

Solo 401(k) Transfer Request- Cash/Assets

IMPORTANT INFORMATION

This form is to be completed by the Solo 401(k) Account Owner who wishes to transfer their existing Solo 401(k) cash and/or assets from a current plan administrator or custodian to Directed Trust Company. If you will be rolling over a 401(k) from a former employer or other retirement accounts into a Solo 401(k) Account, please use the **Solo 401(k) Direct Rollover 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 the 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.

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 Transfer

Please provide a copy of the most recent Account Statement from your current Plan Administrator/Custodian. **Account Statement must show financial institution name, recent date (within 12 months), account registration (full name), account type, account number, cash value.

Plan Administrator/Custodian Name: _____ **Account Number:** _____

Address: _____ Phone Number: _____

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

Account Type:

Solo 401(k)

Roth deferrals are included with this rollover.

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

3. Transfer Instructions

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.

Select one:

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

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

Approximate Cash Transfer Amount: \$ _____

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

Cash Transfer Amount: \$ _____

Non-Cash Assets to be transferred 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: _____

***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 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.

*Please note that the deed will have to be signed by an Authorized Signer at the financial institution currently holding title to the property (or you if you are the Trustee and your plan is self-managed) 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. 401(k)/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 (or you if you are the Trustee and your plan is self-managed). It will need to state the units/shares of interest as well as the Market Value of the LLC interest.

If you are transferring 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. 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"/> Check via Overnight 3033 N. Central Ave, Suite 415 Phoenix, AZ 85012	<input type="radio"/> Incoming Wire Bank: Wells Fargo Bank, N.A. Routing # 121000248 Account #: 8450721009 For Credit To: Client's Name & Account Type
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5. Transfer 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

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 underestimated 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 (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.

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

Incoming Wire, ACH, and Check Instructions

IMPORTANT INFORMATION

Electronic payments may be sent to your Directed IRA account using the following instructions:

Company Address:

Directed Trust Company
3033 North Central Avenue, Suite 415
Phoenix, AZ 85012

Incoming Wire Transfers

All wires of funds to be deposited into a Directed Trust Company Account must be sent to:

Wells Fargo Bank, NA
420 Montgomery Street
San Francisco, CA 94104

ABA #: 121000248
Swift Code: WFBIUS6S
Directed Trust Company account number: 8450721009
The 'Additional Information' field of your wire must include: Directed Trust Company FBO (Client Name) (Account Type)

Please note: Title companies must include property address. The address above should be used for wired funds only. All checks made payable to a Directed IRA account must be mailed to the address noted on our website, www.directedira.com.

Incoming ACH

ACH Format: CCD
Receiving Bank Routing Transit Number: 124002971
Directed Trust Company account number: 8450721009

Addenda Record Information

Account information: Directed Trust Company FBO (Client Name) (Account Type)

Asset ID or Asset description: As applicable

Transaction details such as:

- "Principal" with \$ amount and/or "Interest" with \$ amount
- "Contribution" with Tax Year
- "Rental Income"
- "Payoff/ Liquidation"
- "Dividend Payment"
- "Transfer Funds"
- "Rollover Funds"
- "Misc. Payment" with description (e.g., "Escrow Refund")

Incoming Check

Make Checks Payable to: Directed Trust Company
Memo: (Account Name) (Account Number)
Mail To: 3033 N. Central Ave, Ste 415, Phoenix, AZ 85012

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

[Secure File Upload](http://www.directedira.com/secureupload)

www.directedira.com/secureupload

Email Forms to:

Accounting@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 trademark of Directed Trust Company, an Arizona Corporation