



The Kentucky Public Employees'
Deferred Compensation Authority

101 Sea Hero Road, Suite 110
Frankfort, KY 40601
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Participation Agreement
457 and 401(k) Pre-Tax Plans

Please print. Use only blue or black ink. Complete all items except the shaded areas designated for Authority use. Sign and date the bottom of the form and return the top two copies to our office for processing.

I. Personal Identification Data:

1. NAME: (Last) (First) (M.I.) 2. Date of Birth: 3. SS #:
4. Mailing address: (Street, P.O. Box, etc) New address? Yes [ ] 5. City: 6. State: 7. Zip Code:
8. Home or cell phone #: 9. Work phone #: 10. E-mail:
11. Name of your Employer: 12. County of Employer: 13. Current hire date: 14. # of Pay periods per year:
15. Select only one (1) method of deferral: (A) Percent of salary (B) Dollar amount per pay
Percentage of salary is NOT offered by all employers (Approved employers only) \$ per pay period (Minimum \$30 per Month) (For Authority use)

II. Selection of Investment Options: I understand that with Mutual Funds there is no guarantee of principal. Also, no assurance can be provided that the objective of any Mutual Fund will be attained or will not change, as there is some uncertainty in every investment.

17. Please select your option(s) below: Enter the percent of your contribution amount that you choose to have invested in each fund(s). Percentages must total 100%. If you are deferring into both the 457 and 401(k) Plan, the combined total must equal 100%.

Table with columns for 457 % and 401(k) % and rows for various investment options like Fixed Contract - 3, Allianz NFJ Dividend Value Instl., American Century Small Cap Value Inst, etc.

^ Balances in the Fixed Contract-3 are restricted from being moved directly into Federated Prime Obligations MM or Federated US Govt. Securities Fund.
\* These funds are designated as restricted funds and thereby limited to four (4) trades (purchases or sales) per rolling 30-day period per restricted fund. Failure to adhere to these limits may result in additional trading restrictions.
\*\* These funds impose a Purchase Block.
\*\*\* This fund is currently subject to a 2% redemption fee on assets held less than 30 days.

III. Authorization of Participation:

By my signature below, I hereby acknowledge that I have received, read and understand the Plan Summary/Highlights Brochure and any applicable product Disclosure Statement(s), and Prospectus (es); and that the provisions and fees of the Plan(s) including the account non-activity fee (\$6) have been explained to me. I understand that a copy of the Plan Agreement(s) is available from my employer or from the Authority upon my request. I further understand that the Plan and the above named documents are specifically incorporated herein by reference. I hereby agree to be bound by the terms of the Plans and designate my Beneficiary (ies) as listed separately on the Beneficiary Designation Form or Plan default absent Participant instruction. I understand that the initial Agreement and any Amendment or Termination of my Participation Agreement may be effective only as of the first pay day administratively practicable, occurring in the next calendar month following the date of acceptance by the Authority. I understand the Internal Revenue Code provides that neither Plan may be used as a temporary, short-term savings account; therefore, I cannot withdraw deposits merely upon my request. Please initial I Acknowledge that I have read this statement.

IV. Authorization for Payroll Deduction

Employee Name (print) SS#
I hereby authorize my employer to make the following payroll deduction effective with the pay date of (Authority will fill in date)
The new reduction amount shall be (A) % (percentage of salary available only to approved employers) (For Authority use)
or (B) \$ per paycheck

PAY FREQ. PAYER
B M O



This represents: [ ] NEW ENROLLMENT [ ] AMENDMENT

Deductions are made without regard to any future changes in taxes; no partial deductions or "carry-overs" to future pay periods will be made. This deduction will continue until changed in accordance with Plan(s) procedures. A participant can change payroll deductions only by filing an official amended "Participation Agreement" form with the Authority.

It is your responsibility to ensure you do not make excess contributions to the 401(k) or 457 Plan. (For Authority use)

18. Participating employee's signature 19. Date signed 20. Accepted by: Authority Rep