

# Instructions for an incoming rollover

## Possible Plan Types eligible to roll over

- |                       |                         |
|-----------------------|-------------------------|
| - 401(k) plan         | - 457 Governmental plan |
| - Profit sharing plan | - Simple IRA            |
| - Money purchase plan | - SEP IRA               |
| - Pension plan        | - Traditional IRA       |
| - 403(b) plan         | - ESOP                  |

Note: Roth contributions to a 401(k) Plan may be eligible to roll over as direct rollovers. Please contact the Retirement Service Center at 1-800-728-3123.

## Funds ineligible to roll over

Your plan cannot accept rollovers of the following:

- Hardship distributions
- Required minimum distributions
- Roth IRAs
- Inherited IRAs
- Indirect Roth rollovers *(except you may be able to do an indirect rollover of the taxable portion of a distribution from a designated Roth account)*
- Non-deductible IRA contributions

## Employer Sponsored Plan rollovers

You can rollover an account from an employer sponsored plan such as a 401(k), profit sharing, or pension plan. Complete the Rollover form and indicate the company and the full plan name including the Plan Type.

Required: Include a distribution statement that provides detail of the type of contributions that make up the distribution amount, such as pre-tax, after-tax or Roth.

You may be asked to provide additional plan documentation to validate the distributing plan's qualification.

## IRA rollovers

If IRAs are eligible for rollover into your plan, you are certifying on the Rollover form that the proceeds from the IRA originated either from a qualified employer-sponsored plan or from contributions distributed from a "traditional IRA" from which you took a tax deduction on your federal income tax returns.

Required: Include a copy of your IRA statement.

## Indirect rollovers

An indirect rollover must be completed within 60 days of your receipt of the distribution. After 60 days, the funds cannot be rolled over to another qualified plan unless accompanied by a Certification for Late Rollover Contribution Form.\*

For a loan offset from an employer sponsored plan that was due to (1) plan termination or (2) failure to meet the repayment terms because of your severance from employment, the 60-day rollover period is extended through the due date (including extensions) for filing your individual tax return for the tax year in which the loan offset is treated as distributed from the employer sponsored plan.

To complete an indirect rollover you must send a cashier's check or money order along with your distribution statement. The distribution statement provides detail of the distribution date and type of contributions.

\*For more information on the qualifications for a waiver of the 60 day Requirement, check the IRS.gov website for Retirement Plans FAQs relating to self-certification Waivers of the 60-Day Rollover Requirement. If you qualify for one of the self-certification waivers of the 60 day requirement, you may request a Certification for Late Rollover form by calling the Retirement Service Center at 1-800-728-3123.

## Rollover instructions

### 1. Request the rollover check.

Contact your former retirement plan administrator or IRA administrator to request that your rollover check be issued to:

Wells Fargo Bank, N.A.

For benefit of: [YOUR NAME]

Trustee for: [HBC 401(k) Retirement Savings Plan]

### 2. Complete the form on page 2 of this document.

You must certify that the check you are submitting represents funds that are eligible to be rolled over into your plan and that the rollover is in accordance with applicable IRS and plan rules.

### 3. Send the form, check and required documentation.

Mail the completed Rollover form, rollover check (unless wiring funds) and the required documentation to the following address:

#### By external mail:

Wells Fargo Institutional Retirement and Trust

DSR- D1118-026

1525 West WT Harris Blvd.

Charlotte, NC 28262-8522

#### By wire:

ABA Routing Transit Number: Wells Fargo Bank, N.A.  
121000248

Beneficiary Account Number: 0000840245  
(Must be 10 digits in length)

Beneficiary Account Name: Trust Wire Clearing  
(NOTE: Must be on line 2)

#### OBI:

Receiving Plan Code: \_\_\_\_\_

Receiving Plan Name: \_\_\_\_\_

Participant Name and last 4 digits of SSN

AU = 0046327

(Note: The AU # is critical in expediting the wire.)

#### Address, if needed for wiring funds:

Wells Fargo Bank, N.A.

550 South Fourth Street

Minneapolis, MN 55415

\*The above address is for use only when wiring funds.

Checks sent to this address **WILL** result in a processing delay.

## Avoid delays

To avoid delays in investing your rollover check in your plan account, please review and comply with these instructions. If the required information is missing, your check will be held and not invested. You will be notified if documentation is missing. If you do not provide the necessary information, your rollover check will be returned to you.

## Questions

If you have any questions regarding the form or instructions, call the Retirement Service Center at **1-800-728-3123**, Monday through Friday, 7:00 a.m. to 11:00 p.m. Eastern Time.

# Incoming Rollover Form

## Participant information

Name (last, first, middle initial)	Social Security number
Address	Birth date
Address	Hire date
Address	Phone Number

Retirement Plan Receiving Funds

## Existing account

Select the origin of your rollover:

- ☐ **Employer Sponsored plan**  
Required Documentation: Distribution Statement - for rollovers from Employer-sponsored plans showing breakdown of pre-tax and Roth amounts.

Retirement plan name (include Plan Type) (Possible Plan Types Eligible – 401(k), 403(b), 457, profit sharing, money purchase, pension, ESOP)

**NOTE:** If no breakdown is provided below, the entire amount will be treated as pre-tax money. Your signature below is your acknowledgment that you understand and agree.

Plan rollover consists of: (Check all that apply)\*

- |  |   |
|--|---|
| <input type="checkbox"/> Pre-tax contributions | <input type="checkbox"/> Roth contributions |
| \$ _____                                       | \$ _____ (total)                            |
|  | \$ _____ (basis) Roth Entry Date: _____     |

\*NOTE: Incorrect reporting of Roth contributions may have tax consequences. If you are unsure that your total distribution includes Roth contributions, please contact your provider to verify.

- ☐ **IRA (Simple, SEP, Traditional) - Required Documentation: IRA Statement**  
 Pre-tax contributions  
 \$ \_\_\_\_\_

## Investment direction

- If you are enrolled in the plan, your rollover proceeds will be invested according to your current investment elections.
- If you are not enrolled in the plan or have not made investment elections, your rollover proceeds will be invested according to your plan's default investment.

## Employee signature

By signing this form, I certify that

- (1) I have read and understand the form and agree to the terms and conditions,
- (2) the information on this form is true and correct,
- (3) this rollover is permitted and is in accordance with all applicable IRS and plan rules, including applicable timing requirements in the event this is an indirect rollover\*,
- (4) I understand that decisions regarding rollovers have important tax consequences, and I have been advised to seek the guidance of a tax professional with regard to this decision, and
- (5) I assume full and sole responsibility for the consequences of this decision.

If my rollover is from an IRA, I understand that I can only roll over amounts from an IRA that have never been taxed previously. By submitting this form, I am certifying that my rollover into the Plan represents a distribution from an IRA that originated from a qualified employer-sponsored plan or from contributions distributed from an IRA from which I took a tax deduction on my federal income tax return and that no other contributions have been made to the IRA.

\*If you qualify for one of the self-certification waivers of the 60 day requirement, you may request a Certification for Late Rollover form by calling the Retirement Service Center at 1-800-728-3123.

Signature	Date
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