



# ROLLOVER CERTIFICATION FORM for Individual Participant

ABA Retirement Funds Program ("Program")  
 P.O. Box 55072 • Boston, MA 02205-5072

Customer Contact Center: 800.348.2272  
 Website: www.abaretirement.com

Complete this form to submit rollover contributions. A separate form must be completed for each participant's rollover. The participant completes section 1 and signs section 3. The Authorized Plan Representative completes section 2 and mails the original, signed form (along with a check from the rollover institution) to the address shown above. The rollover contribution will be invested according to the investment election established by the participant for employer contributions.

Please note: Pursuant to the American Bar Association Members Retirement Plan Basic Plan Document No. 03, a rollover contribution may only be made by an active employee. Rollover contributions are not permitted if the participant no longer works for your firm.

Checks should be made payable to ABA Retirement Funds Program.

## 1. ROLLOVER INFORMATION

Participant's Name: \_\_\_\_\_ Social Security Number: \_\_\_\_\_-\_\_\_\_-\_\_\_\_\_

Daytime Phone Number (\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_ Email: \_\_\_\_\_

Rollover Amount: \$ \_\_\_\_\_

Post-Tax Rollover Contribution, if any: \$ \_\_\_\_\_

Total Roth Rollover Amount, if any (must equal the amounts on the next two lines): \$ \_\_\_\_\_

Roth 401(k) Rollover Contribution, if any: \$ \_\_\_\_\_

Roth 401(k) Earnings, if any: \$ \_\_\_\_\_

First Date Roth 401(k) Contributions were made: \_\_\_\_\_

By signing below, the Authorized Plan Representative certifies that he/she is satisfied that the assets originated from one of the following sources:

- 401(a) qualified plan [this includes 401(k) plans]
- 403(b) plan
- Governmental 457 plan
- Individual Retirement Account\*
- SIMPLE IRA
- SEP or SARSEP IRA Account

**Note:** In certain instances, rollovers are considered to be "related" for purposes of top heavy testing. This generally occurs where rollover funds derive from a retirement plan sponsored by an employer which is related to the employer sponsoring this plan.

Check here if this amount should be denoted as a related rollover on our recordkeeping system.

**If you need a Letter of Acceptance from Mercer Trust Company, the plan's trustee, call 800.348.2272 or send an email to [contactus@abaretirement.com](mailto:contactus@abaretirement.com) to request it, and include the financial institution's name and address.**

## 2. EMPLOYER INFORMATION

Program Plan Number: \_\_\_\_\_ Employer Tax ID Number: \_\_\_\_\_-\_\_\_\_-\_\_\_\_\_ IRS Plan Number: \_\_\_\_\_

Employer's Name: \_\_\_\_\_

This certifies that the enclosed rollover contribution to the plan referenced above in the ABA Retirement Funds Program from the participant named above constitutes a qualified rollover contribution. The funds were held in a conduit IRA, contributory IRA\* or eligible employer plan.

\* Assets held in a non-deductible or Roth IRA ("after-tax") may not be rolled over.

## 3. SIGNATURES

\_\_\_\_\_  
 SIGNATURE OF PARTICIPANT

\_\_\_\_\_  
 DATE

\_\_\_\_\_  
 PRINT PARTICIPANT NAME

\_\_\_\_\_  
 AUTHORIZED PLAN REPRESENTATIVE

\_\_\_\_\_  
 DATE