

Solo 401(k) Direct Rollover Form

IMPORTANT INFORMATION

This form is to be completed by the Custodial 401(k) Account Owner who wishes to rollover all or a portion of his or her cash and/or assets from an existing Traditional IRA, SEP IRA, Conduit IRA or SIMPLE IRA.

If you will be transferring an existing Solo 401(k) Retirement Plan of the same name, please use the **Solo 401(k) Transfer Request-Cash/Assets Form**.

Employer Plan Rollovers - All 401(k), 403(b), 457 and TSP Plan rollovers must be initiated by contacting the current Plan Administrator or Custodian and completing their rollover form. They will not accept this 3rd party request form.

A minimum cash balance of \$500 is only required on accounts who have chosen to have fees deducted from the available cash balance in the account.

Expedited Processing Options

If no option is selected, Directed IRA will send out this request as normal (within 3 business days). Please Note: If an Expedited Processing Option is selected, this will not guarantee expedited processing on the end of your current Financial Institution.

☐ Next-Day Service (\$150) - Must be received by 4pm MTN ☐ Same-Day Service (\$250) - Must be received by 10am MTN

1. Account Owner Information

First Name: _____ MI: _____ Last Name: _____

Last 4 of SSN: _____ Date of Birth: _____ Phone Number: _____

Directed Trust Company Account Number (if known): _____

2. Account to Rollover

****Please provide a copy of the most recent Account Statement from your current Custodian/Administrator. Account Statement must show:** the financial institution's name, recent date (within 6 months), account registration (full name), account type, account number, and cash value.

Custodian/Administrator Name: _____ Account Number: _____

Address: _____ Phone Number: _____

City: _____ State/Province: _____ Zip Code: _____

Account Type: (Select one)

- ☐ Individual Retirement Account (IRA) - Traditional IRA, Conduit IRA, SEP, or SIMPLE IRA if you participated in the SIMPLE IRA for at least 2 years. Roth IRAs and Non-deductible contributions cannot be rolled over to a Solo 401(k).

**After Tax deferrals will be deposited into your Traditional Solo 401(k) Account*

3. Direct Rollover

You MUST provide your financial institution with appropriate Liquidation Instructions prior to submitting this form to Directed Trust Company.

Select one:

☒ **Please accept this request as your authorization to liquidate my account and rollover my funds to the receiving Solo 401(k) Account as indicated below.**

☐ **Full Liquidation and Rollover:** Rollover the entire cash balance to receiving Solo 401(k) Account.

Approximate Cash Rollover Amount: \$ _____

☐ **Partial Liquidation and Rollover:** Rollover only the cash amount indicated below to receiving Solo 401(k) Account.

Cash Rollover Amount: \$ _____

Non-cash assets to be Rolled Over In Kind

Asset Name, No. of Units/Share and Value MUST be listed below.

Asset Name (e.g. LLC, LP, Etc.)	No. of Units/Shares	Value (in \$ amount)

***Asset in-kind transfer fees will apply, please see the fee schedule for details.*

Investment Sponsor Information for Third-Party Managed Assets

Company Name: _____ Contact Name: _____

Address: _____ City: _____ State: _____ Zip: _____

Phone: _____ Fax: _____ Email: _____

***Rolling over Real Estate and Assets secured by Real Estate**

If you are rolling over Real Estate or Assets secured by Real Estate, you will be required to draft a deed transferring title of the property to **"Directed Trust Company FBO (Client Name)(Account Type)"**. Please contact your financial institution if they will require you to provide them with such a deed. If so, please have a deed prepared to send with your Rollover Request form. You may contact an attorney or real estate professional to assist you with drafting a deed.

*Please note that the deed will have to be signed by an Authorized Signer at the financial institution currently holding title to the property in order to release it to Directed Trust Company (or you if you are the Trustee and your plan is self-managed). The deed will have to be recorded in the appropriate county in which the property is located, and you must provide Directed Trust Company with the recorded deed as evidence of the transfer of title.

***Rolling over LLC/LP Interests (e.g. IRA/LLC)**

If you are rolling over an interest in an IRA owned LLC to Directed Trust Company, you (as Trustee) or your current/transferring custodian will need to sign a Membership Transfer/Assignment transferring the LLC interest to your Directed Trust Company account. It will need to state the units/shares of interest as well as the Market Value of the LLC interest.

If you are rolling over an interest in an LLC/LP, you will need to have the Manager/General Partner of the LLC/LP update the membership records for the LLC/LP to reflect the change of account custodian to Directed Trust Company.

4. Delivery Instructions for Current Custodian

Please indicate below how your IRA Custodian will deliver your funds to Directed Trust Company.

