

Transfer Request - In-kind Assets/Cash

IMPORTANT INFORMATION

This form is to be completed by the Account Owner who wishes to transfer 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**.

401(k) Rollover – All 401(k) rollovers must be initiated by contacting the current 401(k) provider. They will not accept this 3rd party request form. You must complete the Directed Trust Company **Employer Plan Rollover Deposit** form found on our website.

Roth Conversion – If you intend to convert your Traditional IRA funds to Roth funds after being received by Directed IRA, you must complete and submit a **Roth Conversion** form. Consult with your tax or legal advisor regarding tax implications of a Roth Conversion.

*Be sure to transfer 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 be processed 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 Type: (Select one)

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

3. Transfer Instructions

If you are transferring cash, you **MUST** provide your financial institution with appropriate Liquidation Instructions prior to submitting this form to Directed IRA.

Select one:

- Full Transfer:** Transfer all assets listed below and transfer the entire cash balance to receiving IRA.

Approximate Cash Transfer Amount: \$ _____

- Partial Transfer:** Transfer only the assets listed below and cash to receiving IRA.

Cash Transfer Amount: \$ _____

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.

Please note that some Custodians do not accept electronic signatures to initiate a transfer out. I understand that if I provide an electronic signature that my Custodian does not accept, that it may delay this request. Electronic signatures on this form must include the electronic signature Certification page or Certification Stamp. If one is not included, we cannot accept this form.

 _____
 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.

Signer Name (Printed): _____

Signer Phone Number: _____


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

[MEDALLION GUARANTEE STAMP HERE]

8. 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	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
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Directed IRA is a tradename of Directed Trust Company, an Arizona Corporation