

403(b)(7) transfer/rollover/contract exchange



Return by standard delivery:  
Putnam Investments  
PO Box 219697  
Kansas City, MO 64121-9697

Return by overnight delivery:  
Putnam Investments  
801 Pennsylvania Ave  
Suite 219697  
Kansas City, MO 64105-1307

For more information:  
Putnam Investments  
1-800-662-0019  
www.putnam.com

Please make checks payable to:  
Putnam Fiduciary Trust  
Company, LLC



Use this form to initiate a transfer, rollover, or contract exchange of your current employer’s 403(b) Custodial Account, former employer’s qualified retirement plan, or IRA to a Putnam 403(b)(7) Custodial Account. If you are establishing a new Putnam 403(b)(7) Custodial Account with a new plan sponsor, please also attach a completed 403(b)(7) employee adoption agreement.

- Important:**
- Consult your present trustee/custodian to determine if there are any fees associated with this request and to ensure that all requirements to release the funds are satisfied. Some firms may require the completion of their own form, may reject paperwork which is not original, or may require an authentication stamp to verify the signature(s) in the authorization section.
  - Please Include a statement from your current trustee/custodian.
  - To update your financial advisor designation you must complete the Financial intermediary change request form.
  - To receive a reduced sales charge through a letter of intent as disclosed in the statement of additional information, complete Putnam’s Letter of intent to purchase form. The form must be included with this request or on file with Putnam prior to the investment to qualify for a reduced sales charge.

Section 1 Employee information

Name of employee

First

MI

Last

Suffix

Social Security number

Contact phone number

**Note:** Providing a phone number above will replace the current contact information on file with Putnam (if applicable).

Section 2 Select your funds

Please use the Putnam Fund Guide (<https://www.franklintempleton.com/forms-literature/download/PFGUD-FORM>) to select your investment. Enter the fund number for the corresponding share class you wish to establish. For additional fund elections, attach a separate sheet of paper with the fund number, fund name, and dollar amount or percentage. If both a dollar amount and percentage are provided, Putnam will default to allocating by percentage.

- For new investments made to Putnam: If no class of shares is indicated, class A shares will be purchased and any unallocated assets will be invested into Money Market A.
- For assets moved from an existing Putnam registration: Fund allocations will remain consistent with the originating Putnam account(s) unless otherwise indicated. In addition, the share class must remain consistent with the originating Putnam account(s).

Contributions will always be coded for the current year in which your paperwork is received at Putnam per IRS regulations.

| Fund number | Fund name | Dollar amount | Percentage      |
|-------------|-----------|---------------|-----------------|
|             |           | \$            | or %            |
|             |           | \$            | or %            |
|             |           | \$            | or %            |
|             |           | \$            | or %            |
|             |           | \$            | or %            |
|             |           |               | <div>100%</div> |

Section 3 Instructions for transfer/rollover/contract exchange

I have adopted the Putnam 403(b)(7) plan for which Putnam Fiduciary Trust Company, LLC (PFTC, LLC) serves as Trustee. If you are establishing a new 403(b)(7) plan at Putnam, you must attach the appropriate 403(b)(7) Custodial Account forms. Please send all related correspondence and any appropriate remittances to Putnam Investments, P.O. Box 219697, Kansas City, MO 64121-9697.

**Note:** PFTC, LLC cannot accept an asset transfer or direct rollover of stock or other marketable securities held in your current plan. Please consult your financial advisor to make other arrangements for these assets.

Section 3A - To complete a transfer or contract exchange from a 403(b) plan with another provider

This authorization instructs my current Trustee/Custodian to liquidate assets from the plan and transfer proceeds by check payable to Putnam Fiduciary Trust Company, LLC (if permitted by the plan and acceptable to PFTC, LLC):

Please solicit for 100% of the assets from the following accounts:

Present trustee/custodian account number(s)

Please solicit for a portion of the assets from the following account(s):

Present trustee/custodian account number(s)

| Dollar amount |    | Percentage |
|---------------|----|------------|
| \$            | or | %          |
| \$            | or | %          |

Section 3B - To complete a direct rollover

This authorization instructs my current Trustee/Custodian to liquidate assets from the plan indicated below and transfer proceeds by check payable to Putnam Fiduciary Trust Company, LLC (if permitted by the plan and acceptable to PFTC, LLC):

Traditional IRA      Qualified Retirement Plan or Governmental 457

Please solicit for 100% of the assets from the following accounts:

