

# Request to Rollover DC Asset Balance to New Corporate-type DC Plan

To: Sompo 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.

<b>1.Applicant</b>		▼ 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	年	月	日	sex	<input type="checkbox"/> M <input type="checkbox"/> F
Home Address	Postal code	-			
Phone Number	( )	-	※Please provide a phone number you		

<b>2.New Employer Information</b>		▼ Please fill in the name of the company that you are currently working for.	
Company Name			

<b>3.Former Pension Plan Information</b>		▼ Please select the defined contribution pension plan from which you are transferring (the pension assets you have accumulated so far).	
<b>Types of Pension Plan</b>		<b>Record Keeper (please check on your "Notice of Loss of Participant Eligibility for Corporate-Type DC Pension Plan and Necessary Procedures", "Account Statement for Defined Contribution Pension Plan", etc.)</b>	
<input type="checkbox"/> <b>1.Corporate-type DC</b> <input type="checkbox"/> <b>2.Individual-type DC (iDeCo)</b>	<input type="checkbox"/>	Sompo Japan DC Securities Inc.	0 0 0 0 0 1 5
	<input type="checkbox"/>	Japan Investor Solutions and Technologies Co., Ltd. (JIS&T)	0 0 0 0 0 1 1
	<input type="checkbox"/>	Nippon Record Keeping Network Co., Ltd. (NRK)	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"/> <b>3.Automatic Rollover (NPFA)</b>		If you do not complete the necessary procedures within 6 months of losing your participant eligibility in the corporate-type DC, your assets may be transferred to the National Pension Fund Association (NPFA). If your assets have been automatically transferred, please select "3. Automatic Rollover". Record keeper: Designated plan administrator (managed by JIS&T)	
If you select Corporate-type DC, please fill in the right column as well.		Company Name Date of losing participant	年 月 日 ※Leave it blank if unknown.
		8 8 0 0 0 0 0	

## Notes on submitting a rollover request

- The rollover procedures will start on or after the date of acquiring participant eligibility for the corporate-type DC offered by the new employer. It takes about 2 to 3 months to complete rollover procedures. However, if there are procedures that have not been completed in the former pension plan, it may take more time. After receiving rollover assets, we will send a "Rollover Completion Notice for Defined Contribution Pension Plan" to your registered address.
- Please designate allocation ratios for rollover assets on the AnswerNet, etc. by the day before the date of receiving such assets. For information on how to designate allocation ratios for rollover assets and the handling in case that allocation ratios are not designated, please refer to the "Procedure Guidebook" contained in the Defined Contribution Pension Plan Starter Kit.

(Be sure to check the reverse side as well.)

## Notes on the transfer request (continued from front page)

- If the former pension plan is an individual-type DC (iDeCo) and you are a participant who makes contributions to iDeCo, you are required to take necessary procedures to terminate your participant eligibility for iDeCo with your plan administrator of iDeCo. Please note that the rollover procedures will not begin until the loss of participant eligibility is completed. If you are an investment instructor in iDeCo without making contributions, you are not required to take the procedures. (Note) If you want to continue to make contributions to iDeCo after transferring your assets, you are not required to take procedures to terminate your participant eligibility. Please inform your plan administrator of iDeCo that you want to continue your contributions.
- Once the "Request to Rollover DC Asset Balance to New Corporate DC Plan" form is received by our company, we will begin the transfer process.  
Depending on the timing of the receipt, iDeCo contributions may be suspended before the submission of the "Notification of Loss of Participant Eligibility" form. Please be aware of this beforehand.
- If the former pension plan is a corporate-type DC and the necessary procedures for rollover, etc. are not completed by the deadline, pension assets may be automatically transferred to the National Pension Fund Association (automatic rollover). An automatic rollover is disadvantageous in various ways (e.g. additional fees are incurred). Please complete the procedures as soon as possible.  
※In accordance with the Defined Contribution Pension Plan Act, a record keeper of your former DC plan will check with all the other record keepers if there is another account available for your assets. If there is an account available, your assets may be transferred to that account without your request.
- Please note that we will not be able to proceed with the rollover procedures if the information provided on this form is incorrect or if the information registered with us differs from the one registered in the former pension plan. To correct the registered information of the former pension plan, please see below. In the case of a corporate-type DC: Please contact the record keeper of the former pension plan. In the case of an individual-type DC (iDeCo): Please contact your iDeCo plan administrator. In the case of automatic rollover: Please contact the call center for automatic rollover. (TEL: 03-5958-3736)
- In case that the funds are returned to the company according to the DC plan document of your former pension plan or if there are no individual assets due to rollover fees, etc., only the participation records will be transferred. (The participation records will be added to the total participation period required for benefit eligibility.)
- This "Request to Rollover DC Asset Balance to New Corporate-type DC Plan" is used to transfer your assets in corporate-type and/or individual-type DC pension plan(s) or assets which have been automatically rolled over to the National Pension Fund Association to another corporate-type DC pension plan. Please note that this is not to be used for transferring your assets in Employees' Pension Fund and/or defined benefit pension plan.
- If you want to transfer your assets from both a corporate-type DC and an individual-type DC (iDeCo), please submit two copies of this form.

## Policy for Handling Personal Information

Sompo Japan DC Securities will use personal information provided in this form for the purpose of rolling over personal assets of Defined Contribution Pension and will provide information such as names and addresses to the record keeper. Our company may consign the handling of personal information within the scope required for the above purpose. Please note that our company will not be able to roll over your assets if you leave any required field blank.

### <Contact Information>

Sompo Japan DC Securities  
Customer Service Department AnswerCenter (Manager of Personal Information)  
Inquiry form : <https://www.sjdc.co.jp/ja/formprivacy/>

### <Personal Information Protection Administrator>

Managing Director, Chief Privacy Officer

## Applications should be submitted by post to the address below

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

\*If you need a copy for yourself, please make a copy before submission.

Please print out the address label (postage paid by us) from the URL "Address label when returning in a regular envelope" below.

URL : [https://www.sjdc.co.jp/corp/starterkit\\_en/#3](https://www.sjdc.co.jp/corp/starterkit_en/#3)

Click here from your smart phone→



To contact the Answer Center,  
please use the dedicated contact  
form.



SOMPO JAPAN DC SECURITIES  
**AnswerCenter**



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