Please Note: For automatic dollar-cost averaging, call Client Service Department or access our Web site.

INVESTMENT OPTION				INVESTMENT OPTION			
NAME	TICKER	CODE	%	NAME	TICKER	CODE	%
The Vanguard Target Retire 2070 Trust II.....	N/A	VG2070	_____	Vanguard Small Cap Value Index Admiral.....	VSIAX	VSIAX	_____
The Vanguard Target Retire Incm Trust II.....	N/A	VGRINC	_____	Vanguard Mid-Cap Growth Index Admiral.....	VMGMX	VMGMX	_____
The Vanguard Target Retire 2050 Trust II.....	N/A	VG2050	_____	Vanguard Mid Cap Index Ins.....	VMCIX	VMCIX	_____
The Vanguard Target Retire 2055 Trust II.....	N/A	VG2055	_____	Vanguard Mid-Cap Value Index Admiral.....	VMVAX	VMVAX	_____
The Vanguard Target Retire 2045 Trust II.....	N/A	VG2045	_____	Vanguard Institutional Index Instl.....	VINIX	VINIX	_____
The Vanguard Target Retire 2040 Trust II.....	N/A	VG2040	_____	Vanguard Growth Index Institutional.....	VIGIX	VIGIX	_____
The Vanguard Target Retire 2035 Trust II.....	N/A	VG2035	_____	Vanguard Primecap Fund - Admiral.....	VPMAX	VPMAX	_____
The Vanguard Target Retire 2030 Trust II.....	N/A	VG2030	_____	Vanguard Windsor II Fund - Admiral.....	VWNAX	VWNAX	_____
The Vanguard Target Retire 2025 Trust II.....	N/A	VG2025	_____	Vanguard Wellesley Income Adm.....	VWIAX	VWIAX	_____
The Vanguard Target Retire 2065 Trust II.....	N/A	VG2065	_____	Metropolitan West Total Return Bond Plan.....	MWTSX	MWTSX	_____
The Vanguard Target Retire 2060 Trust II.....	N/A	VG2060	_____	Vanguard High-Yield Corporate Adm.....	VWEAX	VWEAX	_____
The Vanguard Target Retire 2020 Trust II.....	N/A	VG2020	_____	Vanguard Total Bond Market Index Inst.....	VBTIX	VBTIX	_____
Vanguard Emerging Mkts Stock Idx I.....	VEMIX	VEMIX	_____	Vanguard Cash Rsrv Federal MnyMktAdmiral..	VMRXX	VMRXX	_____
Vanguard International Value Portfolio.....	VTRIX	VTRIX	_____	Vanguard Retirement Savings Trust III.....	N/A	VGRST3	_____
Vanguard Small Cap Growth Index Admiral....	VSGAX	VSGAX	_____	MUST INDICATE WHOLE PERCENTAGES			= 100%
Vanguard Small Cap Index Instl.....	VSCIX	VSCIX	_____				

Participation Agreement

Empower Advisory Group, LLC - If I have elected to have my account professionally managed by Empower Advisory Group, LLC and this form is submitted, my election to have my account professionally managed will override the investment allocation requested on this form until such time as I revoke or amend my election to have my account professionally managed.

General Information - I understand that only certain types of distributions are eligible for rollover treatment and that it is solely my responsibility to ensure such eligibility. By signing below, I affirm that the funds I am rolling are in fact eligible for such treatment. I authorize these funds to be transferred into my employer's Plan and to be invested according to the information specified in the Investment Option Information section. I understand and agree that this account is subject to the terms of the Plan Document.

If the investment option information is missing or incomplete, I authorize Service Provider to allocate the direct rollover assets ("assets") the same as my ongoing contributions (if I have an account established) or to the default investment option selected by my Plan (if I do not have an investment election on file). If no default investment option is selected by my Plan, the funds will be returned to the payor as required by law. If additional assets from the same provider are received more than 180 calendar days after Service Provider receives this Incoming Direct Rollover form (this "form"), I authorize Service Provider to allocate all monies received the same as my ongoing allocation election on file with Service Provider. I understand I must call the Voice Response System at 1-833-569-2433 or access Web site at empowermyretirement.com in order to make changes or transfer monies from the default investment option. If my initial rollover assets are received more than 1 year after Service Provider receives and approves this Incoming Direct Rollover form, I understand Service Provider will require the submission of a new form for approval. I understand that this completed form must be received by Service Provider at the address provided on this form.

