



Deconversion Transfer Request (DTR) Form

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This Deconversion Transfer Request (DTR) Form constitutes direction by the Plan Sponsor or other Plan administrative fiduciary ("Plan Fiduciary") to Empower under the terms of the Recordkeeping Services Agreement and must be reviewed and accepted by Empower in order to process the deconversion and transfer of plan assets from the Empower recordkeeping platform to a successor recordkeeper. This DTR Form supersedes all previous communications, requests and direction concerning the plan's deconversion.

Please complete the information, execute and submit to the Empower Deconversion Team for processing. Empower requires that the Plan Sponsor provides a completed DTR Form in good order no later than 30 days prior to the requested Plan Deconversion Date.

Modification of Plan Sponsor Direction Must be Made via a DTR Change Form:

Empower **will not** accept any proposed modifications to the instructions provided by the Plan Sponsor on this DTR Form by a successor plan recordkeeper, financial advisor or other third party that is not the Plan Fiduciary. The Plan Fiduciary may request a modification of the instructions provided on this DTR Form **only** by completing a specific DTR Change Form made available by Empower that is subject to review and acceptance in writing by Empower.

Empower Plan Number: _____

Empower Plan Name: _____

Plan Trustee: _____

All Sections below are required to be completed; failure to do so may result in deconversion delay. Please also ensure applicable deadlines and restrictions included below are communicated to participants.

Transfer Election

Plan Sponsor is requesting a deconversion and transfer of Plan assets due to: *(select one)*

Total Transfer

Partial Transfer *(select one)*:

☐ Division/Location: _____ OR ☐ List is attached



If a list is attached, you must specifically identify and provide the list of affected participants by name and SSN. Note: only participants with a balance will transfer. Eligible employees and those with a zero balance will not transfer. As a result, you must reestablish the accounts with the successor recordkeeper once the Partial Transfer is complete.

If a Division/Location is selected, your direction to transfer a separate division/location will include all participants (including eligible employees and participants with a zero balance) reflected in that division or location.

Cessation of Empower Services: For a Total Transfers, the Plan Sponsor acknowledges and agrees that Empower will not review or process plan transactions 5 business days prior to and including the Plan Deconversion Date. As of the Plan Deconversion Date, Empower and its affiliates will stop providing all remaining recordkeeping and administration services to the Plan.

Under the terms of the services agreement, the Plan Sponsor has directed Empower to distribute uncashed checks for lost and unresponsive participants to the unclaimed property fund of the state of the participant's last known address. The Plan Sponsor agrees that as compensation for the services provided to the plan, following deconversion Empower will retain any interest credited by its unaffiliated bank on uncashed distribution checks pending completion of the remittance process to the appropriate state unclaimed property fund, which is subject to state regulations that impact distribution timing.

Note on Blackout Period: DOL regulations generally require the Plan Administrator to give participants and beneficiaries 30 days advance notice of blackout periods. The Plan Administrator is required to send the notice, and the Plan Deconversion Date must be coordinated to ensure the Plan Administrator can meet the notice requirement. The Plan Administrator must provide the Blackout Notice and any other notifications to participants and beneficiaries required under applicable law (e.g., change in Plan investment notification, mapping of investments, etc.).

External Stable Value Fund Election

☐ N/A – The Plan does not include an External Stable Value Fund.

The Plan Sponsor acknowledges it has discussed their Stable Value Fund contract with the applicable provider and directs Empower to process the Plan deconversion transaction for this asset group based on the election below. Note: Other box selections are subject to review and approval by Empower. Plan Sponsor agrees to submit formal notice to the Fund contract provider. Contact your Plan Deconversion Specialist for more information.

EXTERNAL STABLE VALUE FUNDS: (select one)

Liquidate (Please provide evidence of approval from applicable Stable Value Fund provider)
100% Re-Register
Other (please specify):



Plan Sponsor Acknowledgement of Other Investment Fund Restrictions

The Plan Sponsor acknowledges and agrees that certain investment options may have liquidation or transfer restrictions. The Plan Sponsor is solely responsible for reviewing the applicable contracts and/or disclosure documents with its advisors before directing Empower with respect to any liquidation or re-registration and acknowledges and agrees that Empower shall not be liable for any claim of loss or other damages if a liquidation or re-registration request is rejected by the investment provider.