<p><input type="radio"/> Check via Regular Mail Pay to: Directed Trust Company Memo: (Client's Name & Account Number) 3033 N. Central Ave, Suite 415 Phoenix, AZ 85012</p> <p><input type="radio"/> Check via Overnight</p> <p><i>Funds received via check, will not be available in your account at Directed IRA until they have cleared, which will take three to five business days.</i></p>	<p><input type="radio"/> Incoming Wire Bank: Wells Fargo Bank, N.A. Routing # 121000248 Account #: 8450721009 For Credit To: Client's Name & Account Type</p>
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5. Rollover Request Submission

How would you like Directed Trust Company to submit this Rollover Request to your current IRA custodian? Please verify with your Custodian how they prefer to receive Rollover Requests. Verify the email, fax number or department for outgoing Transfers.

<p><input type="radio"/> Option A: Submit via <input type="radio"/> Email or <input type="radio"/> Fax</p> <p>Email Address: _____</p> <p>Fax Number: _____</p> <p>Attn. Name/Dept.: _____</p>	<p><input type="radio"/> Option B: Submit via Mail (via address provided in Section 2 above)</p> <p><input type="radio"/> Regular Mail (7-10 business days)</p> <p><input type="radio"/> Priority Mail (\$15.00) (2-3 business days)</p> <p><input type="radio"/> Overnight Mail (\$35.00) *Cannot be a P.O. Box</p>
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6. Account Owner's Signature Required

I hereby agree to indemnify and hold harmless Directed Trust Company and its officers, directors, shareholders, agents, employees and Directed Trust's related entities for any and all costs, obligations, losses, claims damages and expenses (including reasonable attorneys' fees) related to or associated with this agreement.

- I. I hereby agree to the terms and conditions set forth in this Rollover Request and acknowledge having established an account with Directed Trust Company.
- II. I understand the rules and conditions applicable to an account rollover. I understand that it is my responsibility to contact my current financial institution to determine whether a Medallion Stamp Guarantee is required. If a Medallion Stamp Guarantee is required, it is my responsibility to take this Form to my bank or credit union for a Medallion Stamp Guarantee. (Failure to obtain a Medallion Stamp Guarantee could result in delays and/or rejection of this request by my current financial institution.)
- III. I understand that it is my responsibility to contact my current financial institution to confirm the account liquidation requirements. I understand that my current financial institution may require a separate liquidation authorization.
- IV. I qualify for the account rollover of assets listed in the Rollover Options section and authorize such transactions.
- v. I understand that Directed Trust Company does not have the authority to agree to anything different than my foregoing understandings of Directed Trust Company policy.



Account Owner Signature

Date

7. Medallion Stamp Guarantee *(if applicable)*

An original Medallion Stamp Guarantee may be required:

- Please check with your current financial institution to see if they require a Medallion Stamp to complete your outgoing transfer.

ALL DOCUMENTS WITH MEDALLION SIGNATURE GUARANTEE STAMPS MUST BE MAILED TO DIRECTED IRA AND WILL NOT BE ACCEPTED VIA FAX OR EMAIL.

Signer Name (Printed): _____

Signer Phone Number: _____

[MEDALLION GUARANTEE STAMP HERE]

PLEASE NOTE: ALL DOCUMENTS WITH MEDALLION STAMP GUARANTEES MUST BE MAILED TO DIRECTED IRA AND WILL NOT BE ACCEPTED VIA FAX OR EMAIL.

8. Employer Plan Acceptance

The Plan Trustee hereby appoints Directed Trust Company as successor custodian and authorizes Directed Trust Company to accept the funds and/or assets from the current custodian identified in Section 2 and to deposit them into a qualified retirement plan on behalf of the Account Owner identified above in accordance with the applicable provisions of the Internal Revenue Service Code.



Plan Trustee Signature

Date

9. Directed Trust Company Acceptance (to be completed by Directed IRA)

Directed Trust Company as Successor Custodian, hereby agrees to accept the funds and/or assets from the current custodian identified in Section 2 and will deposit them into a qualified retirement plan on behalf of the Account Owner identified above in accordance with the applicable provisions of the Internal Revenue Service Code.

An authorized signature certifies acceptance of this transfer or rollover.



Authorized Officer Signature

Date

Directed IRA Account No.: _____

Account Type: _____

INVESTMENTS: NOT FDIC INSURED • NO GUARANTEE • MAY LOSE VALUE

Secure File Upload

www.directedira.com/secureupload

Email Forms to:

Transfers@directedira.com

Send Mail to:

3033 N. Central Ave. Ste. 415
Phoenix, AZ 85012

Phone: (602) 899-9396

Fax: (602) 899-9641

Directed IRA is a tradename of Directed Trust Company, an Arizona Corporation