

# TRANSFER FORM

FOR MOVING FUNDS TO YOUR NDTCO ACCOUNT



*Please note: This form needs to be hand-signed, so please print out the form before signing.*

## 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.

## 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. NDTCO ACCOUNT 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>		<b>What kinds of assets are you moving to NDTCO? Check all that apply</b>	
<input type="checkbox"/> Full Account Transfer (This will close your current account)		<input type="checkbox"/> Cash <input type="checkbox"/> In-Kind Assets	
<input type="checkbox"/> Partial Account Transfer		<b>Note:</b> Assets being transferred must be listed below.	
Cash/Money Market Funds			
Approximate Amount (Full Transfers):		Exact amount (Partial Transfers):	
In-Kind Assets			
Asset Type	Name of Asset/Description	Current Recorded Value	# 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			
<p><b>Note:</b> 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.</p>			
If your custodian does not accept electronic copies, how would you like this sent?		<input type="checkbox"/> Standard Mail <input type="checkbox"/> 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:**

Segregated

Commingled

### Eligible Depositories and Storage Options:

A-M Global Logistics / Loomis International	Commingled or Segregated
CNT Depository	Segregated Only
Dakota Depository Company, LLC	Segregated Only
Delaware Depository (DDSC)	Commingled 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 Only

## 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. SIGNATURE AND ACKNOWLEDGEMENT

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 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 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 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 New Direction Trust Company. NDTCO will not process personal distributions within 60 days of account opening; funding a new investment does not fall into this category. 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"

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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 NOT ACCEPTED):

Date Signed:

## 6. 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: