



SOMPO JAPAN DC SECURITIES

A Theme Park for Security, Health & Wellbeing

Amendments to the Defined Contribution
Pension Act in October 2022

To Former Participants of Other Pension Plans ~Asset Rollover Procedures~

Sompo Japan DC Securities Inc.

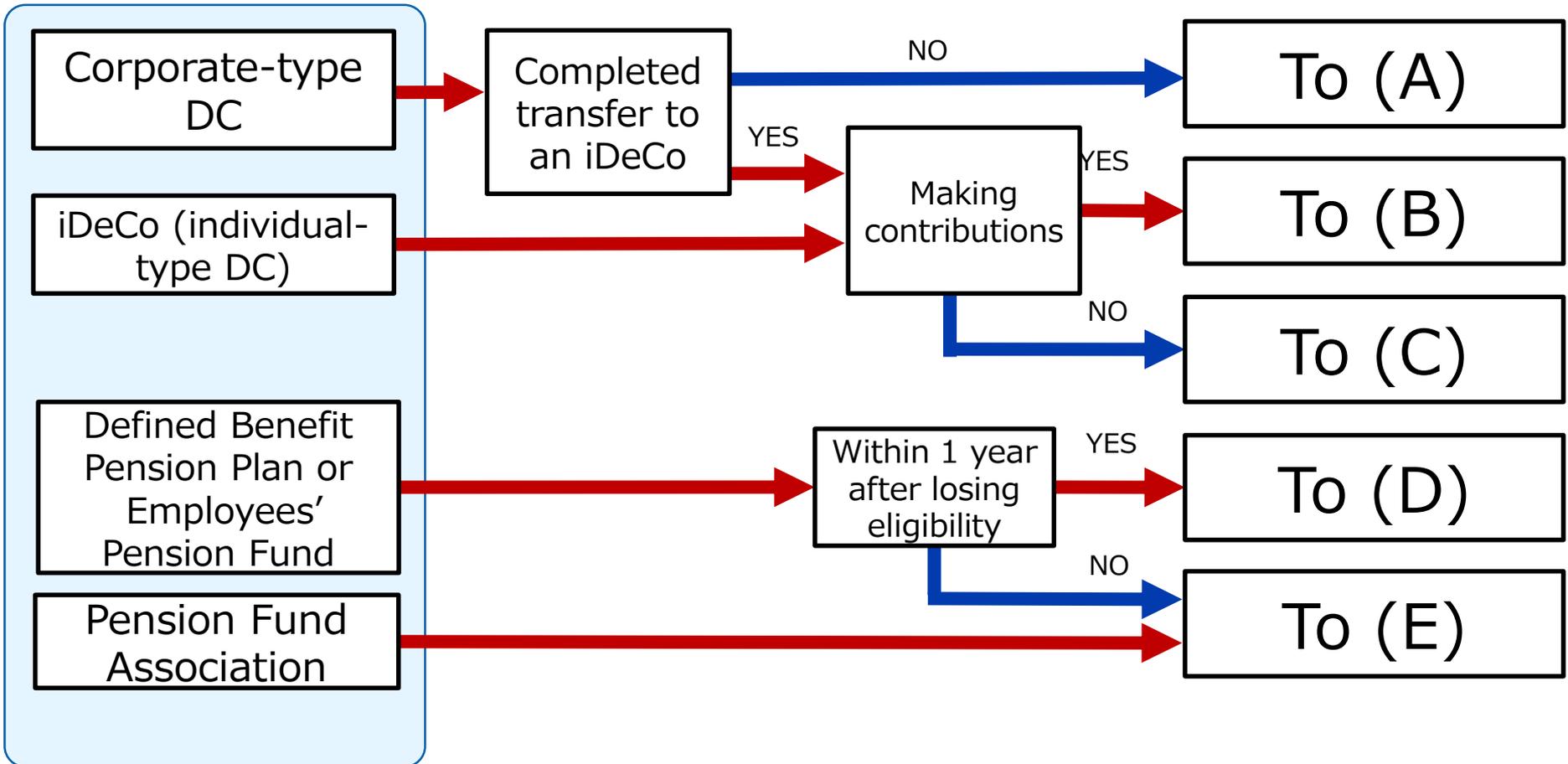
Introduction

Under the Defined Contribution Pension (DC) Plan, you can roll over (transfer) your assets from your previous pension plan. Depending on the pension plan you participated in you may be **required to take procedures**.

