



Statement Date: January 18, 2023



State Farm Benefits Resource
www.statefarmbenefits.com

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Rollover Contribution Form State Farm 401(k) Savings Plan

I. INSTRUCTIONS

This form must be completely and accurately filled out in order to have your rollover deposited into the State Farm 401(k) Savings Plan. Read this form carefully to learn more about the types and forms of distributions that can be rolled into the State Farm 401(k) Savings Plan, how the check needs to be issued, and the additional documentation that is needed. If you have any questions, we suggest you call a State Farm Benefits Center representative.

If you don't completely and accurately fill out this form, or you don't provide the required documentation as specified below, **your request won't be processed**. Any missing or incomplete information will cause a delay in your rollover contribution being deposited into your account.

Rollover Amount

The amount you're rolling over is from (check applicable box):

☐ Prior employer plan

☐ Individual Retirement Account (IRA)

☐ Check this box if this is a repayment of a COVID-Related Distribution you took in 2020

Name of prior employer plan or IRA: _____

Rollover Contribution Amount

\$ _____



Your rollover will be applied as pre-tax dollars unless the documentation received from your prior employer plan indicates otherwise.

If you're rolling over any Roth balances by a direct rollover, the documentation from your prior employer plan must indicate your Roth begin date for you to receive credit for that date.

Investing Your Rollover Amount

Your rollover contribution will be invested based on your future investment choices already on file. If none are on file, your rollover contribution will be invested in the 2055 Portfolio. To review or update your investment choices, access the State Farm Benefits Resource website.

Rollover Check

The rollover check, in the case of either a direct or 60-day indirect rollover, must be made payable to the Plan as follows:

- State Farm 401(k) Savings Plan for the benefit of [your name]
- State Farm 401(k) Savings Plan FBO [your name].

To do a 60-day indirect rollover, send in a certified check, cashier's check, money order, or the check that was made payable to you from your prior employer plan or IRA; however, you must first endorse the back of the check and make it payable to the plan. Note: If you wish to roll over the entire eligible amount, you'll have to use other sources to replace the withholding that was taken when the distribution was paid to you.

Personal checks will **not** be accepted and will be returned to you.

II. CERTIFICATION

I certify that all information contained in this statement is complete and accurate. I certify that the amount of my rollover contribution represents only amounts that are eligible to be rolled over into the State Farm 401(k) Savings Plan, in accordance with the attached Rollover Guidelines. If any of the rollover contribution is subsequently determined to be ineligible for rollover, I understand that the plan will distribute the ineligible amount and any attributable earnings, if applicable.

Signature

Date

III. NEXT STEPS

Keep a copy of this form for your records. Then send **all** pages from Sections I, II and III of this completed form, along with the required documentation and rollover check.

Submission Steps

- ☐ Complete section I with your rollover information.
- _____

- ☐ Attach copies of the proper documentation, as outlined under section D below, to this form.
- ☐ Print your name and "202920055" at the top of the right hand corner of each page you're sending.
- ☐ Sign and date the form under section II above.
- ☐ Enclose (or mail) the check for the rollover amount made payable (or endorsed over) to the State Farm 401(k) Savings Plan FBO CARLOS CHAVEZ.
- ☐ Send your form and supporting documentation (your check must be mailed). You can submit by:
 - **Upload:**
 1. Create an electronic version of your completed form (such as use your printer to scan it into a file, or take photos of each page).
 2. Upload your document online by choosing "Send Your Documents" on the Savings & Retirement page.
 - **Fax:**

1-847-554-1528 (Outside the United States, use +1-847-554-1528.)

A separate cover page is not needed.

Mark the total number of pages to be faxed at the top of the form.
 - **Postal Mail:**

State Farm Benefits Center
DEPT 01283
PO Box 1590
Lincolnshire, IL 60069-1590

Note: Your request will be reviewed within 2-3 business days of receiving your documentation. If your rollover contribution can't be processed, you'll receive a notice explaining the reason(s) why and next steps to take.

If the sending plan requires an account number, your account number is 202920055.

Detailed eligibility and documentation requirements can be found on the following pages.

State Farm 401(k) Savings Plan Rollover Guidelines

Do not return this section of the form. This section of the Rollover Contribution Form is for informational purposes only.

A. GENERAL INFORMATION

In order to make a rollover contribution, you must:

- Be eligible to participate in the State Farm 401(k) Savings Plan.
 - Complete and return this form to the State Farm Benefits Center, along with the proper documentation showing that the amount is eligible to be rolled over
 - Enclose the rollover check from your prior employer plan or individual retirement account (IRA) with the proper payee name or endorsement. Please note that the State Farm 401(k) Savings Plan doesn't accept share certificates as part of a rollover contribution.
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If you haven't already designated a beneficiary for the State Farm 401(k) Savings Plan, you must access the State Farm Benefits Resource website or call the State Farm Benefits Center to make your beneficiary designation.

B. WHAT AMOUNTS CAN BE ROLLED OVER

Rollover Type

Your rollover contribution to the Plan may be done by direct rollover or 60-day indirect rollover.

Direct Rollover

A direct rollover occurs when your prior employer plan or individual retirement account (IRA) makes the rollover payable directly to the Plan.

60-Day Indirect Rollover

A 60-day indirect rollover occurs when the eligible amount is paid to you and you have 60 days from the [date the distribution was made] to deposit any of the eligible amount with the State Farm 401(k) Savings Plan. If you're doing a 60-day rollover and you wish to roll over the entire eligible amount, you'll have to use other sources to replace the 20% withholding that was taken when the distribution was paid to you.

