

**TAX-DEFERRED RETIREMENT PLAN  
PRIOR SERVICE CREDIT REQUIREMENTS  
EMPLOYEE CERTIFICATION**

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Faculty and staff who meet the requirements described below will receive service credit under the University of Pennsylvania Tax-Deferred Retirement Plan ("TDR") for certain periods of service with a prior employer. To receive credit for this prior service, an employee must:

- Be hired from a "qualified" institution that is eligible to maintain an Internal Revenue Code Section 403(b) Plan\*. "Qualified" institutions include colleges, universities, and certain other organizations eligible to sponsor a 403(b) plan;
- Be hired by the University directly from the qualified institution with no intervening period of employment with another employer;
- Have been employed in a position with the qualified institution that was covered under the institution's 403(b) plan\*; and
- Have been employed in such position for at least a year.

*\* When an employee transfers from a qualified institution that did not sponsor a 403(b) plan or a foreign employer that is not eligible to sponsor a 403(b) plan, the TDR's Plan Administrator will evaluate the individual circumstances to determine whether the employee satisfies the above requirements to receive prior service credit under the TDR.*

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\_\_\_\_\_  
Employee Name (please print)

\_\_\_\_\_  
Penn ID

\_\_\_\_\_  
Daytime Phone Number

\_\_\_\_\_  
Email Address

In order for the Plan Administrator to determine whether you are eligible to receive prior service credit under the TDR, please provide the following information:

1. The name and address of your previous employer:

\_\_\_\_\_  
\_\_\_\_\_

2. The name of your position at your prior employer:

\_\_\_\_\_

3. The date your position with your prior employer started \_\_\_\_\_ and the date when it ended \_\_\_\_\_ for a total period of service of \_\_\_\_\_ years and \_\_\_\_\_ months.

4. A copy of a certification of employment from your previous employer.

If the Plan Administrator determines that you should be credited with prior service under the TDR, you will be eligible to receive University contributions under the TDR immediately. If you do not receive credit for your prior service, however, you will not receive University contributions under the TDR until you complete a year of service with the University. **KEEP IN MIND THAT NO EMPLOYEE WILL RECEIVE PRIOR SERVICE CREDIT UNDER THE TDR UNTIL THE PLAN ADMINISTRATOR HAS DETERMINED THAT THE EMPLOYEE SATISFIES THE APPLICABLE REQUIREMENTS.**

**EMPLOYEE CERTIFICATION**

I certify that the information provided on this form is true, correct, and complete. I further understand that any falsification of information may lead to disciplinary action that may include termination of employment from the University.

\_\_\_\_\_  
Employee Signature

\_\_\_\_\_  
Date