WEA Member Benefits®
Every member financially secure.

P.O. Box 7893 • Madison, WI 53707-7893
Phone 1-800-279-4030 Fax 608-237-2529

Producer Code: _____

Exchange/Transfer/Rollover to WEA Member Benefits

If you are exchanging, transferring, or rolling over more than one account, please complete a separate form for each.

1. Participant Information—print legibly.

Name _____ (Last / First / Middle)

Date of Birth _____

Address _____

Social Security No. _____

_____ (City / State / ZIP)

Employer Plan ID _____

Email _____

Would you like to receive updates of your request via text message? YES ◯ NO ◯ Mobile Number _____
Message and data rates may apply.

2. Transaction Type

☐ 403(b) Exchange (within the same employer plan.)

☐ 403(b) Transfer (from previous employer's plan to current employer's plan.)

☐ IRA Transfer (like plan to like plan.)

☐ Rollover (from another type of plan.): Complete Section 3 if you are rolling over from an employer-sponsored plan.

☐ Indirect Rollover (must be completed within 60 days of original disbursement)

☐ Qualified Birth/ Adoption Distribution Rollover (must be completed within 3 years of original disbursement)

3. Distributable Event *(Complete this section if completing an employer-sponsored plan rollover.)*

Employer-sponsored plan rollovers require a distributable event. Please indicate your applicable event.

☐ Age 59½ ☐ Separation From Service ☐ Disability ☐ Beneficiary ☐ QDRO

4. Releasing Company Account Information—print legibly.

☐ Check here if the transfer/rollover is from a WEA TSA Trust 403(b) account or a WEA Member Benefits IRA account.

If you didn't check the box, please complete the following information and **enclose a copy of your account statement.**

Outgoing account number: _____

Releasing Company Name (not agent): _____

Address: _____

City/State/ZIP: _____

Fax (if applicable): _____

TSA and IRA program registered representatives licensed through WEA Investment Services, Inc., member FINRA. The 403(b) retirement plan is offered by WEA TSA Trust. The Trustee for the WEA Member Benefits IRA program is Matrix Trust Company.

5. Releasing Company Account Type *(A copy of your most recent statement is required to process.)*

- ☐ 403(b)
  - ☐ elective before-tax ☐ elective Roth
  - ☐ nonelective
- ☐ Traditional IRA (*Nondeductible contributions may not be transferred to your TSA account.)*
- ☐ Roth IRA
- ☐ SEP (Simplified Employee Pension) IRA
- ☐ SIMPLE (Savings Incentive Matching Plan for Employees) IRA (*IRA must be at least two years old.)*
- ☐ 457(b) governmental plan (*Separation from service is required.)*
  - ☐ before-tax ☐ Roth
- ☐ 401(k) plan
  - ☐ before-tax ☐ Roth ☐ after-tax
- ☐ 401(a) plan
- ☐ Inherited Traditional IRA*
- ☐ Inherited Roth IRA*

***Inherited IRA Only**

If transfer/rollover is from an inherited account, please complete the following:

Name of deceased _____ Deceased date of birth _____

Relation to deceased _____ Deceased date of death _____

You must satisfy your required minimum distribution prior to transfer/rollover.

6. WEA Account Type *(Select only one option.)*

- ◯ 403(b)
- ◯ Traditional IRA
- ◯ Roth IRA
- ◯ SEP IRA
- ◯ Inherited Traditional IRA
- ◯ Inherited Roth IRA

7. Amount of Exchange/Transfer/Rollover

I request the following to be liquidated and transferred/rolled over (select one):

- ◯ Total exchange/transfer/rollover.
- ◯ Partial exchange/transfer/rollover $_____.
- ◯ The amount not subject to surrender charges.

8. Mailing Instructions *ACH and Wire instructions are provided on the Letter of Acceptance.*

Please make checks payable to:

Preferred Address

WEA Member Benefits
FBO (_____ and _____)
c/o Matrix Trust (Phx)
P.O. Box 21196
New York, NY 10087-1196

Overnight Address

WEA Member Benefits
FBO (_____ and _____)
c/o Matrix Trust (Phx)
4 Chase Metrotech Center
7th Floor East
Brooklyn, NY 11245

9. Required Minimum Distribution (RMD)

If you are age 73 or older, the releasing company must distribute your current year RMD prior to effecting this transaction. If you do not take your RMD, the IRS may impose a penalty on the amount that should have been distributed.

Are you age 73 or older this year? ◯ Yes ◯ No

Has the current year RMD been satisfied? ◯ Yes ◯ No ◯ Not Applicable

If you are rolling over from a Member Benefits 403(b) to a Member Benefits Traditional IRA, you need to complete new RMD instructions on your new account. Please request a form.

10. Switch Acknowledgement

The following section is designed to help you decide whether this transaction is appropriate for you. Although the decision to effect this transaction is entirely your own, by completing the section we may be able to provide you some educational information with respect to certain common fees and investment structures. Generally, we do not recommend the sale of products with high surrender fees or contingent deferred sales charges (CDSCs). This section and any subsequent information we provide to you is for informational purposes only. For detailed advice and recommendations, you should consult with your financial advisor or accountant.

◯ Yes ◯ No I worked with a WEA Member Benefits Representative.

◯ Yes ◯ No I reviewed all products available to me.

◯ Yes ◯ No If applicable, I understand that by rolling my account from WEA TSA Trust to WEA Member Benefits IRA or vice versa, there may be a difference in program fees and investment options.

◯ Yes ◯ No I believe this is the appropriate product based on what is in my best interest.

I certify that I reviewed my:

☐ Investment Options* ☐ Services ☐ Required Minimum Distributions

☐ Fees and Expenses ☐ Penalty-Free Withdrawals ☐ Annuities

*Participant Level Protections (PLPs) are in place to help preserve the guarantee of the Guaranteed Stable Investment fund. PLPs may limit your ability to withdraw funds from the fund. For more information on the PLPs and how it may affect your account, please call Retirement and Investment Services at 1-800-279-4030.

11. Before You Sign

☐ **Contact your current provider to ask about:**

- Any paperwork or special requirements the releasing company may require.
- Is a signature guarantee required by releasing company.
- Does the releasing company require you to liquidate your holdings prior to transfer.

☐ **Complete** *Notice to Applicant Regarding Replacement of Annuities or Life Insurance by Annuities*.

☐ **Attach a copy of your most recent releasing company account statement (required to process)**.

☐ **Return <u>all</u> paperwork to WEA Member Benefits**: if mailed, **P.O. Box 7893, Madison, WI 53707-7893**; if faxed, (608) 237-2529.

12. Employer/Third-Party Administrator (TPA)Signature(s) *(Applies to 403(b) only.)*

Employer signature confirms that WEA TSA Trust is an approved vendor and/or there is an information sharing agreement on file and exchanges and/or transfers are allowed in school district plan.

Current Employer/TPA Signature _____ Date _____

Former Employer Name *(for transfers only)*_____ Termination Date _____

Former Employer/TPA Signature *(for transfers only)*_____ Date _____

13. Authorization to Liquidate

I authorize the releasing company to liquidate and transfer/rollover the liquidated assets and to send any records or documents needed to complete the transfer/rollover to the WEA TSA Trust. I have no outstanding loans on the account I am exchanging/transferring/rolling over.

I am aware of the aforementioned fees (assessed by the releasing company) that may be involved with this transaction.

The releasing company **may** require your signature to be guaranteed by an authorized signature guarantor. This service is available at most banks, brokers, and other financial institutions.

Notary public signatures are not accepted as they do not provide reimbursement in case of fraud.

Do not sign this form until you are in the presence of the authorized person providing the signature guarantee.

Place signature guarantee stamp here **(if applicable)**.

