

# Transfer/Rollover Form

### 1. YOUR INFORMATION

Your Name:		New Direction Account Number:	
Social Security Number:	Email Address:	Phone Number:	
Legal Address:	City:	State:	Zip:

### 2. WHERE ARE THESE ASSETS CURRENTLY?

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

### 3. TRANSFER/ROLLOVER OPTIONS

- Transfer** (Choose one listed below, and New Direction IRA will initiate the movement of assets.)
- Traditional IRA to Traditional IRA
  - SEP IRA to SEP IRA
  - SIMPLE IRA to SIMPLE IRA
  - Roth IRA to Roth IRA
  - Traditional IRA to Simple IRA
  - SEP IRA to Traditional IRA
  - SIMPLE IRA to SEP IRA
  - HSA to HSA
  - Traditional IRA to SEP IRA
  - SEP IRA to SIMPLE IRA
  - SIMPLE IRA to Traditional IRA
  - Inherited IRA to Inherited IRA (Subject to additional documentation and review)
- Rollover** (To trigger a rollover, fill out this form for NDIRA and contact the existing custodian/trustee for their required rollover actions.)
- Standard Rollover (This is a return on an Eligible Distribution done within 60 days.) (This Rollover is the only Rollover that has been executed from any IRA that I have within the prior 12 months.)
  - Direct Rollover: Rollover of Eligible Retirement Plan Assets to Traditional IRA (401k Plan and other employer plans)
  - Direct Rollover of OTHER IRA, Roth or other transferable account  
(This Rollover is the only Rollover that has been executed from any IRA that I have within the prior 12 months.)

### 4. ASSETS TO BE MOVED TO NDIRA - CHOOSE OPTION(S) THAT APPLY TO THIS MOVEMENT OF ASSETS

**A. Cash/Money Market Assets** - from any type of account. All positions must be liquidated and available in either a cash or money market account before submitting this request. Note: some brokerage accounts keep cash in a money market account only. New Direction IRA requires 5 business days for checks to be available. Bank wires and money orders clear the next business day.

**Please provide a detailed statement showing assets and values.**

- Entire Account in Cash, close account** **Approximate Cash: \$ \_\_\_\_\_**
- Partial Account in Cash: \$ \_\_\_\_\_**

**B. Brokerage Account Assets** (Publicly traded stocks, mutual funds, etc.)

- Entire account. Account # \_\_\_\_\_, list the brokerage assets below.
- OR**
- Only the assets below. Account # \_\_\_\_\_ (If you do not have room to describe all assets, please attach description with this form):  
Cash Amount (If any): \$ \_\_\_\_\_

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 assets being moved to NDIRA: \$ \_\_\_\_\_**

Notice: all dividends from mutual funds moved over to NDIRA in-kind will be reinvested

## 4. ASSETS TO BE MOVED TO NDIRA CONT'D

### C. Alternative Assets (Real estate, notes, private equity, etc.)

**Complete Movement of Cash and/or Assets**

Cash\* - to **New Direction IRA, Inc. FBO (My Name) IRA.**

In-kind assets to **New Direction IRA, Inc. FBO (My Name) IRA.**

**Move Partial Cash and/or Asset**

Cash\* - Send \$ \_\_\_\_\_ in cash to **New Direction IRA, Inc. FBO (My Name) IRA.**

In-kind assets to **New Direction IRA, Inc. FBO (My Name) IRA.**

Move the following assets in-kind (Please list every in-kind asset to be moved to NDIRA. If you do not have room, please attach description with this form.):

Asset Type	Name of Asset/Description	Current Recorded Value

**Estimated total value of cash and assets to NDIRA:** \$ \_\_\_\_\_

\*New Direction IRA requires 5 business days for checks to clear. Bank wires and money orders clear the business day after deposit.

## 5. HOW CASH IS TO BE SENT TO NDIRA

I would like my **Cash/Assets** sent to New Direction IRA via: (check is the default if no option is marked)

Check/Mail (Checks clear within 5 business days)  Wire (available next business day)

Please send this **Transfer/Rollover Form** to custodian currently holding these assets via:

Mail

Fax Number: \_\_\_\_\_ (You must ask your current custodian if they accept a faxed copy of the form. Please provide fax number.)

Express Mail via FedEx (\$30 Fee) (complete section below with check or credit card information)

Expedited Delivery (the information below is to pay for FEDEX charges, not wire fees) I would like to pay my expedited delivery charges via:

For FedEx fee choose one:

Credit Card

Check enclosed (make checks payable to: New Direction IRA)

Credit Card Type: (the following are accepted):  Visa  Mastercard  Discover

Card Number: \_\_\_\_\_ 3-digit security code: \_\_\_\_\_ Expiration date: \_\_\_\_\_

Exact name on card: \_\_\_\_\_

Signature: \_\_\_\_\_

## 6. LETTER OF AUTHORIZATION

To the delivering firm: I understand that by signing section 7 below, I am authorizing New Direction IRA to instruct you to transfer/rollover the assets identified in Section 4 of this form to my New Direction IRA Account. I represent that I have opened a retirement plan with New Direction IRA 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 NDIRA. 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 New Direction IRA 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 administrator or custodian, meaning they are responsible for handling any of the re-registration of my investments currently being held by them.
- I qualify for the account transfer/rollover of assets listed in the asset liquidation above and authorize such transactions.
- I understand that no one at New Direction IRA has authority to agree to anything different than my foregoing understandings of New Direction IRA 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 this 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 NDIRA.
- 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 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 and 3) I will not hold the Administrator (New Direction IRA) and/or the Custodian (Mainstar Trust) or issuer of either the distributing or receiving plan liable for any adverse consequences that may result 4) I irrevocably designate this contribution of assets as a rollover contribution.

Your Printed Name: \_\_\_\_\_

Your Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Signature Guarantee if required by Custodian

## 8. ACCEPTANCE OF RECEIVING CUSTODIAN (office use only)

Pursuant to a limited written delegation, Mainstar Trust, as Custodian ("Custodian"), has authorized New Direction IRA, Inc. to sign this form on the Custodian's behalf to verify the Custodian's acceptance of the transfer described above and agreement to apply the proceeds upon their receipt, to the account established by New Direction IRA, Inc., on your behalf. Mainstar Trust ASSUMES NO TRUST OR FIDUCIARY OBLIGATIONS TO YOU AS IT HAS NO INVESTMENT CONTROL OVER YOUR FUNDS AND ACTS ONLY AS A CUSTODIAN OF YOUR FUNDS.

New Direction IRA, Inc. on behalf of Custodian, Mainstar Trust

By \_\_\_\_\_ Date \_\_\_\_\_

Signature Guarantee if required by Custodian