

## ADVISOR ONLINE SUBMISSION FORM

Address Change, Investment Change, Reallocate Balance,  
Rebalance Account, Fund to Fund Transfer

### INFORMATION AND INSTRUCTIONS



As used on this form, the term "Voya," "Company," "we," "us" or "our" refer to VRIAC or VIPS as your plan's funding agent and/or administrative services provider. Contact us for more information.

#### FORM OVERVIEW

Form contains multiple sections to allow TEM Non-ERISA plan participants to complete/submit one form to their Voya Financial Advisors, Inc. retirement accounts advisor for online processing. Participant must sign each section as completed. This form is a one time authorization for the transaction(s) noted. Any future requests will require a new form to be completed, signed and submitted. The following requests can be fulfilled using this form: Address Change, Investment Election Change, Reallocation (onetime), Rebalance (scheduled) and Fund to Fund Transfer.

#### GOOD ORDER

Request is considered in good order when all required information on the form has been accurately completed and your advisor successfully enters the transaction into the system for processing. If we determine the request is not received in good order, it may be returned to you for correction and re-submission.

#### EFFECTIVE DATE(S)

- The Investment Election Change and/or Fund to Fund Transfer effective date will be the valuation date when the form has been found in good order.
- For purposes of calculating the fund to fund transfer amount, the value of the individual account will be determined after the close of business of the New York Stock Exchange on the valuation date we receive the Fund to Fund Transfer request in good order. A valuation date is any normal business day, Monday through Friday, that the New York Stock Exchange is open.
- All requests for new, change or cancellation of existing rebalance programs will become effective within seven (7) days of receipt in good order.
- The account will be rebalanced as indicated in the Rebalance Section below on that date, which will become the effective date of your program. Rebalancing will not be scheduled to occur on the 28th -31st of any month. Future rebalancing activity will occur from that date forward, based on the frequency selected. If the rebalancing effective date falls on a non-business day, the transaction will occur on the next business day using that day's prices.

#### EXCESSIVE TRADING POLICY

- Voya will monitor transfer activity and will restrict transfers that constitute Excessive Trading. Voya's definition of Excessive Trading (effective 10/16/07) is based on a "round trip", defined as a Buy and Sell of the same fund. A violation occurs upon the completion of either two round trips within 60 calendar days or six round trips within a rolling 12 months. We may modify our general standard or the standard set as it may apply to a particular fund, at any time without prior notice, depending on, among other factors, the needs of the underlying fund(s), the best interests of contract owners, participants, and fund investors, and/or state or federal regulatory requirements. Please refer to your contract prospectus, prospectus summary, or disclosure book for further information on the Voya Excessive Trading Policy. A copy of this policy can also be found on the Internet at [www.voyaretirementplans.com](http://www.voyaretirementplans.com).
- Voya reserves the right to cancel a Rebalancing Program at any time without prior notice, including, but not limited to, as a result of any excessive trading restrictions imposed by Voya or a Fund Company.

#### AVAILABLE INVESTMENT OPTIONS

- Transfers or withdrawals from the Voya Fixed Account, the Voya Fixed Account-457/401, the Voya Fixed Plus Account, the Voya Fixed Plus Account II or the Guaranteed Accumulation Account may be subject to restrictions or market value adjustments. Please see the contract prospectus, prospectus summary or information booklet, or call 800-584-6001 for more details.
- For more information about the available investment options and their fund codes, please refer to your latest Voya statement or visit our Web site at [www.voyaretirementplans.com](http://www.voyaretirementplans.com). Additional information about the investment options is also provided in the contract prospectus or prospectus summary, applicable fund prospectus(es), disclosure booklets, fund fact sheets and fund performance reports.

#### INVESTMENT ELECTION CHANGE

- If you request a change to your investment elections and have a scheduled rebalance setup on your account, the scheduled rebalance will be cancelled. You can setup a new rebalance schedule following the investment election change.