Successor Recordkeeper Instructions

New Recordkeeper (Financial Institution Name):

New Plan Asset Custodian (Financial Institution Name):

Contact name at new recordkeeper:

Contact phone number:

Contact email address:

Without further review or approval, the Plan Sponsor hereby authorizes and directs Empower to:

- (i) determine, in coordination with the Plan's successor recordkeeper and the Plan's investment options, the date the transfer of Plan assets will be initiated and the Plan will be scheduled to deconvert on Empower's recordkeeping platform (the "Plan Deconversion Date");
- (ii) determine the SDB Blackout Date and the date of any liquidation or transfer in-kind of assets held in a self-directed brokerage account, prior to the Plan Deconversion Date as applicable and as elected by the Plan Sponsor in the *Self Directed Brokerage Account* section below;
- (iii) determine the Blackout Start Date, after which point Empower will cease to accept new contributions and participants may not initiate distributions, loans or exchange investment options within their account;
- (iv) provide certain Plan and participant records requested by the Plan Sponsor or successor provider directly to the successor provider; and
- (v) initiate a liquidation/transfer request to the Plan's investment options, but not until Empower is in receipt of a Letter of Acceptance from the new plan asset custodian.

Transfer of Assets Instructions

The Plan Sponsor directs Empower to transfer Plan assets in the manner elected in this section. Core Plan Assets include all assets that are not held in a Self-Directed Brokerage Account (SDBA) at Empower or another SDBA provider.

As a reminder, important information and cessation options regarding assets held in an Empower Fixed Fund were summarized within the Contract Termination Introduction Email, are detailed within the Group Annuity Contract (GAC) and will be summarized within our Contract Termination Response Letter. After reviewing the available cessation options, you should elect a cessation option email it to your Deconversion Analyst. The assigned Deconversion Analyst can answer questions related to the Empower Fixed Fund cessation options.

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Empower
P.O. Box 173764
Denver, CO 80217-3764

Securities offered through GWFS Equities, Inc. and/or other broker dealers.

Insurance products offered by Empower Life & Annuity Insurance Company, Corporate Office: Greenwood Village, CO; or in New York, by Empower Life & Annuity Insurance Company of New York, Home Office: White Plains, NY.



The Plan Sponsor agrees that they will notify participants if the Empower Fixed Fund is to remain benefit responsive and if it may be transfer externally (as an intra-plan transfer) to other plan investment options maintained by another provider.

A. Liquidation of Core Plan Assets - Empower is directed to liquidate Core Plan Assets as follows:
(select one)

All Core Plan Assets are to be liquidated and wired. Section B is still required to be filled out.

N/A – No Core Plan Assets are to be liquidated and wired. Complete the Transfer of Assets Instructions Excel Spreadsheet in Section B.

A portion of the Core Plan Assets are to be liquidated and wired. Complete the Transfer of Assets Instructions Excel Spreadsheet in Section B.

Empower Wiring Policy

Empower will wire the Plan assets the next business day following the liquidation of Core Plan assets by the close of the Federal Reserve Bank's Fedwire Funds Service subject to timely receipt of settlement proceeds from the liquidated investment options. The Plan Sponsor acknowledges and agrees to such policy.

Wire Instructions:

Payee Name:

Receiving Bank Name:

City, State & ZIP Code:

ABA (routing number):

Account Number:

For Further Credit:

By providing wire instructions, the Plan Sponsor acknowledges and agrees that Empower will liquidate and wire the funds in accordance with the Empower wiring policy and the timing of receipt of the funds by the successor recordkeeper may not allow for the reinvestment of the funds on the next business day. The Plan Sponsor further acknowledges and agrees that Empower shall not be liable for any claim of loss or other damages as a result of liquidating and wiring the funds in accordance with the Empower wiring policy.

