



**ELEVATOR CONSTRUCTORS ANNUITY AND 401(k) RETIREMENT PLAN**  
**Pretax 401(k) and After-Tax Roth Contribution Enrollment/Deferral Change Form**

**INSTRUCTIONS**

- ✓ Unless your employer provides you with its own Enrollment/401(k) and Roth Change Form, use this form to notify your employer to: (a) **start** your 401(k) deferrals and/or Roth contributions, (b) **change** your 401(k) and/or Roth contribution rate, or (c) **suspend** your 401(k) deferrals and/or Roth contributions. Your employer will use this form to update payroll.
- ✓ By electing to make pretax 401(k) and/or after-tax Roth contributions to the Plan, you are authorizing your employer to withhold those contributions from your pay.
- ✓ If you want to start, change, or suspend pretax 401(k) deferrals, you must complete Parts A and B of this Form.
- ✓ If you want to start, change, or suspend after-tax Roth Contributions, you must complete Parts A and C of this Form.
- ✓ If you want to start, change, or suspend pretax 401(k) deferrals and after-tax Roth Contributions, you must complete Parts A, B, and C of this Form.
- ✓ If you wish make Catch-Up Contributions, you must complete Parts A and D of this Form. If you also wish to start making or wish to change your pretax 401(k) deferral rate and/or your after-tax Roth Contribution rate, you must also complete Part A and/or Part B.
- ✓ Remember to sign and date this form and return it to your employer.

**A. GENERAL INFORMATION**

Employee's Name: \_\_\_\_\_ Employer: \_\_\_\_\_  
 Local Number: \_\_\_\_\_ Employee's SSN: \_\_\_\_/\_\_\_\_/\_\_\_\_ Phone No.: (\_\_\_\_) \_\_\_\_\_ Email: \_\_\_\_\_  
 Employee's Address: \_\_\_\_\_  
 Employee's Birthdate: \_\_\_\_/\_\_\_\_/\_\_\_\_ Hire Date with Employer: \_\_\_\_/\_\_\_\_/\_\_\_\_

**B. START, CHANGE, OR SUSPEND PRETAX 401(k) DEFERRAL**

Please check only one box and provide requested information where indicated.

- START (or Restart) 401(k) Deferrals:** I want to start (or restart) making pretax 401(k) deferrals at the rate of \_\_\_\_% or \$\_\_\_\_, per pay period. I understand this election will become effective coincident with the first payroll of the following month.
- CHANGE 401(k) Deferrals:** I want to change my rate of pretax 401(k) deferrals to \_\_\_\_% or \$\_\_\_\_, per pay period. Please execute this request as soon as administratively possible.
- SUSPEND 401(k) Deferrals:** I want to **cease** making pretax 401(k) deferrals to the Plan. Please execute this request as soon as administratively possible.

(Note: Participants employed by Otis may only make percentage (%) elections.)

**C. START, CHANGE, OR SUSPEND AFTER-TAX ROTH CONTRIBUTIONS**

Please check only one box and provide requested information where indicated.

- START (or Restart) Roth Contributions:** I want to start (or restart) making after-tax Roth Contributions at the rate of \_\_\_\_% or \$\_\_\_\_, per pay period. I understand this election will become effective coincident with the first payroll of the following month.
- CHANGE Roth Contributions:** I want to change my rate of after-tax Roth Contributions to \_\_\_\_% or \$\_\_\_\_, per pay period. Please execute this request as soon as administratively possible.
- SUSPEND Roth Contributions:** I want to **cease** making after-tax Roth Contributions to the Plan. Please execute this request as soon as administratively possible.

(Note: Participants employed by Otis may only make percentage (%) elections.)

**D. CATCH-UP CONTRIBUTIONS**

Generally, the sum of your pretax 401(k) deferrals and/or after-tax Roth Contributions may not exceed the "applicable dollar amount" as established by the IRS in a calendar year. If the sum of your pretax 401(k) deferrals and after-tax Roth Contributions reach the IRS's applicable dollar limit during the calendar year, your employer will cease making pretax 401(k) deferrals and/or after-tax Roth Contributions for the remainder of the calendar year. However, if you attain **age 50** or older by the end of the calendar year, you may make **Catch-Up Contributions** until you reach the IRS's applicable dollar amount for Catch-Up Contributions. If you are age 50 or older by the end of the calendar year and wish to make Catch-Up Contributions to the Plan if and when you reach the IRS' applicable dollar limit, please check the box below:

- YES**, I will be age 50 or older in the calendar year and I wish to make Catch-Up Contributions when and if the sum of my pretax 401(k) deferrals and after-tax Roth Contributions reach the IRS applicable dollar limit. (Your Catch-Up Contributions will be made at the same rate(s)).

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