Repayment of a COVID-Related Distribution

If you took a COVID-Related Distribution (CRD) in 2020, you have 3 years from the date of the distribution in order to repay all or a portion of those amounts back to a qualified plan that accepts rollovers or to an IRA. After 3 years, you're no longer eligible to make a repayment of any amounts.

Eligible Amounts

The following amounts are eligible for rollover into the Plan:

- Pre-tax (taxable) amounts from an eligible employer plan. These are any amounts contributed to your account that you've not yet paid taxes on. This includes any pre-tax contributions, as well as the taxable earnings received on contributions made to your account. This may also include taxable amounts of a COVID-Related Distribution that you're repaying.
- After-tax (nontaxable) contributions from an eligible employer plan, direct rollover only. These are amounts you've already paid taxes on to a non-Roth account. **Note:** Earnings on after-tax contributions are considered a pre-tax amount that will be taxable to you. This may also include nontaxable amounts of a COVID-Related Distribution that you're repaying.
- Roth amounts from an eligible employer plan, direct rollover only. These are amounts that you've contributed to a Roth account and already paid taxes on. It may also include the earnings received on the Roth contributions.
- Roth amounts of a COVID-Related Distribution that you're repaying
- Pre-tax (taxable) amounts from an IRA. You're responsible for ensuring that the rollover contribution you're making to the plan doesn't contain any after-tax (also known as nondeductible) amounts from an IRA.

Eligible Plans

Employer plans eligible for rollover include:

- Any qualified plan under section 401(a) of the Internal Revenue Code (for example, 401(k) and defined benefit (pension) plan)
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- Section 403(a) annuity
- Section 403(b) plan tax-sheltered annuity
- Section 457(b) governmental plan (excluding nontaxable)
- Federal Thrift plan

C. WHAT CAN'T BE ROLLED OVER

Ineligible Amounts

The following amounts aren't eligible for rollover into the Plan:

- Amounts from a Roth IRA
- After-tax contributions you made to a traditional IRA (also referred to as nontaxable or nondeductible contributions)
- Amounts paid to you as part of a series of equal or almost equal payments that are made at least once a year and that will last for a) your lifetime (or your life expectancy); b) your lifetime and your beneficiary's lifetime (or your joint life expectancies); or c) a specified or expected period of ten or more years
- Required minimum distribution payments
- Hardship distributions
- Payments made to you as a nonspouse beneficiary or a nonspouse alternate payee
- Pass through dividend payments
- Repayment of any COVID-Related Distribution if the date of distribution was more than 3 years ago

D. WHAT DOCUMENTATION IS REQUIRED

Required Supporting Documentation

You must provide documentation showing that the rollover contribution is from an eligible plan/IRA and is eligible to be rolled into the Plan. If sufficient documentation isn't provided, you'll be required to provide additional information to confirm rollover eligibility. Your rollover won't be processed until the necessary documentation is received.

To demonstrate that the rollover contribution is from an eligible plan/IRA and is eligible to be rolled into the plan, submit a copy of the distribution statement (also known as payment confirmation), IRS Form 1099-R, or letter that you received from your prior employer plan or IRA following your distribution. This documentation will likely include items such as:

- Plan name
 - Gross distribution (total amount of payment before deductions)
 - Taxable amount (portion of the payment that will be taxable to you when you withdraw it from the plan)
 - Federal withholding (taxes withheld from the payment)
 - Date of distribution (required if you are doing an indirect rollover)
 - Contributions you deferred as after-tax and/or Roth, if applicable
-

- Roth begin date, if applicable. (If no date is received, your Roth begin date will be either the date your rollover contribution was deposited into the plan or the date you first made a Roth contribution to the plan – whichever is the earlier date).

In the event of a conflict between this document and the Plan, the terms of the Plan will control.

Provide only copies of the supporting documentation and do not submit any original documentation (except for this form). Documentation submitted for rollover processing can't be returned to you.

To be approved, you must submit the required supporting documentation along with your check and signed Rollover Contribution Form.

Protect Your Data

Maintaining the security of your account is important. In addition to the strict security measures and procedures we take to limit risk, below are commonsense steps you can follow to protect your account:

- **Keep all contact information (including mobile number) up to date** so that we may contact you quickly if we suspect suspicious activity.
 - **Update security software on any device you use to access your account.** Use a private device and a protected wireless connection.
 - **Choose a password that you'll only use for this account.** Don't save your logon information on a device.
 - **Do not share your account access or logon information** with anyone, including friends and family.
 - **Contact us immediately if:**
 - Your account logon information was compromised or your account-related information was affected by identity theft (for example, if someone's using your credentials to impersonate you).
 - You receive any communications about suspicious account activity.
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For More Information



Web: State Farm Benefits Resource website at www.statefarmbenefits.com
Available 24 hours a day. User ID and Password required for access.

Phone: 1-866-935-4015, between 7 a.m. to 6 p.m. Central time, Monday through Friday.

Phone Pin required for access.

International Callers Toll Free Calling Instructions From Outside the United States:

Access an outside line and enter the AT&T Direct Access Number for your country of residence. An English language voice prompt or an AT&T operator will ask you for the number you are calling; enter the AccessDirect toll free number. When prompted, enter your calling card or credit card number.

Fax: 1-847-554-1528 (Outside the United States, use +1-847-554-1528.) (No cover letter needed.)

Mail: State Farm Benefits Center
DEPT 01283
PO Box 1590
Lincolnshire, IL 60069-1590



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