I understand that the current Custodian/Provider may require that I furnish additional information before processing the transaction requested on this form, and Service Provider is not responsible for determining the status of any transaction that I have requested. It is entirely my responsibility to provide the current Custodian/Provider with any information that they may require, and/or to notify Service Provider of any information that the current Custodian/Provider may wish to obtain in order to effect the transaction.

Withdrawal Restrictions - I understand that the Internal Revenue Code and/or my employer's Plan Document may impose restrictions on direct rollovers and/or distributions. I understand that I must contact the Plan Administrator, if applicable, to determine when and/or under what circumstances I am eligible to receive distributions or make direct rollovers.

Investment Options - I understand and acknowledge that all payments and account values, when based on the experience of the investment options, may not be guaranteed and may fluctuate, and, upon redemption, shares may be worth more or less than their original cost. I acknowledge that investment option information, including prospectuses, disclosure documents and Fund Profile sheets, have been made available to me and I understand the risks of investing.

Account Corrections - I understand that it is my obligation to review all confirmations and quarterly statements for discrepancies or errors. Corrections will be made only for errors which I communicate within 90 calendar days of the last calendar quarter. After this 90 days, account information shall

Last Name

First Name

M.I.

Social Security Number

Number

be deemed accurate and acceptable to me. If I notify Service Provider of an error after this 90 days the correction will only be processed from the date of notification forward and not on a retroactive basis.

Outstanding Loan Balance - An outstanding loan balance cannot be included in the direct rollover. However, you may pay off the outstanding loan balance before this direct rollover is submitted. After the loan is paid off, you may submit this direct rollover request. If you do not pay off the outstanding loan balance, you may direct rollover only the cash value (not including the loan) from the contract that has the outstanding loan.

Payment Instructions

Make check payable to:
Empower Trust Company, LLC

Include the following information on the check:
Participant Name, Individual ID (*found on account statement*)
Plan Number, Plan Name

Wire instructions:
Account of: Empower Trust Company, LLC (FBO Retirement Plans)
Bank: US Bank
Account no: 103691761896
Routing transit no: 102000021
Attention: Financial Control
Reference: Participant Name, Social Security Number,
Plan Number, Plan Name

Regular mail address for the check and form (if mailed together):
Empower Trust Company, LLC
PO Box 560119
Denver, CO 80256-0119

Overnight mail address for the check and form (if mailed together):
US Bank
10035 East 40th Avenue Suite 100
Attn Lockbox 560119 DN-CO-OCLEB
Denver, CO 80238
Contact: Empower
Phone#: 1-833-569-2433

If sending the "form" only, please follow mailing instructions above. **Funds received will not be invested unless accompanied by a completed Incoming Direct Rollover form. Funds will be invested on the day that both a completed Incoming Direct Rollover form and funds are received prior to market close.** We will not accept hand delivered forms at Express Mail addresses.

Required Signatures - My signature indicates that I have read, understand the effect of my election and agree to all pages of this Incoming Direct Rollover form, including the Participant Acknowledgements. I affirm that all information provided is true and correct.

Participant Signature

Date

A handwritten signature is required on this form. An electronic signature will not be accepted and will result in a significant delay.

I acknowledge and agree that the Plan Administrator for the Previous Employer's plan is released from and the Plan Administrator for the Current Employer's Plan shall assume all obligations associated with any amounts transferred under this Incoming Direct Rollover form.

Participant forward to Plan Administrator
Plan Administrator forward as shown above in the Payment Instructions section

Authorized Plan Administrator Signature

Date

A handwritten signature is required on this form. An electronic signature will not be accepted and will result in a significant delay.

For Current Employer's Plan

Print Full Name

Securities, when presented, are offered and/or distributed by Empower Financial Services, Inc., Member FINRA/SIPC. EFSI is an affiliate of Empower Retirement, LLC; Empower Funds, Inc.; and registered investment adviser Empower Advisory Group, LLC. This material is for informational purposes only and is not intended to provide investment, legal or tax recommendations or advice.