

TRANSFER/ROLLOVER FORM

FOR MOVING FUNDS TO YOUR NDTCO ACCOUNT

 **New Direction**
TRUST COMPANY
1070 W. Century Drive
Louisville, CO 80027
P: 877-742-1270 | F: 303-665-5962

1. NDTCO ACCOUNT INFORMATION

Account Holder Name:	New Direction Account Number:
Account Holder Phone Number:	Account Type:
Account Holder Email Address:	Date:

ADDITIONAL ACCOUNT HOLDER INFORMATION

Account Holder Social Security Number:	Account Holder Legal Address:	
City:	State:	ZIP:

2. CURRENT CUSTODIAN INFORMATION

<input type="checkbox"/> I have enclosed a copy of my statement (Required)	Account Number:	
Name of Custodian/Trustee:	Account Type:	
Office Address:		
City:	State:	ZIP:
Contact Name:	Phone Number:	Fax Number:

3. TRANSFER/ROLLOVER OPTIONS

Choose an option below

<input type="checkbox"/> Transfer For a movement of funds between identical or similar account types. For example: Traditional IRA to Traditional IRA, Roth IRA to Roth IRA, SEP IRA to Traditional IRA (or vice versa).		
<input type="checkbox"/> Rollover For a movement of funds between accounts that have the same tax status. For example: 401(k) to Traditional IRA, or Roth 401(k) to Roth IRA. A rollover must be initiated with the current custodian by the account holder. NOTE: An individual can initiate a maximum of one rollover between like accounts (e.g. Traditional IRA to Traditional IRA) in a 12-month period. <table border="0" style="width: 100%;"><tr><td style="width: 50%;"><input type="checkbox"/> Indirect Rollover Return of an eligible distribution within 60 days. Please note that you can only do this once per 12-month period</td><td style="width: 50%;"><input type="checkbox"/> Direct Rollover Direct movement of funds between similar account types initiated by your existing custodian.</td></tr></table>	<input type="checkbox"/> Indirect Rollover Return of an eligible distribution within 60 days. Please note that you can only do this once per 12-month period	<input type="checkbox"/> Direct Rollover Direct movement of funds between similar account types initiated by your existing custodian.
<input type="checkbox"/> Indirect Rollover Return of an eligible distribution within 60 days. Please note that you can only do this once per 12-month period	<input type="checkbox"/> Direct Rollover Direct movement of funds between similar account types initiated by your existing custodian.	

4. ASSETS TO BE MOVED TO NDTCO

Choose an option below	What kinds of assets are you moving to NDTCO? Check all that apply
<input type="checkbox"/> Full Account Transfer (This will close your current account)	<input type="checkbox"/> Cash <input type="checkbox"/> Alternative Assets (In-Kind) <input type="checkbox"/> Publicly Traded Assets (In-Kind)
<input type="checkbox"/> Partial Account Transfer	Note: Assets being transferred must be listed below.

Cash/Money Market Funds

Approximate Amount (Full Transfers):	Exact amount (Partial Transfers):
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In-Kind Non-Public Assets

Asset Type	Name of Asset/Description	Current Recorded Value

In-Kind Publicly Traded Assets

Symbol	Name	Fund #	Account #	# of Shares	Liquidate on receipt	
					<input type="checkbox"/> Yes	<input type="checkbox"/> No
					<input type="checkbox"/> Yes	<input type="checkbox"/> No
					<input type="checkbox"/> Yes	<input type="checkbox"/> No

Estimated total value of all cash and assets being moved to NDTCO

Note: While New Direction Trust Company (NDTCO) does not charge a fee for transferring assets to NDTCO, an annual administration fee will be assessed after your assets have been transferred in-kind. If you opt to have NDTCO liquidate Publicly Traded assets upon receipt of the in-kind transfer, you will not be charged the annual administration fee. There are Transfer Agent Commission Fees associated with the liquidation process for non-Mutual Fund Asset Types such as stocks, bonds, REITs and ETFs. These commission fees are \$2.50 (flat rate) for assets with 1-150 shares or \$.03/share for assets with 151 shares and greater.

