



# Enrollment Form

## Sheet Metal Workers Local 36 401(k) Plan

**Instructions** Please print using blue or black ink. **Note:** You should use this form if you are enrolling in the plan for the first time. Keep a copy of this form for your records and return the original to your Benefits/Human Resources Office.

**Questions?**  
Call 1-800-562-8838  
for assistance.

Attention: Benefits/Human Resources Office - Please fax or send completed form to Prudential.

**About You**

Plan number  
3 | 0 | 0 | 3 | 1 | 1

\_\_\_\_\_

Social Security number

Daytime telephone number

\_\_\_\_\_-\_\_\_\_\_-\_\_\_\_\_  
area code

First name \_\_\_\_\_ MI \_\_\_\_\_ Last name \_\_\_\_\_

Address  
\_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ ZIP code \_\_\_\_\_

Date of birth \_\_\_\_\_ Gender \_\_\_\_\_ Original date employed \_\_\_\_\_

\_\_\_\_ month \_\_\_\_ day \_\_\_\_ year \_\_\_\_\_ M \_\_\_\_\_ F \_\_\_\_\_ month \_\_\_\_ day \_\_\_\_ year

Date of rehire (To be completed by your Plan Representative, if applicable) \_\_\_\_\_ Marital status  
 Married  Not married

**Investment Allocation**

Fill out Option I, Option II or Option III. **Please complete only one option.**

**(Please fill out Option I, Option II, or Option III. Do not fill out more than one option.)**

By completion of Option I or Option II you enroll in GoalMaker, Prudential's asset allocation program, and you direct Prudential to invest your contribution(s) according to a GoalMaker model portfolio that is based on your risk tolerance and time horizon. You can also direct Prudential to automatically rebalance your account quarterly according to the model portfolio chosen. Enrollment in GoalMaker can be canceled at anytime.

Please refer to the Retirement Workbook for more information on rebalancing and age adjustment.

Option I or Option II must be completed accurately, otherwise your investment allocation will be placed in GoalMaker with age adjustment.

Option III must be completed accurately and received by Prudential **before** assets are accepted; otherwise, contributions will be placed in the default investment option selected by your plan. Upon receipt of your completed enrollment form, **all future** contributions will be allocated according to your investment selection. You must contact Prudential to transfer any **existing** funds from the default option.

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**Investment Allocation**  
(continued)

*(Please fill out Option I, Option II, or Option III. Do not fill out more than one option.)*

**Option I - Choose GoalMaker with Age Adjustment**

By selecting your risk tolerance, and confirming your expected retirement age below, your contributions will be automatically invested in a GoalMaker model portfolio that is based on your risk tolerance and years left until retirement. You also confirm your participation in GoalMaker's age adjustment feature, which adjusts your allocations over time based on your years left until retirement.

Select Your Risk Tolerance     Conservative     Moderate     Aggressive

**Confirm Your Expected Retirement Age**

Expected Retirement Age:

Yes. Please use the default Expected Retirement Age listed above

No. Please use   as my expected retirement age.

**OR**

**Option II - Choose GoalMaker without Age Adjustment**

I do not want to take advantage of GoalMaker's age adjustment feature. Please invest my contributions according to the model portfolios selected below.

Time Horizon (years until retirement)	GoalMaker Model Portfolio (check one box only)		
	Conservative	Moderate	Aggressive
0 to 5 Years	<input type="checkbox"/> C01	<input type="checkbox"/> M01	<input type="checkbox"/> R01
6 to 10 Years	<input type="checkbox"/> C02	<input type="checkbox"/> M02	<input type="checkbox"/> R02
11 to 15 Years	<input type="checkbox"/> C03	<input type="checkbox"/> M03	<input type="checkbox"/> R03
16 + Years	<input type="checkbox"/> C04	<input type="checkbox"/> M04	<input type="checkbox"/> R04

**OR**

**Option III - Design your own investment allocation**

If you would like to design your own asset allocation instead of selecting GoalMaker, designate the percentage of your contribution to be invested in each of the available investment options. (Please use whole percentages. The column(s) must total 100%.)

I wish to allocate my contributions to the Plan as follows:

Percent Allocated	Codes	Investment Options
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> %	DC	Stable Value Fund
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> %	7G	Core Bond Enhanced Index/PIM Fund
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> %	B0	Core Plus Bond/PIMCO Fund
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> %	Z1	Prudential TIPS Enhanced Index Fund
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> %	TU	Invesco Equity and Income Fund A
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> %	J5	Fundamental Investors
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> %	BG	Large Cap Growth / American Century
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> %	BL	Large Cap Value/Barrow Hanley
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> %	EZ	Prudential Jennison Blend Fund Class Z
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> %	KA	Prudential Stock Index Fund Class Z
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> %	EB	Prudential Jennison Mid Cap Growth Class Z
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> %	3A	Victory Established Value A
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> %	E5	Prudential Jennison Small Company Fund Class Z
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> %	VN	Small Cap Value/Integrity Fund

Social Security Number \_\_\_\_\_

\_\_\_\_\_% P5 American Funds EuroPacific Growth Fund R4  
\_\_\_\_\_% ZP Columbia Acorn International Z  
\_\_\_\_\_% 25 SA/Templeton Foreign Strategy  
**1 0 0** % **Total**

The investment allocation selected above will apply to both your 401(k) contribution and your union negotiated contribution

**Your  
Authorization**

I certify that the information above is accurate and complete. If I have chosen to contribute to the Plan, I give my employer permission to contribute a portion of my salary to the Plan according to the instructions above.

Signature  X  Date     |    |    

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Social Security Number \_\_\_\_\_