



# 403(b)(7) Contract Exchange/Transfer/Rollover Form

Use this form to request a contract exchange, plan to plan transfer, or direct rollover to an Invesco 403(b)(7) custodial account. We recommend you speak with a tax or financial advisor regarding the consequences of this transaction.

- Authorization from your employer or employer's Third Party Administrator (TPA) of the plan into which you are transferring is required.
- A separate transfer form is required for each custodian from which you are transferring assets.
- To expedite your request, please attach your most recent account statement.
- Do not use this form to transfer assets out of an Invesco 403(b)(7) account to a new custodian. Please contact the new custodian for the appropriate form.

PLEASE USE BLUE OR BLACK INK

PLEASE PRINT CLEARLY IN BLOCK CAPITAL LETTERS

## 1 | Participant Information

Full Name

Social Security Number (Required)

Date of Birth (Required) (mm/dd/yyyy)

Mailing Address

City

State

ZIP

Primary Phone Number

Email Address

## 2 | Assets are Moving from this Account (Required)

**Important Note:** Some trustees/custodians/employers require pre-liquidation of assets, payment of fees, and/or completion of their own forms prior to transferring assets to Invesco. To expedite your request, please contact your current trustee, custodian or employer to verify their requirements.

- Yes, I have contacted the current trustee/custodian/employer. I have met their requirements for transferring or rolling over assets, and have filed the necessary paperwork.
- Yes, I have confirmed the current trustee/custodian/employer will accept this request by fax at the number I've provided.
- No, I have not contacted the current trustee/custodian/employer.

Name of Current Trustee/Custodian/Employer

Mailing Address of Current Trustee/Custodian/Employer

City

State

ZIP

Trustee/Custodian/Employer Phone Number

Trustee/Custodian/Employer Fax Number

Account Number at Current Trustee/Custodian/Employer

Attention



**5 | Authorization and Signature** (Please sign and date below.)

**To the current trustee/custodian/employer:** I have established a 403(b)(7) Custodial Account with Invesco Distributors, Inc. and have appointed Invesco Trust Company (ITC) as the custodian. Please accept this as your authorization and instruction to liquidate and/or transfer "in kind" the assets noted on this form, which your company holds for me. In accordance with my custodial agreement and/or plan document, I authorize you to deduct any outstanding fees from the account prior to the transfer.

**To Invesco Investment Services, Inc. (IIS):** I certify I am not rolling over any required minimum distributions (RMDs) from the distributing retirement plan, and I understand and acknowledge that if I have started taking RMDs from the distributing plan, I am responsible for providing IIS with any information necessary to establish a systematic distribution for RMDs, and that if I do not provide this information, future calculations of RMD may result in underpayments, for which I may be subject to a 50% excise tax.

I authorize ITC as custodian of my 403(b)(7) account to share information with an authorized representative of the employer under which this 403(b)(7) account is established. I understand that this information exchange is necessary to enable the employer to satisfy the requirements of Section 403(b) of the Internal Revenue Code and to maintain the tax favored status of my account.

In executing this transaction, I understand and acknowledge that it's validity is contingent on the employer under which this account is established (i) permitting such contract exchanges in the 403(b) plan and (ii) naming the accepting custodian as an approved provider under the plan or entering into a valid agreement to share information relating to this plan for purposes of complying with the requirements under Section 403(b). I understand if such requirements are not met, it may result in all of my 403(b) assets under this employer's plan becoming taxable and subject to possible penalties. I agree to be bound by all terms and conditions of this completed Invesco 403(b)(7) Contract Exchange/Transfer/Rollover Form.

**Request for Taxpayer Identification Number** (Substitute Form W-9)  
Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number **and**
2. I am not subject to backup withholding because: **(a)** I am exempt from backup withholding, or **(b)** I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or **(c)** the IRS has notified me that I am no longer subject to backup withholding, **and**
3. I am a U.S. person (including a U.S. resident alien), **and**
4. The requirement to provide FATCA exemption codes does not apply.

**Certification Instructions:** You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the Certification, but you must provide your correct TIN.

**SIGNATURE PROVISIONS**

I have read, understand and agree to the foregoing form. I certify that the information which I have provided is accurate, including, but not limited to, the representations contained in the Request for Taxpayer Identification Number section above. I certify that this rollover is one that I am eligible to make, and I agree to indemnify and hold harmless IIS, its affiliates, each of their respective employees, officers, trustees, or directors, and each of the Invesco Funds from and against any and all claims, losses, liabilities, damages and expenses that may be incurred by reason of your actions taken in accordance with the instructions set forth herein.