5. PREFERRED DELIVERY METHODS

SEND TRANSFER/ROLLOVER FORM TO MY CURRENT CUSTODIAN HOLDING THESE ASSETS VIA:	<input type="checkbox"/> Standard Mail <input type="checkbox"/> Fax <input type="checkbox"/> FedEx (\$30 Fee)
IF CASH IS BEING MOVED, I WOULD LIKE MY CASH SENT TO NEW DIRECTION TRUST COMPANY VIA:	<input type="checkbox"/> Check/Mail Checks clear within 5 business days <input type="checkbox"/> Wire Available next business day

6. LETTER OF AUTHORIZATION

To the delivering firm: I understand that by signing section 7 below, I am authorizing New Direction Trust Company "NDTCO" to instruct you to transfer/rollover the assets identified in Section 4 of this form to my New Direction Trust Company Account. I represent that I have opened a retirement plan with New Direction Trust Company as the successor Custodian for the account. I understand that upon receipt of these transfer/rollover instructions, you will cancel all open orders in my account and will contact me regarding any account assets that are "not transferable." I understand that I am responsible for returning or destroying credit/debit cards and any unused checks issued in connection with my current securities account. I understand that to the extent that any assets in my account are not readily "transferable," with or without penalties, such assets may not be "transferred" within the time frames as set by FINRA Rule 11870, New York Stock Exchange Rule 412 or similar rule of the National Association of Securities Dealers or other designated examining authority.

I authorize you to liquidate any "nontransferable" proprietary money market fund assets in my account and move the credit balance to NDTCO. I authorize you to deduct any outstanding fees due from my credit balance; if the credit balance is insufficient to cover any outstanding fees, I authorize you to liquidate assets in my account to satisfy the obligation. I authorize you to deliver physical certificates or other instruments in my account in good deliverable form (including affixing any necessary tax waivers) to allow NDTCO to register them in street name for the purpose of sale when and as directed by me. I understand that any fractional shares of stock are "nontransferable" and will be liquidated; any liquidation of such shares may constitute a taxable event.

7. SIGNATURE AND ACKNOWLEDGEMENT

I hereby agree to the terms and conditions set forth in this account asset transfer/rollover authorization and acknowledge having established a self-directed IRA through execution of the account application. I understand the rules and conditions applicable to an account transfer/rollover. I understand that any of the investments in my account that I would like moved are the responsibility of my current Custodian therefore the current custodian of my investment is responsible for handling any of the re-registration of my investments currently being held by them. I swear and affirm that I qualify for the account transfer/rollover of assets listed in the asset liquidation above and authorize such transaction(s). I understand that no one at New Direction Trust Company has authority to agree to anything different than my foregoing understandings of New Direction Trust Company policy.

I understand that if this transfer is occurring during or after the calendar year during which I attain the age of 70½, the required minimum amount determined under this IRA is still required to be distributed. I further understand that the current Trustee/Custodian is not responsible for making the required minimum distribution prior to the movement of assets. I accept full responsibility for satisfying the required minimum distribution applicable to this IRA by withdrawing sufficient amounts from another IRA prior to the deadline for receiving minimum distributions for the calendar year of the movement of assets to New Direction Trust Company. If this movement of assets is a Transfer and leaves the "transferor" IRA in one year but does not reach the "transferee" IRA until the following year, I understand that this will be an "outstanding transfer" as of December 31st. The new IRA must "deem" that the "transfer" was received as of the prior December 31st for determining any required minimum distribution from the "transferee" IRA for the year that the "transfer" was received. I swear and affirm that I will inform the "transferee" IRA Trustee/Custodian of any such outstanding "transfer." If this is a direct or indirect rollover 1) I understand the important tax consequences of this election 2) I assume full responsibility for this rollover 3) I will not hold the Custodian, New Direction Trust Company or issuer of either the distributing or receiving plan liable for any adverse consequences that may result and 4) I irrevocably designate this contribution of assets as a rollover contribution.

Printed Name:	Medallion Signature Guarantee (if required by your current Custodian)
Signature (ELECTRONIC SIGNATURES <u>NOT</u> ACCEPTED):	
Date Signed:	

8. ACCEPTANCE OF RECEIVING CUSTODIAN (OFFICE USE ONLY)

NDTCO agrees to serve as Custodian for the account of the abovenamed individual, and as Custodian, NDTCO agrees to accept the assets of the account being transferred. NDTCO assumes no trust or fiduciary obligations to you as it has no investment control over your funds and acts only as the Custodian of your funds.

New Direction Trust Company

Authorized Signer Printed Name:	Medallion Signature Guarantee (if required by current Custodian)
Signature of Authorized Signer for New Direction Trust Company:	
Date Signed:	