TRADING DIRECT

Asset Movement Authorization

STEP 1. PARTICIPANT INFORMATION

Name		
FROM Account Number —		**TO** Account Number —

STEP 2. RETIREMENT PLAN TYPE

☐ Traditional IRA ☐ Roth IRA ☐ SEP IRA ☐ SIMPLE IRA ☐ Education Savings Account
☐ Special Needs Apply

USE THE ROTH CONVERSION/ RECHARACTERIZATION REQUEST FORM FOR INTERNAL ROTH CONVERSIONS.

STEP 3. CONTRIBUTION TYPE AND TRANSFER DUE TO DEATH AND DIVORCE

Cash Contributions

In keeping with Internal Revenue Service (IRS) tax reporting requirements, employer contributions (including employee salary deferrals) must be processed and reported in the year they actually occur, regardless of the year of designation. Obtain and refer to the instructions on filing IRS Form 5498.

	CURRENT YEAR	PRIOR YEAR	TOTAL DEPOSIT
IRA Contribution	$	$	$
Education Savings Account	$	$	$
Employer Contribution (SEP IRA)	$	$	$
Employer Matching Contribution (SIMPLE IRA)	$	$	$
Employer Nonelective Contribution (SIMPLE IRA)	$	$	$
Employee Salary Deferral Contribution (SIMPLE IRA, SARSEP)	$	$	$
Roth Conversion – Cash (from previous Traditional IRA account)	$		$
Rollover – Cash (see Certification section below)	$		$
Total (the amount of your check should equal this amount)	**$**	**$**	**$**

Conversion or Rollover Certification

If I elect to make a conversion or rollover contribution to the retirement account indicated above, I hereby certify that I understand the conversion or rollover rules and conditions as they pertain to this retirement account, and I have met the requirements for making such a transaction. Due to the important tax consequences of converting or rolling over funds or property, I have been advised to consult with a tax professional. All information provided by me is true and correct and may be relied upon by the custodian. I assume full responsibility for these transactions and will not hold the custodian liable for any adverse consequences that may result. I hereby irrevocably designate the conversion or rollover of funds or other property as rollover contributions.

Age 70½ Conversion/Rollover/Transfer Restriction

If you are over the age of 70½ this year, you may not convert, rollover, or transfer required minimum distribution amounts. If necessary, instruct your present custodian to either: 1) pay your required minimum distribution to you now; or 2) retain that amount for distribution to you later. For Roth conversions, you must take your required minimum distribution amount before you convert your assets to a Roth IRA.

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Securities Rollover/Conversion

- ☐ Securities Conversion to Roth IRA
- ☐ Rollover Securities (See rollover certification section above)
- ☐ Transfer Due to Divorce
- ☐ Transfer Due to Death of the Account Holder (Accounts with multiple primary beneficiaries must establish an inherited account for each beneficiary using his or her name and Social Security Number. Only spousal beneficiaries are allowed to treat the IRA as if it were their own and transfer it, in their name, to a Traditional Participant IRA.)

Cash	
Securities Description	Quantity
Securities Description	Quantity
Securities Description	Quantity
Securities Description	Quantity
Securities Description	Quantity
Securities Description	Quantity
Securities Description	Quantity
Securities Description	Quantity
Securities Description	Quantity
Securities Description	Quantity
Securities Description	Quantity
Securities Description	Quantity
Securities Description	Quantity
Securities Description	Quantity
Securities Description	Quantity
Securities Description	Quantity
Securities Description	Quantity

If there are more securities to move, list these securities on the Asset Movement: Additional Securities form.

STEP 4. SIGNATURE

Print Name	Date
Signature X	

Make checks payable to: Pershing LLC FBO (Participant Name), and write your account number on the check.

Mail completed form to Trading Direct, 160 Broadway, East Bldg Floor 7, New York NY 10038, or Fax to 212-619-1593.

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