

Instruction & Authorization to Transfer Roth IRA Funds

Purpose. This Roth IRA Transfer Form is to be used to transfer funds from one Roth IRA to another Roth IRA. This Form is not to be used to transfer funds from a SIMPLE-IRA to another SIMPLE-IRA, a SIMPLE-IRA to a traditional IRA, or a traditional IRA to a traditional IRA. If your institution is the successor custodian/trustee which will receive the transfer, then you and your accountholder will need to complete this transfer form and furnish it to the current custodian/trustee. If your institution is the current custodian/trustee which will transfer the Roth IRA funds, then you will need to have the Roth IRA accountholder and the successor custodian/trustee complete this transfer form and return it to you.

Current Custodian/Trustee

Name _____
Address _____
City/State/Zip _____

Roth IRA Accountholder

Name _____
Address _____
City/State/Zip _____
SSN _____ Account # _____

I. Instructions from Roth IRA Accountholder to Current Custodian/Trustee

I instruct you to transfer my Roth IRA funds to the successor custodian/trustee as named below. I want all assets as listed below to be transferred pursuant to the following instructions.

- Liquidate and transfer all my account assets or
- Liquidate and transfer the assets listed as they mature.
Account #: _____ Maturity Date: _____
Account #: _____ Maturity Date: _____
Account #: _____ Maturity Date: _____

- Transfer assets "in kind" as listed here: _____

I understand that I have instructed you to liquidate certain assets. I am aware of the penalties, losses, or fees, if any, which will result from this transfer instruction. You are to send a check payable to the successor custodian/trustee on behalf of my Roth IRA. I certify that I have established a Roth IRA with this custodian/trustee.

Signature of Roth
IRA Accountholder: _____ Date: _____

II. Successor Custodian/Trustee's Acceptance of Appointment and Instruction to Current Custodian/Trustee

We hereby advise the current custodian/trustee that we will accept the transfer of the above-referenced Roth IRA accountholder's Roth IRA assets. We have agreed to act as the successor custodian/trustee. We certify that the accountholder has a Roth IRA with us which meets the requirements of Code section 408A. Our name and address are set forth below.

The transfer is to be sent to the attention of:
Name _____
Attention _____
Address _____
City/State/Zip _____

Authorized Signature of
Successor Custodian/Trustee: _____ Date: _____

III. Acknowledgment of Current Custodian/Trustee and Instruction to Roth IRA Accountholder

We have received your request to transfer your Roth IRA funds to a successor Roth IRA custodian/trustee. We agree to do so as long as you and the successor custodian/trustee have completed and signed this form.

Signature of Current
Custodian/Trustee: _____ Date: _____

