



Instructions

- Complete this form in its entirety.
- Gather the appropriate documentation as requested in the 'Required Information section of this form.
- Mail or fax this completed form and documentaion as instructed below.
- Contact your previous recordkeeper or plan sponsor to initiate a disbursement from your previous account to Prudential.

Form and Check Direction

You should use this form you want to roll over eligible money to your current account with Prudential. You should contact your current plan administrator to confirm acceptance. **Please complete using blue or black ink.**

Keep a copy of this form for your records and bring the original to your current benefits/human resources office. This form must be signed by the current plan administrator or an authorized plan representative. The benefits/human resources office will be responsible for submitting the form to Prudential. All checks, whether sent by you or your prior employer's plan, should be payable to 'Prudential for the benefit of (participant's name)'. **Any check should be mailed to:**

Prudential
30 Scranton Office Park
Scranton, PA 18507-1789

For Assistance
Call 1-877-778-2100
Say "consolidate"

Note: Receipt of the completed form is required within 30 days of the receipt of the check. Failure to send us the completed form may cause the check to be returned.

To ensure proper and timely processing, please complete all fields below.

About You

Prudential Plan number	Sub Plan number	
<input type="text" value="0 0 8 1 5 3"/>	<input type="text" value="0 0 0 0 0 1"/>	City of Knoxville
Social Security number		Daytime telephone number
<input type="text"/>	<input type="text"/>	<input type="text"/>
First name	MI	Last name
<input type="text"/>	<input type="text"/>	<input type="text"/>
Address		
<input type="text"/>		
City	State	ZIP code
<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of birth	Gender	Original date employed
<input type="text"/> - <input type="text"/> - <input type="text"/>	<input type="checkbox"/> M <input type="checkbox"/> F	<input type="text"/> - <input type="text"/> - <input type="text"/>
<small>month day year</small>		<small>month day year</small>

Prior Retirement Plan Provider and Plan Information

To ensure proper and timely processing, please complete all fields below. You must include a copy of a statement from your prior plan provider.

Prior retirement plan provider name

Prior plan account number _____

Prior retirement plan provider address

City _____ State _____ ZIP code _____-_____

Prior retirement plan provider daytime telephone number
_____-_____-_____
area code

Previous retirement plan name _____

What type of plan are you rolling FROM? 401(k) 401(a) 403(a)
 403(b) IRA Governmental 457 (b)
 Simplified Employee Pension (SEP) Plan

(After-tax contributions are not eligible for rollover into this plan.)

Total Account Value OR \$_____,_____.00

Rollover Allocation Information

If you are enrolled in the Plan and your Plan requires all money sources to be invested in the same manner, your rollover dollars will be invested according to your investment elections.

If you are enrolled in the Plan and your Plan allows you to pick different investments for each source of money you can call Prudential toll-free at the number on the first page or go online at www.prudential.com/online/retirement to make your rollover investment elections.

If you are currently not enrolled in the Plan and you would like to direct how your Rollover contribution will be invested, then please follow your plans normal enrollment process. Depending on your plan you may be able to enroll on-line at www.prudential.com/online/retirement, by calling Prudential at the number on the first page, or by contacting your Human Resource Department to obtain an enrollment form.

If you would like to verify, change, or make an investment election, you can consult your account online or contact Prudential Retirement directly.

If you have not made rollover investment elections by the time your rollover is processed, your rollover contribution will be invested in the default investment option selected by your Plan. If you wish to establish your investment elections, change your investment elections, or to transfer out of your Plan's default fund you can do so by calling Prudential toll-free at the number on the first page or go online at www.prudential.com/online/retirement.

Required Information

In order for your rollover to be approved, please be sure to submit proof to ensure the assets are acceptable and the plan satisfies the Code Sections indicated.

You will be required to provide the following documentation from the distributing retirement plan or IRA.

- A copy of a statement from the distributing plan or carrier that includes the plan name and identifies the type of plan (i.e., 401(a), 401(k) etc.)
- A letter from the distributing plan or plan representative stating the plan is qualified under the applicable section of the Internal Revenue Code, or a copy of the plan's most recent determination letter or opinion letter.

Minimum Distribution Information

I understand that if I am age 70 ½ or older, the distributing provider is required to process the Required Minimum Distribution before these funds are rolled over to Prudential. I further understand that I need to direct the prior provider to distribute my Required Minimum Distribution prior to processing this rollover.

