



# Incoming Transfer/Direct Rollover Governmental 457(b) Plan

Do not complete the Investment Option Information portion of this form if you elected to have your account professionally managed by Advised Assets Group, LLC ("AAG"). If you have not yet elected to have your account professionally managed by AAG and would like to enroll in the Managed Accounts Service, call 1-800-701-8255.

## Monterey County Deferred Comp Plan

98327-01

### Participant Information

Last Name			First Name			MI			Social Security Number												
Address - Number & Street												E-Mail Address									
City				State				Zip Code				Mo		Day		Year		<input type="checkbox"/> Female		<input type="checkbox"/> Male	
( ) Home Phone						( ) Work Phone						Date of Birth				<input type="checkbox"/> Married		<input type="checkbox"/> Unmarried			

### Payroll Information

Division Name										To be completed by Representative: _____									
Division Number										Division Number									

### Transfer/Direct Rollover Information

I am choosing a:

- Transfer/direct rollover from a governmental 457(b) plan.
- Transfer/direct rollover from a qualified 401(a), 401(k) or 403(b) plan.
- Direct rollover from an IRA.

### Previous Provider Information:

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

### Previous provider must complete:

Employer/employee before-tax contributions and earnings: \$ \_\_\_\_\_

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

**Amount of Transfer/Direct Rollover:** \$ \_\_\_\_\_ (Enter approximate amount if exact amount is not known.)



**Investment Option Information** - Please refer to your marketing 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.

**Please Note: For automatic dollar cost averaging call KeyTalk® or access our Web site.**

<u>INVESTMENT OPTION NAME</u>	<u>INVESTMENT OPTION CODE</u>	_____ %	<u>INVESTMENT OPTION NAME</u>	<u>INVESTMENT OPTION CODE</u>	_____ %
Aggressive Profile .....	<b>PS5000</b>	_____ %	Thornburg Core Growth Fund R3 .....	<b>THCRX</b>	_____ %
Moderately Aggressive Profile .....	<b>PS4000</b>	_____ %	American Century Equity Income .....	<b>20-EQI</b>	_____ %
Moderate Profile .....	<b>PS3000</b>	_____ %	American Funds Growth Fund R3 .....	<b>RGACX</b>	_____ %
Moderately Conservative Profile .....	<b>PS2000</b>	_____ %	BGI Equity Index - Collective F .....	<b>W30500</b>	_____ %
Conservative Profile .....	<b>PS1000</b>	_____ %	Janus Twenty Fund .....	<b>JA-TF</b>	_____ %
American Funds EuroPacific R3 .....	<b>RERCX</b>	_____ %	Legg Mason Value, FI .....	<b>LMVFX</b>	_____ %
BGI EAFE Equity Index - Collective F.....	<b>18EAFW</b>	_____ %	Columbia Marsico 21st Century Fund Z .....	<b>NMYAX</b>	_____ %
Templeton Global Smaller Companies A .....	<b>TEMGX</b>	_____ %	Davis New York Venture Fund - R.....	<b>NYVRX</b>	_____ %
BGI Russell 2000 Index - Collective F.....	<b>25RUS</b>	_____ %	Oppenheimer Capital Appreciation Fund .....	<b>OP-CA</b>	_____ %
MainStay Small Cap Opportunity A .....	<b>MOPAX</b>	_____ %	Van Kampen Comstock Fund - R .....	<b>ACSRX</b>	_____ %
Oppenheimer Small- & Mid- Cap Value A.....	<b>OP-QSC</b>	_____ %	Janus Balanced Fund .....	<b>JA-BAL</b>	_____ %
STI Classic Small Cap Growth Stock I.....	<b>SSCTX</b>	_____ %	Loomis Sayles Bond Fund - Retail .....	<b>LSBRX</b>	_____ %
Ariel Fund .....	<b>CA-GF</b>	_____ %	PIMCO Total Return Fund - Admin .....	<b>PI-TRT</b>	_____ %
Columbia Strategic Investor Z .....	<b>CSVFX</b>	_____ %	Monterey County Stable Value Fund .....	<b>MNTCSV</b>	_____ %
Fidelity Advisor Leveraged Co Stock - A .....	<b>FLSAX</b>	_____ %	T. Rowe Price Real Estate Fund .....	<b>TRREX</b>	_____ %
Artisan Mid Cap Value Fund .....	<b>ARTQX</b>	_____ %			
BGI Mid Cap Index - Collective F.....	<b>W25MID</b>	_____ %			
			<b>MUST INDICATE WHOLE PERCENTAGES</b>		<b>= 100%</b>

**Participant Acknowledgements**

**Advised Assets Group, LLC** - If I have elected to have my account professionally managed by Advised Assets 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 transfer/rollover treatment and that it is solely my responsibility to ensure such eligibility. By signing below, I affirm that the funds I am transferring/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.

If the investment option information is missing or incomplete, I authorize Service Provider to allocate the transfer/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 account established). If no default investment option is selected, the funds will be returned to the payor as required by law. If my assets are received more than 180 calendar days after Service Provider receives this Incoming Transfer/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 KeyTalk® or access the Web site in order to make changes or transfer monies from the default investment option. The assets will be processed on the day this form is received. I understand that this completed form must be received by Service Provider at the address below.

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 transfers, direct rollovers and/or distributions. I understand that I must contact the Plan Administrator/Trustee, if applicable, to determine when and/or under what circumstances I am eligible to receive distributions or make transfers/direct rollovers.

**Investment Options** - I understand that by signing and submitting this form for processing, I am requesting to have investment options established under the Plan as specified in the Investment Option Information section. I understand and agree that this account is subject to the terms of the Plan Document. 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 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.

\_\_\_\_\_  
Last Name

\_\_\_\_\_  
First Name

\_\_\_\_\_  
MI

\_\_\_\_\_  
Social Security Number

**Payment Instructions**

**Make check payable to:**  
GREAT-WEST

**Include the following information on the check:**  
Participant Name, Social Security Number,  
Plan Number, Plan Name

**Wire instructions:**

**Bank:** US Bank

**Account of:** Wells Fargo Bank, N.A.

**Account no:** 103655774398

**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):**

GREAT-WEST  
Dept. 0889  
Denver, CO 80256-0889

**Overnight mail address for the check and form  
(if mailed together):**

US Bank  
3550 Rockmont Dr  
Mail Stop DN-CO-OCLB Dept #0889  
Denver, CO 80202  
**Contact:** Great-West Retirement Services®  
**Phone #:** 1-800-701-8255

**If sending the "form" only,** please fax to 1-303-737-4355 or follow the mailing instructions above. Please remember that this form needs to arrive prior to or at the same time the funds arrive to invest according to the allocations on this form.

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

\_\_\_\_\_  
**Participant Signature**

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

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

\_\_\_\_\_  
**Authorized Plan Administrator/Trustee Signature  
for Current Employer's Plan**

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

\_\_\_\_\_  
**Registered Representative Signature and ID**

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

**Participant** forward to Plan Administrator/Trustee  
**Plan Administrator** forward or fax as shown above  
in the Payment Instructions section