

# TRANSFER

FOR MOVING FUNDS TO YOUR NDTCO ACCOUNT



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

**Please Note:** This form needs to be hand-signed. Please print out the form before signing.

## INSTRUCTIONS: COMPLETING THE NDTCO FORM

### SECTION 1: NDTCO ACCOUNT INFORMATION

Please put your full name as it appears on your account, IRA titling is not needed.

### SECTION 2: CURRENT CUSTODIAN INFORMATION

We will need a copy of a recent full account statement from your resigning custodian with your full name, complete account number, and account type.

Fill out section 2 with the same information on your statement.

### SECTION 3: ASSETS TO BE MOVED TO NDTCO

Provide details on the assets you wish to be moved into your NDTCO account. When requesting the transfer of a cash balance, please ensure the balance you wish to transfer is available as cash.

If any publicly held assets need to be liquidated upon receipt, please send us a message through your client portal specifying these details.

## INSTRUCTIONS: SUBMITTING YOUR TRANSFER FORM AND ACCOUNT STATEMENT

Follow the steps below to submit your transfer form and recent full account statement:

1. Log-in to your client portal.
2. Click **Messages** on the upper right-hand banner (above 'Generate Statement').
3. Select **New Message**.
4. Select the account these documents relate to.
5. From the category drop down, select **Transfer In/Out**.
6. Type in the subject line - **Transfer Paperwork**.
7. Enter a brief description.
8. Select the **Choose File(s)** button and upload your documents as an attachment.
9. When your message is complete, click **Submit**.

## PROCESSING TIME

NDTCO will initiate the transfer request within 1-3 business days of receiving the necessary documents. Please note the Transfer request processing time is dependent on your sending custodian. In general, we would expect the sending custodian to process the request within 7-10 business days. Once funds are received, they will become available for investment use starting the following business day.

SHOULD YOU HAVE ANY QUESTIONS OR NEED HELP, PLEASE CALL 877.742.1270 OR SUBMIT A MESSAGE ONLINE THROUGH YOUR CLIENT PORTAL.

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## 1. ACCOUNT HOLDER INFORMATION

Account Holder Name:	New Direction Account Number:
Account Holder Phone Number:	Account Type:

## 2. CURRENT CUSTODIAN INFORMATION

<input type="checkbox"/> I have enclosed a copy of my statement (Required)	Account Number:
Name of Custodian/Trustee:	Account Type:

## 3. ASSETS TO BE MOVED TO NDTCO

<b>Choose an option below</b> <input type="radio"/> Full Account Transfer* <input type="radio"/> Partial Account Transfer  *This will close your current account	<b>What kinds of assets are you moving to NDTCO?</b> Check all that apply. <input type="checkbox"/> Cash <input type="checkbox"/> In-Kind Assets  <b>Note:</b> Assets being transferred must be listed below.
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### CASH/MONEY MARKET FUNDS

Approximate Amount (Full Transfers):	Exact Amount (Partial Transfers):
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### IN-KIND ASSETS

Asset Type	Name of Asset/Description	Current Recorded Value	# of Shares (if applicable)

Please send us a Portal Message if any publicly held assets need to be liquidated upon receipt.

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.

If your custodian does not accept electronic copies, how would you like this sent?	<input type="radio"/> Standard Mail	<input type="radio"/> Overnight (Fees Apply)
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## DEPOSITORY ELECTION

Complete this section if you are transferring an account to NDTCO that contains precious metals.

Depository name:	Storage Options: <input type="radio"/> Segregated <input type="radio"/> Commingled <input type="radio"/> Fractional*
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\*Fractional storage is only available with Money Metals Depository

### Eligible Depositories and Storage Options:

A-M Global Logistics/Loomis International - Nevada	Commingled or Segregated
A-M Global Logistics - Dallas, TX	Commingled or Segregated
CNT Depository	Segregated Only
Dakota Depository Company, LLC	Segregated Only
Delaware Depository (DDSC) - Nevada	Commingled (Silver) or Segregated
Delaware Depository (DDSC) - Delaware	Commingled (Silver) or Segregated
International Depository Services Group (IDS) - Delaware	Segregated Only
International Depository Services Group (IDS) - Ontario	Segregated Only
International Depository Services Group (IDS) - Texas	Segregated Only
Money Metals Depository	Segregated or Fractional

PLEASE REFER TO NDTCO.COM FOR CURRENT DEPOSITORY STORAGE PRICES.

## 4. LETTER OF AUTHORIZATION

To the delivering firm: I understand that by signing section 5 below, I am authorizing New Direction Trust Company "NDTCO" to instruct you to transfer/rollover the assets identified in Section 3 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.

## 5. 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

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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 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.