- If rolling assets in from an outside account, we will deposit proceeds according to the investment allocation instructions on the receiving Member Benefits account.
- If rolling assets in from another Member Benefits account, we will deposit proceeds according to the investment allocation of the sending account, if participant level protections are active.
- I acknowledge I received WEA Form CRS.
- I certify this Indirect Rollover is within the 60 days allowed by the IRS and is the only one I am completing within a rolling 12-month period.
- I certify the qualified birth adoption distribution being rolled back into my account is within the 3 years of original distribution date as allowed by the IRS.

Participant's Signature (required) _____ **Date** _____

Releasing Company

IRS regulations require you to provide this information for Roth 403(b) or Roth 401(k) accounts only:

Is this a qualified distribution? ☐ Yes

☐ No The calendar year of the first contribution is: _____

The portion of this distribution representing basis (contributions) is: _____

Authorized Releasing Company Signature _____

NOTICE TO APPLICANT REGARDING REPLACEMENT OF ANNUITIES OR LIFE INSURANCE BY ANNUITIES

This notice is for your benefit and is required by regulation. If you are urged to purchase an annuity and to surrender, lapse, or in any other way change the status of existing life insurance or annuities, the agent is required to give you this notice. When considering replacement of an existing annuity with a new annuity contract, you should be aware of the following:

- It is to your advantage to receive the advice of the present life insurance company regarding the proposed replacement or change of existing policies. The life insurance company to whom you are applying for the new policy is required by regulation to advise the home office of the company or companies that sold the existing policy or policies of the proposed replacement.
- Some of the reasons it may be disadvantageous to purchase new or change existing life insurance or annuities in favor of new life insurance or annuities are:
    - In the case of an annuity replacement, you may be required to pay a surrender charge for the annuity that is being replaced. You will want to consult with your present provider to determine any such charge.
    - Existing policies may have more favorable provisions than new policies.
    - Replacement may result in loss of a guaranteed benefit.
    - If you are replacing a life insurance policy, be aware that the present insurance company can often make a desired change on terms that would be more favorable than if you replaced existing life insurance policies with new policies.
- For the reasons stated above, it may be disadvantageous to change an existing life insurance policy or to borrow against its loan value beyond your expected abilities or intention to repay in order to obtain funds for premiums on a new policy.
- There may be a situation when a replacement is advantageous. However, for your protection, you should receive the comments of the present insurance company and determine any potential surrender charges before arriving at a decision in this important financial matter.

The annuity(ies) I intend to purchase from WEA Tax Sheltered Annuity (TSA) Trust may replace an existing annuity policy(ies). The following policy(ies) may be replaced as a result of this transaction:

Current carrier as it appears on the policy	Participant as it appears on the policy	Account/contract number

I hereby acknowledge that I received and completed this form regarding replacement of annuities or life insurance before I signed the documents for the proposed new annuity.

Pay special attention to possible surrender charges in the contract that you are exchanging, transferring, rolling over to a WEA TSA Trust account.

WEA TSA Trust accounts do not have a surrender charge or surrender period and do not include variable annuities.

Signature of Applicant _____ Date _____

Social Security No._____

Signature of Agent _____ Date _____
(WEA Member Benefits Agent)

WEA Investment Service, Inc.
Form CRS Client Relationship Summary as of April 2026

Item 1: Introduction	WEA Investment Services, Inc., ("WEA IS," "we," "our," or "us") is a member of the Financial Industry Regulatory Authority (FINRA). Brokerage services and investment advisory services and fees differ, and it is important for you to understand these differences. Free and simple tools are available to research firms and financial professionals at Investor.gov/CRS, which also provides educational materials about broker-dealers, investment advisers, and investing.
Item 2: Relationship and Services	**What investment services and advice can you provide me?** We offer brokerage services to retail investors of proprietary 403(b), 457(b), and IRA programs provided through our affiliates. WEA IS provides recommendations with respect to account type but does not provide recommendations with respect to your investment options. While WEA IS remains available to assist you, WEA IS does not monitor your account(s). WEA IS does not accept discretionary authority, which means that you make the ultimate decision whether to buy or sell investments. However, our registered representatives will take orders to execute transactions on behalf of your account(s). WEA IS will refer you to WEA Financial Advisors, Inc. (WEA FA), for advice and/or recommendations regarding investments. Our brokerage services are limited to specific groups, focused primarily on PK–14 public educators and their families. A current description of eligible groups can be found on our website, www.weabenefits.com/family. We do not impose an account minimum at this time. *For additional information about our services, please see our Regulation Best Interest Disclosure. WEA IS is a subsidiary of the WEA Member Benefit Trust. Some financial professionals registered with WEA IS are also registered with WEA Financial Advisors, Inc., which is also a subsidiary of WEA Member Benefit Trust. For information regarding advisory services from our affiliated RIA, please see their Client Relationship Summary.* **Conversation Starters: Questions to ask your Financial Professional:** • Given my financial situation, should I choose an investment advisory service? Why or why not? • How will you choose programs and/or investments offered to me? • What is your relevant experience, including your licenses, education, and other qualifications? • What do these qualifications mean?
Item 3: Fees, Costs, Conflicts, and Standard of Conduct	**What fees will I pay?** WEA IS does not charge fees. The affiliated 403(b), 457(b), and IRA programs have an annual administrative charge based on your account balance. For additional information about program costs, please visit https://www.weabenefits.com/product/ira/our-ira-fees/. **Other Fees and Costs** You may also incur fund operating expenses. **Additional Information**: You will pay fees and costs whether you make or lose money on your investments. Fees and costs will reduce any amount of money you make on your investments over time. Please make sure you understand what fees and costs you are paying. Please see our Regulation Best Interest Disclosure for more detailed information regarding fees and costs. **Conversation Starter: Questions to ask your Financial Professional** • Help me understand how these fees and costs might affect my investments. • If I give you $10,000 to invest, how much will go to fees and costs, and how much will be invested for me?
	What are your legal obligations to me when acting as my investment adviser? How else does your firm make money and what conflicts of interest do you have? *When we provide you with a recommendation*, we have to act in your best interest and not put our interest ahead of yours. At the same time, the way we make money creates some conflicts

	with your interests. You should understand and ask us about these conflicts because they can affect the recommendations and investment advice we provide you. Here are some examples to help you understand what this means. The programs that we offer are primarily limited to proprietary programs offered by our affiliates such as the 403(b), 457(b), and IRA programs. Our affiliates directly and indirectly compensate us for offering their programs. This creates a conflict of interest in that we are unable to offer other programs that may better suit your needs. Certain mutual fund companies give our affiliates record-keeping reimbursements based on the amount of funds placed with them. We therefore have an incentive to promote proprietary programs offered by our affiliates because our affiliates use record-keeping reimbursements to offset program fees and expenses, including investment professional salaries. **Conversation Starter: Questions to ask your Financial Professional** • How might your conflicts of interest affect me, and how will you address them? *For additional information about our conflicts of interest, please see our Regulation Best Interest Disclosure.*
	How do your financial professionals make money? Our investment professionals are compensated with an annualized base salary and a non-individualized discretionary annual bonus based on the overall growth of our affiliate programs, including new business and retention. Our investment professionals do not earn commissions and are not compensated on a transaction basis for their activities at WEA IS. Certain professionals are dually registered with our affiliated Registered Investment Adviser; however, they do not earn compensation as a representative of the Registered Investment Adviser in relation to their activities at WEA IS.
Item 4: Disciplinary History	**Do you or your financial professionals have legal or disciplinary history?** No. Visit Investor.gov/CRS for a free and simple search tool to research us and our financial professionals. **Conversation Starter: Questions to ask your Financial Professional** • As a financial professional, do you have any disciplinary history? For what type of conduct?
Item 5: Additional Information	For additional information about our services, please visit www.weabenefits.com or contact our Compliance Coordinator at 1-800-279-4030 or retirement@weabenefits.com. If you would like additional, up-to-date information or a copy of this disclosure, please call 1-800-279-4030. **Conversation Starter: Questions to ask your Financial Professional** • Who is my primary contact person? • Is he or she a representative of an investment adviser or a broker-dealer? • Who can I talk to if I have concerns about how this person is treating me?