

Tax-Sheltered Annuity Rollover Contribution Plan Administrator Certification



Great American Life Insurance Company®
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403(b) TAX-SHELTERED ANNUITY – ROLLOVER CONTRIBUTION PLAN ADMINISTRATOR CERTIFICATION

(separate form required for each transfer)

Please be aware a separate form is required for each transfer.

1. Participant and Rollover Information

| | |
|--------------------------|-------------------------|
| Name of Plan Participant | SSN of Plan Participant |
|--------------------------|-------------------------|

Indicate the type of account funds are coming from, and the amount of the one-time payment or the annuitized amount.

Proposed Rollover Contribution from: Another 403(b) plan 401 plan Governmental 457(b) plan IRA
Approximate Amount: Lump Sum of \$ _____ Annuitization payment of \$ _____ for _____

2. Employer 403(b) Plan Receiving Rollover Contribution

| | | |
|-----------------------------------|--------------------------|---|
| Name of Employer Plan | | |
| Name of Plan Administrator or TPA | Plan Admin/TPA Telephone | |
| | (|) |

Enter the name of your client's current employer.

Enter the name of the Third Party Administrator, and their phone number.

3. Plan Administrator or TPA Certification

Plan Rollover Contributions – Active Employee Requirement

IRS Model 403(b) Plan Document Standard:

The rollover contribution provisions of the IRS Model 403(b) Plan allow rollover contributions by "an Employee who is a Participant". (Model Plan Section 6.1(a)) The term "Employee" is defined as "Each individual ... who *is* a common law employee of the Employer *performing* services for a public school as an employee of the Employer. (Model Plan Section 1.11, emphasis added) Accordingly, under the IRS Model Plan provisions, only current, active employees are allowed to make rollover contributions.

The Plan Administrator/TPA of the Employer Plan intended to receive the rollover contribution hereby certifies that, under the terms of this Employer Plan, this Plan Participant is permitted to make a rollover contribution into the Employer Plan because: **(please check one if you are approving this rollover contribution)**

- This Plan Participant identified below is a current, active employee of the Employer.
- This Employer Plan has adopted language that is different than the IRS Model Plan, and allows rollover contributions into the Plan by this former employee of the Employer.

One of these boxes must be checked, or the form will be considered Not In Good Order.

Plan Rollover Contributions – Separate Account Requirement

IRS Model 403(b) Plan Document Standard:

The rollover contribution provisions of the IRS Model 403(b) Plan require that "The Vendor shall establish and maintain for the Participant a separate account for any eligible rollover distribution paid to the Plan." (Model Plan Section 6.1(c)) The annuity products issued by GAFRI companies do not allow for maintaining separate accounts under a single individual annuity contract or a single certificate under a group annuity contract. Accordingly, under the IRS Model Plan, a rollover contribution must be made into a separate individual annuity contract or into a separate certificate under a group annuity contract.

The Plan Administrator/TPA of the Employer Plan intended to receive the rollover contribution hereby certifies that, under the terms of this Employer Plan: **(please check one if you are approving this rollover contribution)**

- This rollover contribution must be held in a separate account.
- This Employer Plan has adopted language that is different than the IRS Model Plan, and allows rollover contributions into the Plan for this Participant to be commingled with the Participant's account balance derived from salary reduction contributions made to the Plan.

One of these boxes must be checked, or the form will be considered Not In Good Order.

Signature of Plan Administrator/TPA

Date