

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 Only assets from an existing IRA, Roth IRA, SEP IRA, Simple IRA or other Retirement Plan to their Solo 401(k) Account at Directed Trust Company. If you will be transferring cash and/or assets from an existing Solo 401(k) Retirement Plan, 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.

In-Plan Roth Conversion - If you intend to convert your Traditional 401(k) funds to Roth funds after being received by Directed Trust Company, you must complete and submit a **Solo 401(k) In-Plan Roth Conversion form**. Consult with your tax or legal advisor regarding tax implications of a Roth Conversion.

*Be sure to rollover 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.

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: financial institution name, recent date (within 12 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)

<input type="radio"/> Qualified Retirement Plan - 401(k), Profit sharing, Pension, TSP, or Stock Bonus Plan <input type="checkbox"/> Roth deferrals are included with this rollover.
<input type="radio"/> 403(b) Plan* - Tax deferred annuity maintained under IRS Code Section 403(b) Plan. <input type="checkbox"/> This rollover is pursuant to Revenue Ruling 90-24. Only for 403(b) rollovers.
<input type="radio"/> 457 Plan* - Eligible plan under IRS Code Section 457 maintained by a governmental entity.
<input type="radio"/> Individual Retirement Account (IRA) - Conduit IRA, regular 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. 401(k)/LLC)**

If you are rolling over an interest in an 401(k) 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

All Solo 401(k) transfers must be initiated by contacting the current Solo 401(k) Plan Administrator or Custodian and completing their rollover form. They will not accept this 3rd party request form. Please indicate below how your Solo 401(k) Plan Administrator or Custodian will deliver your funds to Directed Trust Company.

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

5. Rollover Request Submission - Rollovers from IRA Accounts Only

Directed Trust Company can submit this Rollover Request to your current IRA custodian, however, **all Employer Plan rollovers must be initiated by also contacting the current Plan Administrator or Custodian as they will not accept this 3rd party request form.** 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.

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

6. Rollover Amount Acknowledgement

I understand that I am responsible for rolling over sufficient funds to cover the amount of my investment, any fees due, the investment transaction fees and the \$500 minimum balance requirement. My investment request will NOT be processed if I have insufficient funds in my account to cover fees and the minimum balance requirement.



Account Owner Signature

7. 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

8. 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.

[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: _____

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

9. 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

7. 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