Signature (Required)

Date (mm/dd/yyyy)

**X**

**Note: The current trustee/custodian may require signature to be guaranteed. Call that institution for their requirements.**

**Signature Guarantee:** (Please place signature guarantee stamp below.)

Each signature must be guaranteed by a bank, broker-dealer, savings and loan association, credit union, national securities exchange or any other "eligible guarantor institution" as defined in rules adopted by the Securities and Exchange Commission. Signatures may also be guaranteed with a medallion stamp of the STAMP program or the NYSE Medallion Signature Program, provided that the amount of the transaction does not exceed the relevant surety coverage of the medallion. **A signature guarantee may NOT be obtained through a notary public.**

**6 | Employer/TPA Signature**

- For 501(c)(3) non-ERISA plans, I acknowledge that our plan allows for the above type of transfer into the Invesco sponsored 403(b)(7) for which I am the authorized signer. I certify the participant has met all the requirements.
- For all other plans, I approve the above-referenced movement of assets into the Invesco sponsored 403(b)(7) for which I am the authorized signer. I certify the participant has met all the requirements.

| Authorized signature of Employer or TPA | Title | Date (mm/dd/yyyy) |
|---|-------|-------------------|
| <b>X</b>                                |       |                   |

**7 | Custodian Acceptance (This section to be completed by Invesco.)**

This is to advise you that ITC, as Custodian, will accept the assets identified in section 2.

This contract exchange/transfer of assets/direct rollover is to be executed on a trustee to trustee basis and will not place the participant in actual receipt of any portion of the plan assets. No federal income tax is to be withheld from this contract exchange/transfer of assets/direct rollover.

Authorized Signature of Officer Mary N. Heller  
 On behalf of Invesco Trust Company

**8 | Checklist and Mailing Instructions**

- Please review checklist before submitting your request:
- The current trustee or custodian has been contacted for their requirements.
  - A copy of the most recent account statement is included.
  - The Employer/TPA of the receiving plan has been contacted and they have authorized the transaction in section 6 and/or included a completed Employer/TPA's authorization form.
  - Transfer instructions have been clearly indicated in sections 3 and 4.
  - The form is signed in section 5.
  - If the receiving account has not been established, an Invesco 403(b)(7) Participant Account Application is included.

IIS does not accept the following types of payment: Cash, Credit Card Checks, Temporary/Starter Checks, and Third Party Checks.

Please send completed and signed form to:

|                                   |                                   |
|-----------------------------------|-----------------------------------|
| <b>(Direct Mail)</b>              | <b>(Overnight Mail)</b>           |
| Invesco Investment Services, Inc. | Invesco Investment Services, Inc. |
| P.O. Box 219078                   | c/o DST Systems, Inc.             |
| Kansas City, MO 64121-9078        | 430 W. 7th Street                 |
|                                   | Kansas City, MO 64105-1407        |

**For additional assistance please contact an Invesco Client Services representative at 800 959 4246, weekdays, 7 a.m. to 6 p.m. Central Time.**

**Visit our website at [invesco.com/us](http://invesco.com/us) to:**

- Check your account balance
- Confirm transaction history
- View account statements and tax forms
- Sign up for eDelivery of statements, daily transaction statements, tax forms, prospectuses, and reports
- Check the current fund price, yield and total return on any fund
- Process transactions
- Retrieve account forms and investor education materials

**Additional Information**

- A Contract Exchange is a transfer from your current employer's 403(b) with another Trustee/Custodian into your current employer's 403(b)(7) with Invesco.
- A Plan-to-Plan Transfer is a transfer from your prior employer's 403(b) into an Invesco 403(b)(7) with a new employer. *(For plan-to-plan transfers where both plans are currently held at Invesco, see transfer-in-kind instructions below and in section 3B.)*
- A Direct Rollover is a trustee to trustee transfer of funds from an eligible retirement plan or IRA with another Trustee/Custodian into an Invesco 403(b)(7), and is reportable to the IRS. Roth IRA accounts are not permitted to be rolled into a Roth 403(b)(7) account.
- A transfer "in kind" is the transfer of currently owned Invesco Fund(s) from one custodian to IIS without liquidating. This option is available if you currently own Invesco Fund(s) at the resigning trustee/custodian.
- When transferring CD's a maturity date is required. The request must be received by IIS 30 days prior to maturity date. Transfer "in kind" is not available for CD's.
- Payments or a series of payments over life expectancy(ies) are not eligible for rollover.
- RMD, hardship distributions, an unforeseeable emergency distribution, corrective distributions, or deemed distributions of a defaulted loan are not eligible for rollover.
- SIMPLE IRAs aged less than two years are not eligible to transfer or rollover to another plan type. The only option for a SIMPLE IRA less than two years is to transfer to another SIMPLE IRA.

**Note for Indirect Rollovers** *(60 day rollovers):*

- Rollover contribution must be made into the 403(b)(7) within 60 days of receipt of the distribution from the resigning trustee/custodian.