CONVERSION

TRADITIONAL TO ROTH

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

1. ACCOUNT HOLDER INFORMATION

Account Holder Name:	New Direction Account Number:

2. CONVERSION DETAILS

○ New Conversion*
(This is a conversion to a new ROTH IRA)

○ Existing Roth IRA
(This is a conversion to an existing ROTH IRA)

*An Application must be completed.

Roth Account Number:

○ Cash ○ In-Kind Asset(s) ○ Cash AND Asset(s) In-Kind

CASH/MONEY MARKET FUNDS

○ All Available Cash
Estimated Amount:

○ Specific Amount:

IN-KIND ASSETS

Asset Name/Description	Quantity (Shares, Units, %, etc.)	Current Recorded Value

When converting assets in kind, you will also need to submit a fair market valuation of the assets which are to be converted. In-kind conversions of real estate require a formal appraisal.

3. FEE PAYMENT OPTIONS

PAY TRANSACTION FEES VIA:

○ My Account ○ Credit Card on File ○ A New Credit Card*

***Please log into the NDTCO User Portal and go to your Profile, then Payment Method, to update your card on file.**

4. AUTHORIZATION AND SIGNATURE

I confirm that I am directing New Direction Trust Company (NDTCO), the Custodian, to complete this transaction as specified above. I understand that my account is self-directed, and I take complete responsibility for any investment I choose for my account, including the investment specified in this Form. I understand NDTCO does not sell or endorse any investment products, and that the Custodian is not affiliated in any way with any investment provider. I understand that the role of NDTCO is limited, and its responsibilities do not include investment selection for my account. I certify that I have done my own due diligence investigation prior to instructing NDTCO to make this investment for my account. I understand that acceptance of Custodial Assets by NDTCO should not be construed as a favorable opinion as to the prudence or suitability of the investment for the Account Holder's IRA. NDTCO's review of any asset the Account Holder desires to purchase and hold in their Custodial Account should in no way be construed as a "due diligence" review. I understand NDTCO does not determine whether this investment is acceptable under the Employee Retirement Income

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Securities Act (ERISA), the Internal Revenue Code (IRC), or any applicable federal, state, or local laws, including securities laws.

I understand that it is my responsibility to review any investments to ensure compliance with these requirements. I acknowledge that the Custodian has not provided or assumed responsibility for any tax, legal or investment advice with respect to this investment, and I agree that Custodian will not be liable for any loss which results from my decision to purchase the investment. I understand that in processing this transaction NDTCO is only acting as my agent, and nothing will be construed as conferring fiduciary status on them. I agree that NDTCO will not be liable for any investment losses sustained by me or my account as a result of this transaction. I agree to indemnify and hold NDTCO harmless from any and all claims, damages, liability, actions, costs, expenses (including reasonable attorneys' fees) and any loss to my account as a result of any action taken in connection with this investment transaction or resulting from serving as the Custodian for this investment, including, without limitation, claims, damages, liability, actions and losses asserted by me.

I understand that if this Form and any accompanying documentation are not received as required, or if received are unclear in the opinion of NDTCO, or if there are insufficient undirected funds in my account to fully comply with my instructions to purchase the investment and to pay all fees, they will not process this transaction until proper documentation, sufficient funds, and/or clarification is received, and NDTCO will have no liability for loss of income or appreciation due to the delay in processing.

I understand that all communication regarding this transaction must be in writing and acknowledged by me or by my authorized agent on my behalf, and that no oral modification of my instructions will be valid. I understand that no person at NDTCO has the authority to modify any of the foregoing provisions. I certify that I have examined this Form and any accompanying documents or information, and to the best of my knowledge and belief, it is all true, correct, and complete.

I understand transactions with insufficient funds will not be processed until sufficient funds are received. If fees are being deducted from my account, the full amount of the transaction plus fees must be available before the transaction can be processed.

I certify that the following are true and correct:

- I understand that my conversion election is irrevocable and that I am eligible to make this conversion.
- I understand that assets ineligible for conversion include any required minimum distribution, any part of a series of substantially equal periodic payments, or any corrective distribution of certain SEP or SIMPLE IRA plan excess contributions. The Custodian has recommended that I consult with my tax advisor or the IRS before completing this transaction to make certain that this transaction qualifies as a valid conversion and is appropriate in my individual circumstances. I understand that these transactions are reported to the IRS and I acknowledge that I am responsible for keeping records and information pertaining to any ROTH IRA conversion as directed by the IRS. I hereby release the Custodian from any damages on account of the failure of this transaction to qualify as a valid conversion.

Account Holder Signature:	Date Signed:

