

# ARP Transition Fund Transfer Request

## STATE OF CONNECTICUT 457(b) PLAN

### Instructions

You should use this form to transfer an eligible amount from State of Connecticut 457 Plan with Prudential to the Connecticut's State Employees Retirement System (SERS) Tier II/Tier IIA Plan or SERS Hybrid Plan.

The form must be received by Prudential no later than December 14, 2018, 4:00 pm EST. Any form received after that date and time will not be processed.

You are required to utilize the following hierarchy to purchase past service credit:

1. State of Connecticut Alternate Retirement Program – Pre Tax only (this includes TIAA ARP accounts)
2. State of Connecticut 403(b) or 457 – Pre Tax only (this includes Connecticut 403(b) accounts with TIAA, Voya, Fidelity, and other legacy providers)

Call 1-833-390-1522 to make request over the phone.

OR

Please print using black or blue ink. Keep a copy of this form for your records. Please send your completed request by fax (1-866-439-8602), email\* (CTARPFund@prudential.com) or mail to:

**Prudential**  
30 Scranton Office Park  
Scranton, PA 18507-1789

**Questions?**  
Call 1-833-390-1522  
for assistance

\*Secure email recommended. This email address may only be used to submit the ARP Transition Fund Transfer Request Form. Any and all other requests sent to CTARPFund@prudential.com shall be treated as not Good Order.

### About You

Prudential Plan number      Social Security number  
0 1 0 0 8 1      \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_

First name      MI      Last name  
 \_\_\_\_\_

Daytime telephone number  
 \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_  
*area code*

Are you still employed by the employer sponsoring the plan?     Yes     No

### Investment Direction

I am electing to purchase service in Connecticut's State Employees Retirement System (SERS) Tier II/Tier IIA Plan or SERS Hybrid Plan, and I am authorizing Prudential to transfer the amounts shown below into the ARP Transition Fund while the State of Connecticut processes my transfer request. You must first use all assets in your ARP account. If the ARP assets are not sufficient for your estimated purchase, you may then use assets in your 457 and/or 403(b) account for purchasing in the Connecticut's State Employees Retirement System (SERS) Tier II/ Tier IIA Plan or SERS Hybrid Plan.

I elect to transfer funds from my 457 account to

- TOTAL ACCOUNT VALUE    OR
- PARTIAL AMOUNT \$ \_\_\_\_\_, \_\_\_\_\_.

**Investment Direction (continued)**

When completing this section, you must indicate the whole percentages to be exchanged from the investment options listed below and the ARP Transition Fund. If the exchange requires more than one "from" to the ARP Transition Fund, you must complete as many lines as necessary to describe your transaction. Please use full investment option name when detailing your exchange.

Percent	Or Dollar Amount	Investment Options	
_____	_____	from XT Connecticut Stable Value Fund	to 7W ARP Transition Fund
_____	_____	from C3 MetWest Total Return Bond Fund	to 7W ARP Transition Fund
_____	_____	from 3T Vanguard® Total Bond Market Index Fund - Institutional	to 7W ARP Transition Fund
_____	_____	from D1 Vanguard® Inflation-Protected Securities Fund - Inst	to 7W ARP Transition Fund
_____	_____	from RG Calvert Bond Portfolio - Class I	to 7W ARP Transition Fund
_____	_____	from WR Vanguard® Institutional Index Fund - Institutional Plus	to 7W ARP Transition Fund
_____	_____	from KV American Funds American Mutual Fund® - Class R-6	to 7W ARP Transition Fund
_____	_____	from CB TIAA-CREF Social Choice Equity Fund - Institutional Class	to 7W ARP Transition Fund
_____	_____	from 2L TIAA-CREF Large-Cap Growth Index Fund	to 7W ARP Transition Fund
_____	_____	from SB TIAA-CREF Equity Index Fund - Institutional Class	to 7W ARP Transition Fund
_____	_____	from 4K Fidelity VIP Contrafund Portfolio - Initial Class	to 7W ARP Transition Fund
_____	_____	from SR Wells Fargo Premier Large Company Growth Fd - Inst	to 7W ARP Transition Fund
_____	_____	from 4L Fidelity VIP Mid Cap Portfolio - Initial Class	to 7W ARP Transition Fund
_____	_____	from RR Vanguard® REIT Index Fund - Institutional Shares	to 7W ARP Transition Fund
_____	_____	from RP Vanguard® Mid-Cap Index Fund - Institutional Shares	to 7W ARP Transition Fund
_____	_____	from 1G JPMorgan Mid Cap Value Fund - Class I Shares	to 7W ARP Transition Fund
_____	_____	from H7 Vanguard® Explorer™ Fund - Admiral™ Shares	to 7W ARP Transition Fund
_____	_____	from KB TIAA-CREF Small-Cap Blend Index Fund - Institutional Class	to 7W ARP Transition Fund
_____	_____	from RK DFA Real Estate Securities Portfolio - Institutional Class	to 7W ARP Transition Fund
_____	_____	from EE TIAA-CREF International Equity Index Fund - Institutional Cl	to 7W ARP Transition Fund
_____	_____	from K8 American Funds EuroPacific Growth Fund® - Class R-6	to 7W ARP Transition Fund

**Your Authorization**

I certify that all information on this form is accurate.

If I elect a transfer from the XT Connecticut Stable Value Fund to the ARP Transition Fund, I acknowledge that this transfer may occur over a period of up to 120 days after 12/14/2018 and will be effectuated by the managers of the Connecticut Stable Value Fund in a manner that will best protect the interests of all fund investors. I understand that if I am enrolled in GoalMaker/Auto Rebalance and any portion of my account is invested in the Connecticut Stable Value Fund, GoalMaker/Auto Rebalance may be removed from my account. I understand that if GoalMaker is removed/Auto Rebalance, I may reenroll in GoalMaker/Auto Rebalance after the redemption has been processed.

If it is determined I am not eligible to make an election to transfer into the SERS Tier II/Tier IIA Plan or SERS Hybrid Plan or later elect to Opt-Out of such purchase, by signing below, I acknowledge that Prudential will reverse this request and transfer the assets I elected be deposited into the ARP Transition Fund from this fund back into my current allocation election under the respective plan.

If there are investment options available through your retirement account that are subject to the fund's market timing policies, you may be subject to restrictions or incur fees if you engage in excessive trading activity in those investments. You may wish to review the fund prospectus or your retirement account's market timing policy prior to submitting this transaction request. If a fee applies to the transaction, you will be able to view the details after the transaction is processed by logging on to the retirement internet site at [www.prudential.com/online/retirement](http://www.prudential.com/online/retirement).

  X   \_\_\_\_\_ Date \_\_\_\_\_

Participant's signature

Social Security number \_\_\_\_\_