Your Authorization

I, the Plan participant, certify that all information on this form is accurate. I also certify that this transaction was distributed from a plan intended to satisfy the requirements of I.R.C. § 401(a), 403(a), 403(b), 457 (governmental only), or an IRA established pursuant to IRC § 408 and, which to the best of my knowledge, does satisfy them.

I additionally certify that this distribution can be rolled over into my account with Prudential because it:

- 1) is not one of a series of substantially equal periodic payments (not less frequently than annually) distributed over my life or life expectancy (or the joint lives [or joint expectancies] of me and my beneficiary) or over a period equal to or greater than 10 years,
- 2) was received by me not more than 60 days before the date of the rollover to the Plan,
- 3) would be includible in gross income if not rolled over in its entirety,
- 4) does not represent a Required Minimum Distribution, a hardship distribution, or a corrective distribution (for example: corrections of elective deferrals or elective contributions, etc.), and
- 5) was distributed to me as an employee (not as a beneficiary) or as a surviving spouse.

Please note that if you live in one of these states (Alabama, Alaska, Arizona, Arkansas, Colorado, Connecticut, Florida, Hawaii, Iowa, Kentucky, Louisiana, Maine, Maryland, Mississippi, Montana, Nebraska, New Hampshire, New Jersey, New Mexico, New York, North Carolina, Ohio, Oregon, Rhode Island, South Carolina, Texas, Utah, Vermont, Virginia, Washington, West Virginia or Wisconsin), the following question must be answered. Failure to answer this question will result in processing delays of your transaction.

Was this transaction directly solicited by a selling agent? NO YES (If "Yes" is checked, please ensure that the Agent Authorization section below is completed by the selling agent. Failure to do so will result in processing delays of your payment. Please note direct solicitation took place if the selling agent "initiated" contact with you via phone call, in person, or a direct mailing. A group educational or group enrollment meeting would not constitute direct solicitation unless an agent initiated individual contact with you or you initiated individual contact with an agent to discuss investment options offered by more than one provider.)

X _____
Participant's/Account Owner's signature

Date _____

**Agent
Authorization**

To be completed by the selling agent *ONLY* if the participant resides in one of the states listed in the 'Your Authorization' section of this form.

- Was this transfer obtained by means of direct solicitation? NO YES
- Are there two or more insurers that plan participants may choose from? NO YES
- Is the policy funded solely by employee contributions? NO YES
- Is one annuity product being replaced by another annuity product? NO YES

If you responded "NO" to any one of the four preceding questions, no further action is required. Please sign and date below. If you responded "YES" to all four questions, YOU MUST READ AND COMPLY WITH THE STEPS BELOW.

By authorizing below, the selling agent is certifying to the following producer responsibilities:

1. I have required the applicant to complete and sign the form which includes a statement indicating that the applicant has existing policies that are being replaced.
2. I have read the Replacement Notice aloud to the applicant (applicant can waive this requirement listed as item 3 on the Replacement Notice.)
3. The form and the Replacement Notice have been completed listing all existing policies proposed to be replaced, as well as policy numbers (if available) , whether each policy will be replaced or whether a policy will be used as a source of financing for the new policy.
4. I represent that I provided the applicant with sales materials approved by Prudential only and have not provided any individualized or independently prepared sales materials not previously approved by Prudential.
5. Copies of the signed form, the completed Replacement Notice and all sales materials provided to the applicant accompany this application.

Please note: Failure to complete ALL required information and provide copies of required information will delay the processing of the applicant's funds. Please authorize and date below.

X _____ Date ____|____|____
Selling Agent's signature

**Your Plan
Authorization**

I, the Plan Administrator, conclude this contribution is a valid rollover contribution the source of which is a plan intended to satisfy the requirements of I.R.C. § 401(a), 403(a), 403(b), 457 (governmental only), or an IRA established pursuant to IRC § 408 and, which to the best of my knowledge, does satisfy them.

I have received notification from the administrator of the distributing plan or funding agency stating that:

- 1) the plan or IRA satisfies Code Sections above; OR
- 2) the plan or IRA is intended to satisfy Code Sections above and that the administrator is not aware of any provision or operation that would result in its disqualification.

X _____ Date ____|____|____
Plan Administrator's or Authorized Plan Representative's signature

This completed form should be mailed to the following address or faxed to 1-866-439-8602.

Prudential
30 Scranton Office Park
Scranton PA 18507-1789