Present trustee/custodian account number(s)

Please solicit for a portion of the assets from the following account(s):

Present trustee/custodian account number(s)

| Dollar amount |    | Percentage |
|---------------|----|------------|
| \$            | or | %          |
| \$            | or | %          |

Section 3C - Present trustee/custodian information

Name of present trustee/custodian

Name of employer sponsored retirement plan (if applicable)

Name of contact person (if any)

First      MI      Last      Suffix      Contact phone number

Trustee/Custodian mailing address      City      State      ZIP code

# Section 4 Authorization

A signature guarantee or medallion guarantee may be required by your present trustee or custodian in order to complete your request. A signature guarantee or medallion guarantee is a stamped assurance by a financial institution that indicates a signature is valid and has the financial backing of the institution. The guaranteed stamp should not be dated. If a signature guarantee or medallion guarantee is dated, it is only valid for that date.

My signature below indicates that if I am designating an investment in a fund that I do not already own I have read the fund prospectus(es) and agree to the terms therein.

## Section 4A - Employee authorization

Please consult with your present trustee or custodian if they require a signature/medallion guarantee stamp and if there are any **forms** or **fees** associated with transferring your funds.

Signature of employee or authorized party

Print name of signer

Current date (mm/dd/yyyy)

PLACE SIGNATURE/MEDALLION GUARANTEE STAMP BELOW  
THE GUARANTEE SHOULD NOT BE DATED



## Section 4B - Employer/Administrator authorization

**Note:** Complete only if required by the releasing financial institution. A signature guarantee / medallion guarantee and additional forms may be required.

The undersigned hereby represents that they are an authorized representative of the Employer named below, or an authorized representative of a Third Party Administrator designated by the Employer. The signer hereby certifies that they have reviewed the request to make the above transfer or contract exchange, and certifies that such transaction is in accordance with the provisions of the Plan and Code Section 403(b) requirements, including those relating to information sharing.

Name of employer

Signature of authorized employer representative/administrator

Print name and title of signer

Current date (mm/dd/yyyy)

PLACE SIGNATURE/MEDALLION GUARANTEE STAMP BELOW  
THE GUARANTEE SHOULD NOT BE DATED



# Signature authentication guidelines



Use this document as a reference to explain the different authentications that may be required to process a transaction. Please refer to the specific Putnam form to verify which type of authentication is required as not all signature authentication types are acceptable for all transactions. You may be able to obtain signature authentication from securities broker/dealers, commercial banks, federally chartered savings institutions, federally chartered credit unions, trust companies, state chartered savings institutions or credit unions. Check with your financial institution for availability.

All authentications must be original; photocopies or fax copies are not acceptable.

This document is for reference only. Please **do not stamp this form**.

## Medallion Program Signature Guarantee

A Medallion Program signature guarantee is a form of signature guarantee that is a stamped assurance provided by a financial institution that guarantees that a signature is genuine, the signer is an appropriate person to sign and the signer has legal capacity to sign. The purpose of a signature guarantee is to protect transfer agents and shareholders against loss from fraudulent signatures on instructions in connection with securities transactions, which are defined as the sale, assignment, transfer or redemption of a security. A Medallion Program signature guarantee provides additional protection against fraud by using special security ink, a bar code that can be scanned to identify a stamp that has been reported lost or stolen, and a prefix code that discloses the maximum transaction value covered by the stamp (see chart below). The guarantee should **not** be dated.

| Prefix Letter | Liability Limit per Transaction |
|---------------|---------------------------------|
| Z             | \$10,000,000                    |
| Y             | \$5,000,000                     |
| X             | \$2,000,000                     |
| A             | \$1,000,000                     |
| B             | \$750,000                       |
| C             | \$500,000                       |
| D             | \$250,000                       |
| E             | \$100,000                       |
| F             | \$100,000 (credit unions only)  |



The letter prefix of each identification number signifies the amount of the surety bond obtained by the guarantor. The amount of coverage associated with the corresponding prefix is detailed above.

## Signature Guarantee

A signature guarantee is a stamped assurance provided by a financial institution that guarantees that a signature is genuine, the signer is an appropriate person to sign and the signer has legal capacity to sign. The purpose of the signature guarantee is to protect transfer agents and shareholders against loss from fraudulent signatures on instructions in connection with securities transactions, which are defined as the sale, assignment, transfer or redemption of a security.

