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Rollover contribution instructions and application

Rolling money into your retirement plan account is an easy four-step process. To help us process your rollover contribution quickly and accurately, please follow these instructions carefully, making sure to complete each step.

Step 1 Review the rollover types available and certifications required on this application to ensure that your retirement savings are eligible to roll into your retirement plan account.

Step 2 Request a distribution check from your prior plan administrator or custodian. The check should be made payable to the Charles Schwab Bank (Schwab Bank) for the Latham & Watkins 401(k) Savings and Profit Sharing Plan, FBO (your name and Social Security number).

Example: Schwab Bank for the Latham & Watkins 401(k) Savings and Profit Sharing Plan, FBO John Doe, 999-99-9999

This check can be mailed to you or directly to Schwab Retirement Plan Services, Inc. at the address below.

If the distribution check was already made payable directly to you, you can send us a certified check or money order (personal checks are not acceptable). This option is only available for 60 days after you receive your distribution check. Also, when the distribution was originally paid directly to you, your prior administrator or custodian may have withheld taxes from your savings. If these additional amounts are not included in your rollover contribution, they will be considered a withdrawal and may be subject to income tax and penalties.

Step 3 Carefully complete and sign this application.

Step 4 Return this application (with your rollover check, if sent to you) to this address:

Schwab Retirement Plan Services, Inc.
Attn: Rollover Contribution Processing
4150 Kinross Lakes Parkway
Richfield, OH 44286-5050

Upon receipt of this rollover check and completed application in good order, the money will be invested in your account according to your current investment instructions (investment elections). In the event there are no investment instructions on file, your rollover contribution will be invested according to your company's default instructions. You may change your investments at **workplace.schwab.com** or by calling Participant Services at the number below.

If we are unable to process this rollover contribution, we will mail the rollover check back to you at your address on file after attempting contact for a resolution. Also, after accepting the rollover contribution into your retirement plan account at Schwab Retirement Plan Services, Inc., if it is determined that the contribution was not an eligible rollover, then the entire amount of the rollover and associated earnings will be sent back to you.

If you need help or have any questions about this process, please call Participant Services at **1-800-724-7526**.

Thank you.

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Rollover contribution application

Your information

Name: _____ Home Phone: _____

Social Security #: _____ Work Phone: _____

Retirement Plan Name: Latham & Watkins 401(k) Savings and Profit Sharing Plan Current Employer: Latham & Watkins LLP

Distributing Plan or IRA information (where the rollover is coming from)

Administrator or Custodian: _____ Phone: _____

Name of Retirement Plan or IRA: _____

Rollover type

Your retirement plan administered by Schwab Retirement Plan Services, Inc. only accepts rollovers from the following types of retirement accounts. If your savings is from another type of account, it is not eligible to roll into your current employer's plan. If you are not certain of the account type, please contact your prior plan administrator or custodian for verification.

My rollover contribution is from:

- ☐ a 401(k), 401(a), or 403(a)
- ☐ a 403(b)
- ☐ a 457 government savings plan
- ☐ IRA or individual retirement annuity described in 408(a) or 408(b), as long as the IRA qualifies as a "conduit" IRA and only contains amounts that were received as part of an "eligible rollover distribution" from a 401(a) plan, a 403(a) plan, a 403(b) annuity contract plan, or a 457(b) governmental plan.
- ☐ Check if this is the return of a Qualified Disaster Relief Distribution (may not exceed $100,000). Provide name of disaster here _____ and please attach an explanation.

Please provide the total **after-tax Roth contributions** (if any) or the amount of Roth savings added to your employer-sponsored Plan along with the earnings on that money. I certify that my enclosed rollover includes the following Roth savings:

_____ Date on which Roth contributions were first made to the Plan (if any)
$ _____ Roth Contributions (if any)
$ _____ Roth Earnings (if any)
$ _____ Total (if any)

Please also provide a statement from your employer-sponsored Plan or provide the information (check stub) that was provided with your rollover check to confirm your Roth contribution amounts.

Please provide the total **non-Roth after-tax contributions** (if any) or the amount of non-Roth after-tax savings added to your employer-sponsored Plan along with the earnings on that money. I certify that my enclosed rollover includes the following non-Roth after-tax contributions:

$ _____ non-Roth after-tax Contributions (if any)
$ _____ non-Roth after-tax Earnings (if any)
$ _____ Total (if any)

Please also provide a statement from your employer-sponsored Plan or provide the information (check stub) that was provided with your rollover check to confirm your non-Roth after-tax contribution amounts.

Your certification and signature

By signing this application, I certify that the information in this application is complete and correct.

- This rollover contribution is of amounts I received as an "eligible rollover distribution."
- This rollover does not include any after-tax money.
- I did not receive the funds as a non-spouse beneficiary of a death benefit.
- I did not receive the funds as one of a series of periodic payments.
- I did not receive the funds as a hardship distribution.
- If an indirect rollover (the distribution was originally paid directly to you by the prior plan administrator or custodian), I am rolling over these funds within 60 days of the date I received them from an eligible employer plan or IRA.
- If from an IRA, these funds would be included in my gross income if not rolled over (no after-tax funds).
- These funds do not include any required minimum distributions (age 70½).

If you are not certain on any of these items, please contact your prior plan administrator or custodian for verification. Also, if there are no investment instructions on file, these funds will be invested according to your company's default instructions.

Signature: _____ Date: _____

Schwab Retirement Plan Services, Inc. provides recordkeeping and related services with respect to retirement plans and has provided this communication to you as part of the recordkeeping services it provides to the Plan. Trust, custody, and deposit products and services are available through Charles Schwab Bank and Charles Schwab Trust Bank, Members of FDIC.

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CC2502595 (0915-5565) APP87861LTW-02 (01/19) 00226126

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