

SUPPLEMENTAL PLAN INCOMING ROLLOVER FORM

If you are rolling over funds into the Supplemental Plan, this form must accompany (for indirect rollovers) or precede (for direct rollovers) your incoming rollover contribution.

SECTION A: PERSONAL INFORMATION

Participant Name: _____

Plan ID: _____

Address: _____

Phone Number: _____ Email Address: _____

SECTION B: PREVIOUS CUSTODIAN, PROVIDER OR PLAN INFORMATION

Name: _____

Address: _____

Contact Name: _____ Phone Number: _____

Account Number: _____

Transfer Amount (if entire or partial balance, use percentage): \$ _____

Plan Type: IRA 401(k) 403(b) or 457 Profit Sharing

Money Purchase Pension Plan Other

Please indicate the amount of these funds attributable to after-tax contributions: \$ _____

SECTION C: TYPE OF ROLLOVER (CHECK ONE)

- Direct Rollover: (complete their forms to initiate rollover) – The Supplemental Plan will accept direct eligible rollover distributions from an eligible retirement plan. Payment will come directly from the previous plan or IRA. By checking this box, you confirm that you will complete the other custodian’s or plans’ forms in order to initiate this direct rollover. You must provide a recent account statement to show that the funds are in an eligible retirement plan. The Supplemental Plan will not accept rollovers from a Roth IRA, Roth 401(k), or Roth 403(b) plan.

- Direct Rollover: (acceptance letter sent by us to initiate rollover) – For some direct rollovers, the plan or IRA custodian may require us to send them a letter accepting the direct rollover. By checking this box, you confirm that you have checked with the custodian or plan in Section B above, they require a letter accepting the rollover be sent to them, and you authorize that this letter be sent. You must provide a recent account statement to show that the funds are in an eligible retirement plan. The Supplemental Plan will not accept rollovers from a Roth IRA, Roth 401(k), or Roth 403(b) plan.

- Indirect Rollover: The Supplemental Plan will accept an eligible indirect rollover from an eligible retirement plan or IRA. The Supplemental Plan will not accept rollovers from a Roth IRA, Roth 401(k), or Roth 403(b) plan. This amount must have been received by you from the previous plan or IRA no longer than 60 days prior to deposit in the Supplemental Plan. Please enclose check. You must provide an account statement from your previous custodian, provider, or plan that shows the date and amount of the distribution that you received. In no event will the Supplemental Plan accept more than the distribution received.

SECTION D: AUTHORIZATION SIGNATURE

I understand that only certain types of distributions are eligible for rollover treatment and that it is solely my responsibility to ensure such eligibility. By signing below, I affirm that the funds I am rolling over are, in fact, eligible for such treatment. I understand that the Plan will not be held responsible for any tax penalties that may occur for an incomplete submission or for a transfer of funds ineligible for rollover treatment.

I understand that these funds will not receive an allocation of fund income until the month following the month after the Plan office determines that the incoming rollover is an eligible rollover contribution. If the Plan office is unable to determine that the incoming rollover contribution is eligible within 30 days of receipt, the payment will be returned. Once the incoming rollover contribution is deemed to be eligible, the funds will be held in a separate sub account within your Individual Account in the Supplemental Plan.

I understand that funds in my Individual Account, including those attributable to an incoming rollover are subject to all Supplemental Plan rules including not being eligible for distribution until the attainment of age 60, death, or disability (as defined in the Plan). If you are near or have attained the Plan’s Required Beginning Date (April 1 of the year following the year you attain age 70 ½), please contact a pension administrator before signing this form.

I authorize any and all personnel associated with the previous custodian or plan (shown in Section B above) to disclose any information to the Directors Guild of America – Producer Pension Plans to the extent necessary for them to verify that the incoming rollover is an eligible rollover contribution.

Participant Signature: X _____

Date: _____

Please make check payable to:

Trustees of the DGA Supplemental Plan FBO [Your Name]
5055 Wilshire Blvd, Suite 600
Los Angeles, CA 90036

SECTION E: FREQUENTLY ASKED QUESTIONS

What types of retirement plan payouts are eligible rollover contributions?

An eligible rollover contribution is typically a lump sum distribution from another retirement plan or IRA. A periodic payment such as an annuity payment or a monthly pension is NOT an eligible rollover contribution. See Section B above for common eligible retirement plan types.

What is the difference between a direct and indirect rollover?

A direct rollover is a transaction where the check comes directly from the prior plan sponsor or custodian to the Supplemental Plan. An indirect rollover is a transaction where the prior plan sponsor or custodian has issued a check to you and in turn, you issue a check to the Supplemental Plan.

Do I have to contact my current custodian or plan sponsor to initiate this rollover?

Please check with your custodian to inquire on what documents and forms they require. Each custodian or plan sponsor will have different procedures. Most will require you to complete their forms. If so, we recommend that you complete their forms and request the payment be sent to us as a direct rollover. This form should precede our receipt of the direct rollover so your account is credited as expeditiously as possible. In addition, you should have checked the 1st of 3 boxes in Section C above.

Do I need to liquidate assets in order to fund the rollover?

Rollovers from a qualified plan to the Supplemental Plan can only be in the form of cash. If you need to liquidate assets in order to fund the rollover, please be sure to provide the custodian with this information. Please contact your financial advisor or custodian for additional information.

My current IRA custodian requires a letter from the Supplemental Plan to initiate this rollover. How do I handle this?

Some plan sponsors or custodians may require a letter of acceptance be sent to them from the Supplemental Plan in order to initiate the direct rollover. In this case, please complete the form and check the 2nd of 3 boxes in Section C above.

Who can I call for assistance?

You can contact a pension administrator at (877) 866-2200 ext. 404.