Please check the flowchart on the next page to take the necessary procedures.

Flowchart

Previous pension plan



※If you do not know which pension plan you participated in, please check with your previous company.

(A) Those Who Participated in a Corporate-type DC

If you participated in a corporate-type DC plan, you need to roll over your assets. **Please make sure** to fill out and submit the “Request to Rollover DC Asset Balance to New Corporate DC Plan”. Even if you have no assets to roll over, **please make sure** to submit the form so that your participation period will be totaled. If you have already received an early lump-sum payment, you do not need to take the procedure.

Request to Rollover DC Asset Balance to New Corporate DC Plan

①Download Form



②Submit Form

Hikari Business Form Inc.
Hachioji-Minami P.O. Box 5
192-0390 Japan
Attention: Sampo Japan DC Securities Inc.

Please submit the form upon enrollment in the corporate-type DC.

③Designate allocation ratios on the participant website (AnswerNet)



④Approx. 2 to 3 months to complete rollover procedures



Request to Rollover DC Asset Balance to New Corporate-type DC Plan	
To: Sampo Japan DC Securities Inc.	
I have confirmed "Notes on submitting a rollover request" below and request you to transfer my assets and participation history from other DC pension plan(s) to the DC pension plan sponsored by my new employer.	
I hereby agree with your privacy policy, confirming "Policy for handling personal information" on the reverse side.	
※As we do not provide a participant's copy of this request form, please make a copy for yourself before submission.	
1. Applicant ▼Please provide applicant information. A seal is not required when an applicant writes his or her signature.	
Participant Name	Seal Basic Pension Number
Date of Birth	Sex <input type="checkbox"/> M <input type="checkbox"/> F
Home Address	Postal code
Phone Number	※Please provide a phone number (a mobile number is accepted) you can be reached at during daytime hours.
2. New Employer Information ▼Please fill out the name of the company that you are currently working for.	
Company Name	
3. Former Pension Plan Information ▼Please provide information on DC pension plan you participated most recently.	
Types of Pension Plan ▼Please tick one applicable box.	<input type="checkbox"/> Corporate-type DC ※Only for those who ticked corporate-type DC, please provide company name and loss of participant eligibility date. Company Name Date of losing participant eligibility
	<input type="checkbox"/> Individual-type DC If you have been enrolled in an individual-type DC plan, and have been eligible to make monthly contributions yourself, then you must undertake the necessary loss of eligibility procedures with your prior plan administrator to discontinue monthly contributions and terminate your individual-type DC plan. If you failed to complete the necessary procedures within 6 months after losing your participant eligibility in corporate-type DC, your assets may have been transferred to the National Pension Fund Association (NPF).
	<input type="checkbox"/> Automatic Rollover(NPFA)
Name of Record Keeper ▼Please tick one applicable box.	<input type="checkbox"/> Sampo Japan DC Securities Inc. 0 0 0 0 0 0 1 5 <input type="checkbox"/> Japan Investor Solutions and Technologies Co., Ltd. (JIS&T) 0 0 0 0 0 0 1 1 <input type="checkbox"/> Nippon Record Keeping Network Co., Ltd. (NRK) 0 0 0 0 0 0 7 4 <input type="checkbox"/> SBI Benefit Systems Co., Ltd. 0 0 0 0 1 1 5 <input type="checkbox"/> Designated plan administrator (An organization which manages a participant's assets after that has been automatically rolled over to the NPFA) 0 0 0 0 0 0 0 0

If you do not complete rollover procedures, your assets will be transferred to the National Pension Fund Association after about 6 months from the date of loss of participant eligibility. Your asset will be held in cash with no interests and fees will be incurred, leading to the reduction of your assets. So, we recommend that you take the necessary procedures as soon as possible.

