T: 602.899.9396
www.directedira.com

DIRECTED IRA
by Directed Trust Company

401(k) Direct Rollover/Trustee-to-Trustee Transfer Form

IMPORTANT INFORMATION

This form is to be completed by the Custodial 401(k) Account Owner who wishes to transfer all or a portion of his or her Cash Only assets from an existing IRA or other Retirement Plan to Directed Trust Company. If you will be transferring assets in-kind or assets in-kind and cash, please use the **Transfer Request – Assets In-kind/Cash form.**

*If you are a first-time investor with Directed IRA, it is recommended that you transfer at least $500 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 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 Custodian/Administrator. **Account Statement must show: financial institution name, recent date (within 6 months), account registration (full name), account type, account number, cash value.

Custodian/Administrator Name: _______________ **Account Number:** _______________

Address: _______________ Phone Number: _______________

City: _______________ State/Province: _____________ Zip Code: _______________

Account Type: *(Select one)*

○ Qualified Retirement Plan – 401(k), Profit sharing, Pension or Stock Bonus Plan ☐ Roth After-Tax deferrals are included with this rollover.
○ Individual Retirement Account (IRA) – Conduit IRA, regular IRA, SEP, or SIMPLE IRA if you participated in the SIMPLE IRA for at least 2 years. Non-deductible contributions cannot be rolled over.
○ 403(b) Plan* – Tax deferred annuity maintained under IRS ode Section 403(b) Plan. ☐ This transfer is pursuant to Revenue Ruling 90-24. Only for 403(b) transfers.
○ 457 Plan* - Eligible plan under IRS Code Section 457 maintained by a governmental entity.

*After-tax contributions cannot be rolled over to this plan.

3. Transfer Instructions

You MUST provide your financial institution with appropriate Liquidation Instructions prior to submitting this form to Directed Trust Company, unless your custodian will liquidate your account upon receipt of our request.

Select one:

○ Direct Rollover Option (This Option is for direct rollovers from IRAs or other retirement accounts)

○ Trustee-To-Trustee Option (This option is for transfers between a Qualified Retirement Plan, e.g. 401(k))

✓ **Please accept this request as your authorization to liquidate my account and transfer to the receiving IRA as indicated below;**

○ **Full Liquidation and Transfer:** Transfer the entire cash balance to receiving custodian.

Approximate Cash Transfer Amount: $_______________________

○ **Partial Liquidation and Transfer**: Transfer only the cash amount indicated below to receiving account.

Cash Transfer Amount: $_______________________

4. Delivery Instructions for Current Custodian/Plan Administrator

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.

○ **Check via Regular Mail** ○ **Check via Overnight**	Pay to: Directed Trust Company Memo: (Client's Name & Account Number) 3033 N. Central Ave, Suite 415 Phoenix, AZ 85012	○ **Incoming Wire** Bank: Wells Fargo Bank, N.A. Routing # 121000248 Account #: 8450721009 For Credit To: Client's Name & Account Type

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 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 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 *(Electronic or Digital Signatures cannot be accepted)* 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.

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]

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 *(Electronic or Digital Signatures cannot be accepted)* Date

______________________________________FOR DIRECTED TRUST COMPANY USE ONLY_____________________________________

Letter of Acceptance – To the prior custodian: Please be advised that Directed Trust Company will accept the transferred account as successor custodian.

An authorized signature certifies acceptance of this transfer or rollover.

➢ ___________________________________ ___________________

Authorized Officer Signature Date

Directed Trust 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