

# Rollover Deposit Form



Plan ID : BAY  
Revision Date : August 19, 2022

## BayCare Clinic 401(k) Retirement Savings Plan

**Important:** Your rollover cannot be processed without receipt of a completed Rollover Deposit Form. A copy of this form must accompany the rollover proceeds or be received by Associated prior to receipt of the rollover proceeds. Incomplete forms will delay the deposit of your rollover.

### I. PARTICIPANT INFORMATION (PRINT CLEARLY)

Participant Name			Social Security Number	Employee ID
Address			Date of Birth	
City	State	Zip	Date of Hire	
E-mail Address (Required)			<input type="checkbox"/> Work <input type="checkbox"/> Home Phone Number (Required)	

Previous Plan Name/IRA Account

### II. ACCOUNT INFORMATION

<input type="checkbox"/> Pre-tax Qualified Account	Estimated Pre-tax Amount \$
<input type="checkbox"/> Roth Qualified Plan <b>Roth IRA's are not eligible for rollover</b>	Estimated Roth Amount \$
<input type="checkbox"/> Coronavirus Distribution Return Pre-Tax Qualified Account	Estimated Pre-tax Amount \$
<input type="checkbox"/> Coronavirus Distribution Return Roth Qualified Account	Estimated Roth Amount \$

### Roth Dollars Section – If your rollover consists of Roth, complete with Roth taxability information

Roth Basis Amount \$ Taxable year Roth deferrals were first made 20  
*Roth basis is the amount you contributed, excluding earnings. The Taxable year is the year you began contributing Roth.*

### III. INVESTMENT DESIGNATION

The money will be invested according to your existing investment elections. If you have not yet enrolled in the Retirement Plan, your rollover will be invested in the plan's default investment fund. The default investment fund is T. Rowe Price Retirement I (I). Upon deposit of your rollover, you can make changes to your investment elections by accessing your account online at 401k.associatedbank.com or calling the Associated Retirement Helpline at 1-800-431-4649. Distributions from your account may be restricted for a period of time following a rollover.

See the following page for Approval Signatures

#### **IV. APPROVAL SIGNATURES - *Incomplete forms may delay the deposit of your contribution.***

I certify that this distribution is not (a) one of a series of substantially equal payments payable over my life or single life expectancy or the joint life or joint life expectancies of myself and my designated beneficiary; (b) one of a series of installment payments payable over 10 years or more; (c) all or part of a required minimum distribution; (d) a distribution due to financial hardship; (e) a return of any excess deferrals, excess contributions, excess aggregate contributions or excess annual additions made to the plan; or (f) a deemed distribution due to a loan default. Finally, I certify that this rollover is being accomplished within 60 days of my receipt of the eligible rollover distribution from my prior employer's eligible qualified retirement plan, or my traditional IRA; or (g) this a return of funds received from a Coronavirus Related Distribution as outlined in the CARES Act, I certify that these funds were distributed to me within the past three years. I understand that it is my sole responsibility for determining my eligibility for this transaction under the CARES Act and for all related tax consequences.

X \_\_\_\_\_  
**Participant Signature - electronic signature is not acceptable**

\_\_\_\_\_  
**Date**

X \_\_\_\_\_  
**Authorized Employer Signature**

\_\_\_\_\_  
**Date**

The information contained herein is provided for educational purposes only. Associated Retirement Plan Services employees (Retirement Plan Relationship Managers, Retirement Plan Specialists, and Education Specialists) do not provide rollover advice or rollover recommendations to retirement investors. If a retirement investor would like advice or recommendations regarding a rollover to or from a retirement account, a Retirement Plan Services employee can refer you to an Associated financial professional for assistance.

## **Rollover Money into Your Retirement Account**

Types of money that can typically be rolled into your Retirement Plan are:

- Pre-tax IRA
- 403b Plan
- Governmental 457 Plan
- 401k Plan or Profit Sharing Plan
- Pension Plans – Defined Benefit Plan
- SIMPLE & SEP IRA's
- Roth 401k Plan if the Plan offers Roth
  - Roth IRA's are not eligible for rollover.

Steps for rolling money into your retirement plan:

1. Contact the financial institution and request a rollover distribution. Your quarterly statement will likely have a phone number. Contact [RPSTransitions@associatedbank.com](mailto:RPSTransitions@associatedbank.com) if you would like assistance with this call. The financial institution will provide you with rollover procedures:
  - Process rollover via their paperwork
  - Process rollover over the phone
  - Request Associated to initiate the rollover request. Contact [RPSTransitions@associatedbank.com](mailto:RPSTransitions@associatedbank.com) for additional paperwork.

Helpful information about the rollover:

- The rollover is into a Qualified Retirement Plan
- Rollovers can be issued via check or wire transfer
  - Rollover check is payable to: BayCare Clinic 401(k) Retirement Savings Plan FBO <Your Name>
  - Wire Instructions: Associated Bank, N.A.  
ABA #0759-00575  
For Further Credit to: 0014291449  
FBO: Trust Department  
BayCare Clinic 401(k) Retirement Savings Plan FBO <Your Name>  
100 W. Wisconsin Avenue, Neenah, WI 54956
- Trustee/Custodian: Associated Trust Company
- Account Number: Last 4-digits of your Social Security Number (not required to provide)
- Check mailed to: Associated Retirement Plan Services  
PO Box 1007  
Neenah, WI 54957

2. Complete the **Rollover Deposit Form** and return to Associated via email or mail. This form must be completed and returned prior to the deposit of the rollover proceeds.

Mailing Address:  
Associated Retirement Plan Services  
PO Box 1007  
Neenah, WI 54957

Email address – [RPSTransitions@associatedbank.com](mailto:RPSTransitions@associatedbank.com).