Empower Policy for Residual Amounts

If residual amounts are received from a Plan investment option provider (e.g., dividend payments, capital gains payments, etc.) following the Plan Deconversion Date, Empower may either wire such residual amounts, or alternatively, may forward or reissue one or more checks to the Asset Custodian/Payee listed below. The Plan Sponsor acknowledges and agrees to such policy.



Check Instructions (Plan Sponsor Must Complete):

Asset Custodian/Payee Name:

Street Address:

City/State/Zip:

B. Re-Registration of Core Plan Assets – Empower is directed to re-register Core Plan Assets as follows:
(select one)

N/A – No Core Plan Assets are to be re-registered

All Core Plan Assets are to be re-registered as indicated in the Transfer of Assets

Instructions Excel Spreadsheet [Click here to open Form](#)

A portion of the Core Plan Assets as indicated in the Transfer of Assets

Instructions Excel Spreadsheet are to be re-registered

Note: Direction for all available investment options within the plan needs to be provided in the Transfer of Assets Instructions Excel Spreadsheet, including investment options that are not to be re-registered or that currently have a zero balance. Instructions on obtaining the list of available investment options for this plan are provided within the second sheet of the Transfer of Assets Instructions Excel Spreadsheet. Completion of this spreadsheet is mandatory. Failure to provide direction to all investment options may result in a delay in Deconversion.

Empower Core Plan Assets Re-Registration Policy

Empower will initiate the re-registration on the first business day following the Plan Deconversion Date.

C. Re-Registration or Liquidation of Self-Directed Brokerage (SDB) Accounts

The Plan does not include SDB accounts

The Plan includes Self-Directed Brokerage Accounts - complete the following:

Name of self-directed brokerage account provider: _____

Indicate if SDB investments are to be liquidated or transferred in-kind: (select one)

Total Liquidation - The Plan Sponsor directs Empower to request a liquidation of the participant's SDB account from the SDB provider and, upon receipt of the proceeds, allocate the funds in accordance with the participant's investment allocation on file, or if none, to the Plan's default fund.



The Plan Sponsor acknowledges that SDB Accounts are not accessible for purposes of contribution transfers from the Empower platform, participant initiated investment exchanges/transfers **15 business days** prior to and including the Plan Deconversion Date (the "SDB Blackout Date") and will notify participants of the restrictions on the SDB accounts which will apply on the SDB Blackout Date.

The Plan Sponsor directs Empower as to the following: participant initiated in-kind distribution requests from SDB accounts which are pending on the Plan's Deconversion Date shall be liquidated on the Plan's Deconversion date. Plan Sponsor acknowledges it will notify participants that in-kind distribution requests must be completed prior to this deadline in order to avoid SDB liquidation and that participants must notify new SDB provider of this restriction in order for new SDB provider to initiate the in-kind transfer in a timely manner.

Total In-kind Transfer - The Plan Sponsor directs Empower to request an in-kind transfer of the participant's SDB account from the SDB provider, provided that the Plan's new SDB provider initiates the In-kind transfer via Automated Customer Account Transfer (ACAT) Service. The Plan Sponsor acknowledges and agrees that if the Plan's new SDB provider does not timely request an in-kind transfer via ACAT, the Plan's Deconversion Date will be delayed.

The Plan Sponsor acknowledges that SDB Accounts are not accessible for purposes of contribution transfers from the Empower platform, participant initiated investment exchanges/transfers **5 business days** prior to and including the Plan Deconversion Date (the "SDB Blackout Date") and will notify participants of the restrictions on the SDB accounts which will apply on the SDB Blackout Date.

The Plan Sponsor acknowledges and agrees that assets held in the Self-Directed Brokerage Account must be liquidated or transferred in-kind with no remaining balance before the Plan's deconversion may be processed. The Plan Sponsor agrees that information regarding the applicable deadline and restrictions listed above will be communicated to participants.