## TRANSFER DISCLOSURES:

- I confirm that I am directing New Direction Trust Company (NDTCO) to complete this transfer as specified above. I understand that my account is self-directed, and I take complete responsibility for my transfer. I understand the role of the Custodian is limited, and its responsibilities do not include transfer/rollover advice for my account. I acknowledge NDTCO has not provided or assumed responsibility for any tax, legal or investment advice with respect to this transfer, I agree NDTCO will not be liable for any loss which results from my decision to transfer. I understand NDTCO has not reviewed and will not review the merits, legitimacy, appropriateness, or suitability of this transfer, and I certify that I have done my own due diligence investigation prior to instructing NDTCO to execute this transfer for my account.
- I hereby agree to the terms and conditions set forth in this account asset transfer 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. I understand 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 of assets listed in the asset liquidation above and authorize such transaction(s). I understand that no one at New Direction Trust Company (NDTCO) has authority to agree to anything different than my foregoing understandings of NDTCO policy.
- I understand that my account is subject to the provisions of Internal Revenue Code (IRC) §4975, which defines certain prohibited transactions. I acknowledge that NDTCO has not made or will not make any determination as to whether this transfer is prohibited under §4975 or under any other federal, state or local law. I certify that making this transfer will not constitute a prohibited transaction and that it complies with all applicable federal, state, and local laws, regulations and requirements.

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- I hereby agree to release, indemnify, defend, and hold NDTCO harmless from any claims regarding the fluctuation in prices and/or conditions if any. I further agree to waive any claims that I may have, past, present or future, known or unknown, anticipated or unanticipated, with respect to the fluctuation or change in the price or condition of any investment that I direct or instruct NDTCO to make from the time I deliver my Depository Transfer Form to NDTCO until the time the transaction is actually completed and recorded to my Account. Transactions with insufficient funds will not be processed until sufficient funds are received. If fees are being deducted from your account, the full amount of the transaction plus fees must be available before your transaction can be processed.
- I understand that if this transfer is occurring during or after the calendar year during which I attain the age of 73, 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 NDTCO. NDTCO will not process personal distributions within 60 days of account opening; funding a new investment does not fall into this category.
- I represent that I have verified either that the investment will provide income or distributions sufficient to cover each RMD, or that there are other assets in my account or in other accounts that are sufficiently liquid (including cash) from which I will be able to withdraw my RMDs. I understand that with some types of accounts there are rules for Required Minimum Distributions (RMDs) from the account. I understand that failure to take RMDs may result in a tax penalty of 50% of the amount I should have withdrawn.
- 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.
- I certify that I have examined this Depository Transfer Form and any accompanying documents or information, and to the best of my knowledge and belief, it is all true, correct, and complete.

## PRECIOUS METALS DISCLOSURES:

**STORAGE AND DELIVERY OF PRECIOUS METALS:** All precious metals are stored at a specialized depository selected by you. I understand and agree there are numerous depositories that specialize in storage and safekeeping of precious metals. I understand that New Direction Trust Company ("NDTCO") is not and cannot be held responsible for the actions of these depositories and hereby release and hold harmless NDTCO from any damages that I may incur with respect to my choice of depository and any activities or lack of activities on the part of said depository.

I understand a full year is collected and paid to the depository at the time of the transaction. Broker/Dealers deliver directly to the depository, which will forward confirmation of receipt. NDTCO relies on the accuracy of delivery details provided by the depository to update the individual account holdings. NDTCO makes a reasonable effort to update metals delivery status; however, it is the customer's responsibility to monitor account assets, including follow up with the Broker/Dealer with specific transaction details and/or delivery inquiries.

**DEPOSITORY FEES:** NDTCO does not assess the depository fees. Additional fees may apply beyond the annual storage fee, such as handling charges, shipping fees, armored car delivery or personal pick up. It is not guaranteed that the fees listed are the fees the existing depository may assess. I acknowledge that I have elected to store my self-directed precious metals investment with my existing depository. The storage fee will be payable at the time of investment. An additional fee will be assessed and collected by NDTCO. Storage fees may be paid via NDTCO's client portal from cash in the account or by credit card.

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I acknowledge that by submitting this request I will contact my dealer of choice and agree upon a selling and buying price for my metals. I will submit an invoice, which will list all final prices. I also understand that my Precious Metals Dealer listed on this form may contact NDTCO to receive information regarding this investment and current holdings to complete the exchange.

I understand that NDTCO is not responsible for contacting the dealer and establishing a selling or buying price.

I understand NDTCO is not responsible for Market Condition Variances. I understand that I have agreed and instructed NDTCO to follow the transaction directions which I provide, as confirmed by this form.

I further understand that some transactions that I may direct or instruct NDTCO to complete, especially commodities such as precious metals, that may be dependent upon the operation of global markets and entities, there could be fluctuations in price and condition of said investments from the time that I issue a Buy or Sell Direction Letter to NDTCO and the time when the transaction can actually be completed and recorded in my Account.

I understand there are numerous depositories that specialize in storage and safekeeping of precious metals. I understand NDTCO is not and cannot be held responsible for the actions of these depositories. I hereby release and hold harmless NDTCO from any damages that I may incur with respect to my choice of depository and any activities or lack of activities on the part of said depository.

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

### ACCEPTANCE OF RECEIVING CUSTODIAN (OFFICE USE ONLY)

NDTCO agrees to serve as Custodian for the account of the above-named 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:	