(B) Participants in an iDeCo (Individual-type DC)

I Stop making iDeCo contributions, close your iDeCo account and transfer assets to corporate-type DC



Submit “Notification of Loss of Participant Eligibility” and “Request to Rollover DC Asset Balance to New Corporate DC Plan”

①Download Form

②Submit Form



“Notification of Loss of Participant Eligibility”

⇒ submit to plan administrator of iDeCo

“Request to Rollover DC Asset Balance to New Corporate DC Plan”

⇒ submit to Sompo Japan DC Securities

Hikari Business Form Inc.
Hachioji-Minami P.O. Box 5
192-0390 Japan
Attention: Sompo Japan DC Securities Inc.

③ **Designate allocation ratios** on the participant website (AnswerNet)

④ Approx. 2 to 3 months to complete rollover procedures



II Suspend your iDeCo contributions and keep assets in your iDeCo



Submit Notification of Loss of Participant Eligibility

①Download Form

②Submit Form



Your plan administrator of iDeCo

Please submit the form upon enrollment in the corporate-type DC.

III Continue iDeCo contributions



Please check with your plan administrator of iDeCo.

(C) Investment Instructors of iDeCo (Individual-type DC)

For investment instructors who have assets in an iDeCo, the procedures differ depending on your preference.

	Preference	Advantage	Disadvantage	Necessary documents
I	Close your iDeCo account and transfer your assets to a corporate-type DC	<ul style="list-style-type: none"> All assets can be managed in one account. No account management fees 	<ul style="list-style-type: none"> Assets are converted to cash upon rollover and cannot be invested. 	Request to Rollover DC Asset Balance to the New Corporate DC Plan
II	Keep your assets in your iDeCo	<ul style="list-style-type: none"> Investment can be continued. 	<ul style="list-style-type: none"> Account management fees are incurred 	No procedures required
III	Resume contributions	<ul style="list-style-type: none"> Investment can be continued while resuming contributions. 	<ul style="list-style-type: none"> Account management fees are incurred 	Please check with your plan administrator of iDeCo.

Request to Rollover DC Asset Balance to New Corporate DC Plan

The form is titled "Request to Rollover DC Asset Balance to New Corporate-type DC Plan". It contains the following sections:

- Participant Information:** Fields for Participant Name, Date of Birth (with a calendar icon), Home Address, and Phone Number.
- Company Information:** Field for Company Name.
- Current Pension Plan Information:** A section with a dropdown for "Type of Pension Plan" (Corporate-type DC, Individual-type DC, Automatic Withdrawal (SPFA)) and a "Name of Pension Plan" field.
- Name of Rollover Request:** A field for the name of the new corporate-type DC plan.

*Simultaneous participation in employee matching contribution (participant contributions) and in an iDeCo is not allowed. If you want to make participant contributions, please select I or II.

(C) Investment Instructors in an iDeCo (Individual-type DC)

I Close your iDeCo account and transfer your assets to a corporate-type DC



Submit "Request to Rollover DC Asset Balance to New Corporate DC Plan"

①Download Form

②Submit Form



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192-0390 Japan
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Please submit the form upon enrollment in the corporate-type DC.

③Designate allocation ratios on the participant website (AnswerNet)

④Approx. 2 to 3 months to complete rollover procedures



II Keep your assets in your iDeCo



No procedures required



III Continue iDeCo contributions



Please check with your plan administrator of iDeCo.