Payment of Empower Recordkeeping and Administration Fees

Empower will assess and process recordkeeping and administrative fees through the Plan's Deconversion Date. The Plan Sponsor has provided direction to Empower with respect to the payment of Empower's fees for the recordkeeping and administration services provided to the Plan Sponsor. Empower will process recordkeeping and administration fees in accordance with the direction previously provided by the Plan Sponsor, unless the Plan Sponsor provides alternate payment instructions. The Plan Sponsor agrees to pay all outstanding Empower fees prior to the deconversion



date. The Plan Sponsor authorizes Empower to deduct any remaining outstanding Empower fees from the funds wired to the successor recordkeeper."

Final Plan Services and Valuation Report Instructions

Ongoing Payroll Service

Does your plan currently use a payroll vendor to send contribution files directly to Empower?

Yes No

If Yes, Plan Sponsor must contact their vendor and instruct them to discontinue sending payroll files to Empower. Failure to do so could result in missed payroll contributions and penalties for late contribution deposits.

Participant Distribution Education Services

The Plan Sponsor acknowledges and agrees that Empower or its affiliates will make retirement education consultants available to Participants to provide distribution education services and may contact Participants who are eligible to receive distributions from the Plan to provide information regarding distribution options under the Plan including rollover services and products offered by Empower.

Final Form 5500 Service for a Merging Plan

Is a final Form 5500 needed because deconversion is the result of merger into a successor plan?

Yes No

Final Plan Valuation Report

In addition to the Plan's successor recordkeeper, I hereby authorize Empower to send the reports described in this section to the parties listed below:

Company: _____

Contact Name: _____

E-mail Address: _____

Final Participant Valuation Report Policies – the Plan Sponsor acknowledges and agrees to the following policies:

- A report reflecting the participants' account balances on the Plan Deconversion Date by investment option and by money type will be provided to your new recordkeeper via secure e-



mail. NOTE: The reports will be sent as .txt documents. Contact Empower for more information on the timing of delivery.

- The **sXXXXXX.zip file** (supplemental file) contains the layout, fund legend, appendices, and balance files broken down by participant and by money type.
- The **dXXXXXX.zip file** (data file) contains all of the data files: PARTS, ALLOC, BALANC, ITD, LOAN, LOMNTY, LONBAL, VEST, OWNER, PPAY, MRD, BENE, DFRL, SALARY and EMP. You can access this data by using the layout in the supplemental “s” file.
- Included with these materials is a **Supplemental Restrictions file**, which contains all individual account restrictions known to us (i.e. QDROs, garnishments, etc.). These individual account restrictions are not reported elsewhere and need to be merged into the data records.
- To obtain **Year-to-Date detail for Contributions and Distributions**, the Plan Sponsor should download these reports via our PSC Website which they will retain access to for 90 days post Plan Deconversion Date.

Plan Sponsor acknowledges that as of the Plan Deconversion Date, Empower will provide only those reports applicable to the Plan and currently available from Empower’s recordkeeping system.

REASON FOR DECONVERSION:

Please indicate the primary reason for the asset transfer: (*select one*)

Intermediary Influence
Intermediary Turnover
M&A (Merger/Acquisition)
Organizational Changes (Client)
Organizational Changes (Empower)
Fees
Operational Issues
Product Offering
Platform & Technology Limitations
Client Service Issues
Due Diligence

Additional feedback on reason for Deconversion (optional):

Authorization:

I am an authorized representative and have the authority to sign this document on behalf of the Plan Sponsor and the Plan. The Plan Sponsor has consulted with its advisers to the extent deemed necessary prior to the execution of this authorization directing Empower to proceed with the Plan deconversion.

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Empower
P.O. Box 173764
Denver, CO 80217-3764

Securities offered through GWFS Equities, Inc. and/or other broker dealers.

Insurance products offered by Empower Life & Annuity Insurance Company, Corporate Office: Greenwood Village, CO; or in New York, by Empower Life & Annuity Insurance Company of New York, Home Office: White Plains, NY.



Signature: _____

Print Name: _____

Form Submission Instructions

Email this completed form to your assigned Deconversion Analyst. This will result in this request being automatically fed into our work-flow process.

***** INTERNAL USE ONLY- DO NOT FILL OUT *****

QC Approval & Date: _____

Consultant Approval & Date: _____