



Transfer Request- In-kind Assets/Cash

IMPORTANT INFORMATION

This form is to be completed by an IRA Account Owner who wishes to make a transfer of all or a portion of his or her assets in-kind only OR assets in-kind and cash from an existing IRA to Directed Trust Company. If you will be transferring cash only, please use the **Transfer Request –Cash Only form**.

Do you Qualify for a Transfer, Rollover or 60-Day Rollover? What is the difference?

[IRS Retirement Plans FAQs](#)

Direct Rollover – Funds are moved from one type of retirement account to a different type of retirement account. *E.g. 401(k) funds to Traditional IRA*. Payment is made directly to Directed Trust Company from your current custodian. No taxes will be withheld from the rollover amount.

Trustee- to trustee Transfer – Funds are moved from one type of retirement account to the same type of retirement account. *E.g. Traditional IRA to Traditional IRA*. Payment is made directly to Directed Trust Company from your current custodian. No taxes will be withheld from the transfer amount. There is no limit to the number of Transfers made per year.

60-Day Rollover – A distribution is made from a retirement account and is paid directly to you, you can deposit all or a portion of the funds into a retirement plan **within 60 days**. Taxes will be withheld from the distribution made from a retirement account, therefore if you intend to deposit the full distribution amount, you'll have to use other funds to make up the difference. To initiate a 60-Day rollover request, account owner must fill out and submit the 60-Day Rollover Designation Form. Per IRS Rules you are only allowed one (1) 60-Day Rollover per twelve (12) month period.

Roth Conversion – If you intend to convert your Traditional IRA funds to Roth funds after being received by Directed IRA, you must fill out and submit a Roth Conversion form. If the conversion consists of an In-kind Asset a Fair Market Valuation will need to be prepared. See **Fair Market Valuation form**. Consult with your tax or legal advisor regarding tax implications of a Roth Conversion.

*If you are a new account owner with Directed IRA, it is recommended that you transfer at least \$600 more than your intended investment amount so there are sufficient funds to cover the amount of your investment, any fees due, the investment transaction fees and the \$500 minimum account balance requirement. Your investment request will NOT go out if you have insufficient funds in your account to cover fees and our minimum balance requirement.

Do you need Directed IRA to expedite processing of your transfer?

Select an option below. If no option is selected, Directed IRA will process your request as normal (within 3 business days).

- 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: _____

2. Account to Transfer

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

Trustee/Custodian Name: _____ **Account Number:** _____

Address: _____ Phone Number: _____

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

Account to Transfer Continued

Account Type: (Select one)

<input type="checkbox"/> Traditional IRA	<input type="checkbox"/> Roth IRA	<input type="checkbox"/> SEP IRA
<input type="checkbox"/> Coverdell Education Savings Account	<input type="checkbox"/> Health Savings Account	<input type="checkbox"/> Other: _____

3. Cash and In-Kind Asset(s) to Transfer

If you are transferring CASH, you MUST provide your financial institution with appropriate Liquidation Instructions prior to submitting this form to Directed IRA unless your custodian will liquidate your account upon receipt of our request.

Cash

Select one: This is a.....

Please accept this request as your authorization to liquidate my account and transfer as indicated below;

Full Liquidation and Transfer (This will transfer all available cash and close my account)

Please indicate if assets have already been liquidated. Indicate settlement date: _____

Partial Liquidation and Transfer (This account will remain open)

Please indicate if assets have already been liquidated. Indicate settlement date: _____

Approximate Cash Transfer Amount: \$ _____

Asset In-Kind

Transfer ALL assets in-kind** **OR** Transfer ONLY the following assets in-kind**

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

***If you are transferring Real Estate or assets secured by Real Estate, please read information below. Fee may apply.*

Investment Sponsor Information for Third-Party Managed Assets

Company Name: _____ Contact Name: _____

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

Phone: _____ Fax: _____ Email: _____

***Transferring Real Estate and Assets secured by Real Estate**

If you are transferring Real Estate or Assets secured by Real Estate, you will be required to draft a deed transferring or assigning 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 Transfer Request form. You may contact an attorney or real estate professional to assist you with drafting a deed. If your financial institution does not require you to send a prepared deed with your Transfer Authorization, Directed Trust Company will be contacting you to have the deed prepared at a later date.

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. 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.

***Transferring LLC/LP Interests (e.g. IRA/LLC)**

If you are transferring an interest in an IRA owned LLC to Directed Trust Company, 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. You will need to have prepared an amended and restated operating agreement showing your Directed Trust Company account as the new Member/Owner (Directed Trust Company will review and sign the new amended and restated operating agreement).

Other LLC and LP interests typically occur by a Transfer/Assignment Agreement and an update to the company records of the change of ownership (an Amended and Restated Operating Agreement is not required in this instance).

4. Delivery Instructions for Custodian

How you would like your current Custodian to deliver your funds to Directed IRA? If no option is selected, your Custodian will choose for you. Please check with your current Custodian regarding their fees for outgoing check or wire transfers.

<input type="checkbox"/> Check via Regular Mail Directed Trust Company FBO (Clients Name & Account Number) 3033 N Central Ave, Suite 415 Phoenix, AZ 85012	<input type="checkbox"/> Check via Overnight Mail	<input type="checkbox"/> Incoming Wire Wells Fargo Bank, N.A. Routing # 121000248 Acct#: 8450721009 For Credit To: Clients Name & Account Type
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5. Transfer Request Submission.

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

Option A: Submit via **Email or** **Fax**

Email Address: _____

Fax Number: _____

Attn. Name/Dept.: _____

Option B: Submit via Mail

(via address provided in Section 2 above)

Regular Mail (7-10 business days)

Priority Mail (\$15.00) (2-3 business days)

Overnight Mail (\$35.00) *Cannot be a P.O. Box

6. Account Owner's Signature Required

I am aware that I am responsible for the payment of Federal Income Tax on the taxable portion of this surrender and that I may be subject to tax penalties under estimated tax payment rules if my payment of estimated tax and withholdings, if any, are not adequate. I am also aware of any surrender/ withdrawal penalties which may apply, and I authorize the transaction described above.

- I. I hereby agree to the terms and conditions set forth in this Transfer Request and acknowledge having established an account with Directed Trust Company.
- II. I understand the rules and conditions applicable to an account transfer. 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 transfer of assets listed in the Transfer 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

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.
- LPL Financial requires Stamp on all outgoing transfers.
- JP Morgan requires Stamp on outgoing transfers of \$50,000 or more.
- Provident does not require a Stamp if the request is mailed in.
- American Estate & Trust /Udirect requires Stamp for In-Kind Transfers.

[MEDALLION GUARANTEE STAMP HERE]

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: _____

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

An authorized signature certifies acceptance of this transfer or rollover request as Successor Custodian.

Directed IRA Account No.: _____
Account Type: _____



Authorized Officer Signature

Date

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

Email Forms to:
Clients@directedira.com

Send Mail to:
3033 N. Central Ave. Ste. 415
Phoenix, AZ 85012

Fax:
602-899-9641

Questions?
(800) 818-1322
Clients@directedira.com

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