(D) Those Who Participated in Defined Benefit Pension Plan or Employees' Pension Fund

If you participated in a defined benefit pension plan (DB) or employees' pension fund (EPF), you can roll over the amount equivalent to an early lump-sum payment to a corporate-type DC (**voluntary**). If you want to roll over your assets, please fill out the left side of the **“Request to Rollover Assets from Employees’ Pension Fund or Defined Benefit Pension Plan”**, and submit it to the previous pension plan (previous company, etc.). You need to complete rollover procedures within 1 year after losing participant eligibility in the previous pension plan.

“Request to Rollover Assets from Employees’ Pension Fund or Defined Benefit Pension Plan”

企業型 厚生年金基金・確定給付企業年金 移換申出書

提出先は、前職の厚生年金基金等です。

転出区分: 厚生年金基金から資産を移す

氏名: 損保 太郎 (男)

生年月日: 19671210

住所: 東京都新宿区西新宿 1-25-1

現在の勤務先: ABC食品(株)

登録番号: 0000015

移換元制度の加入員番号: []

移換申出に当たっての留意事項

- この申出書は、企業型確定拠出年金制度への移換について、移換元の厚生年金基金または確定給付企業年金の実施事業所での証明も兼ねています。(右ページ「移換可否決定通知書」は移換申出者は記入不要です。)
- 厚生年金基金制度または確定給付企業年金制度からの移換は、原則、以下の場合に行なうことが

① Download Form



② Submit Form

Submit to the previous pension plan (previous company, etc.)

Within one year after losing Deadline: participant eligibility in the previous pension plan

③ Designate allocation ratios on the participant website (AnswerNet)



④ Approx. 2 to 3 months to complete rollover procedures



Points to note when transferring the amount equivalent to an early lump-sum payment to a corporate-type DC

1. No administration fees are incurred for rollover procedure at the destination plan. However, administration fees may be incurred for rollover procedure at the previous pension plan. For details, please contact the person in charge of the previous pension plan.
2. The participation period (service period, etc.) in the previous pension plan will be added to the total participation period and total contribution period of the destination plan.
3. The amount equivalent to employee contributions under DB is taxed at the time of contribution and tax-exempt at the time of benefit payment. If you roll over your assets from DB (including Pension Fund Association to which pension assets under DB have been transferred) to a corporate-type DC, tax may be imposed at the time of benefit payment.

(E) Those Who Participated in Pension Fund Association

If you participated in the Pension Fund Association, you can roll over the amount equivalent to an early lump-sum payment to a corporate-type DC (**voluntary**). If you want to roll over your assets, please obtain “Request to Rollover Assets from Employees’ Pension Fund or Defined Benefit Pension Plan” from the Pension Fund Association, fill out the form and submit it to the Pension Fund Association by yourself. You need to complete rollover procedures within 3 months after acquiring participant eligibility in the corporate-type DC.

Where to obtain and submit the form: Pension Fund Association
Deadline: Within 3 months after acquiring participant eligibility
in the corporate-type DC

It takes approx. 2 to 3 months to complete rollover procedures.
Once completed, Rollover Completion Notice will be sent to you.



For details, please contact the Pension Fund Association.

【Pension Fund Association】 Call center: 0570-02-2666 (From PHS/IP phone: 03-5777-2666)

Website : <https://www.pfa.or.jp/>

Points to note when transferring the amount equivalent to an early lump-sum payment to a corporate-type DC

1. No administration fees are incurred for rollover procedure at the destination plan. However, administration fees may be incurred for rollover procedure at the previous pension plan. For details, please contact the person in charge of the previous pension plan.
2. The participation period (service period, etc.) in the previous pension plan will be added to the total participation period and total contribution period of the destination plan.
3. The amount equivalent to employee contributions under DB is taxed at the time of contribution and tax-exempt at the time of benefit payment. If you roll over your assets from DB (including Pension Fund Association to which pension assets under DB have been transferred) to a corporate-type DC, tax may be imposed at the time of benefit payment.



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