**PLEASE KEEP A COPY FOR YOUR RECORDS.**

Instructions

Order #178539 11/15/2017  
TM: XXXXXXXXXX

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Rebalance Account, Fund to Fund Transfer



## INSTRUCTIONS

1. Complete and sign the applicable form section to coordinate with your request(s).
2. Return Pages 1 and 2 to your Advisor.

By signing each requested transaction below, you acknowledge that your assigned Advisor will be submitting the requested transaction(s) online for processing.

## PARTICIPANT INFORMATION *(Participant information will be applicable to all sections within this form. Please print the information clearly.)*

Plan # \_\_\_\_\_ Plan Name \_\_\_\_\_

Employee Name \_\_\_\_\_ SSN \_\_\_\_\_ Date of Birth \_\_\_\_\_

Street Address *(Street and PO Box if applicable)* \_\_\_\_\_

City/Town \_\_\_\_\_ State \_\_\_\_\_ ZIP \_\_\_\_\_

Work Phone \_\_\_\_\_ Home Phone \_\_\_\_\_

Check here and sign below if you would like to update your address of record with the information entered above.

➔ Participant Signature \_\_\_\_\_ Date *(mm/dd/yyyy)* \_\_\_\_\_

## CHANGE INVESTMENT ELECTIONS

Change my **Investment Elections** as noted below:

| Fund Code | Percent | Fund Code | Percent | Fund Code    | Percent     |
|-----------|---------|-----------|---------|--------------|-------------|
|           | %       |           | %       |              | %           |
|           | %       |           | %       |              | %           |
|           | %       |           | %       |              | %           |
|           |         |           |         | <b>Total</b> | <b>100%</b> |

Check here if you would like to **Reallocate** your account *(one time rebalance)* based on the fund elections entered above.

➔ Participant Signature \_\_\_\_\_ Date *(mm/dd/yyyy)* \_\_\_\_\_

## REALLOCATE BALANCE *(One time rebalance)*

**Reallocate** the balance of my account *(one time rebalance)* as noted below:

| Fund Code | Percent | Fund Code | Percent | Fund Code    | Percent     |
|-----------|---------|-----------|---------|--------------|-------------|
|           | %       |           | %       |              | %           |
|           | %       |           | %       |              | %           |
|           | %       |           | %       |              | %           |
|           |         |           |         | <b>Total</b> | <b>100%</b> |

➔ Participant Signature \_\_\_\_\_ Date *(mm/dd/yyyy)* \_\_\_\_\_

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**REBALANCE ACCOUNT** *(Scheduled)*

Create a **Scheduled Rebalance** option on my account.

Elect Scheduled Rebalance Frequency     Annually     Semi-Annually     Quarterly

Note: Annual rebalance frequency will begin one year from date entered. Semi-annual frequency will begin 6 months from date entered. Quarterly frequency will begin 3 months from date entered.

Scheduled rebalance will not allowed if current investment election includes GAA fund. Scheduled rebalance will be allowed if the GAA fund has a balance, but GAA fund will be excluded from the scheduled rebalance.

Cancel an existing **Scheduled Rebalance** election on my account.

➔ Participant Signature \_\_\_\_\_ Date (mm/dd/yyyy) \_\_\_\_\_

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**FUND TO FUND TRANSFER**

Process a **Fund to Fund Transfer** within my account as noted below:

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| Fund Code | From | Fund Code    | To          |
|-----------|------|--------------|-------------|
|           | %    |              | %           |
|           | %    |              | %           |
|           | %    |              | %           |
|           | %    |              | %           |
|           | %    |              | %           |
|           | %    |              | %           |
|           | %    |              | %           |
|           | %    |              | %           |
|           | %    |              | %           |
|           |      | <b>Total</b> | <b>100%</b> |

➔ Participant Signature \_\_\_\_\_ Date (mm/dd/yyyy) \_\_\_\_\_