ACCOUNT TRANSFER

WHEN TO USE THIS FORM

Use this form to transfer an account to Equity Trust Company.

When completing your *Account Transfer Form*, please follow these guidelines:

- Be sure to fill out **ALL** sections of the ***Account Transfer Form***.
- **Original copies** of the ***Account Transfer Form*** must be submitted, unless you have received permission from your previous Trustee/Custodian that a faxed copy will be accepted.
- Contact your current Trustee/Custodian to inquire if a Medallion Signature Guarantee is required. If required, one should be obtained from an authorized member of the **Securities Transfer Agents Medallion Program (STAMP)**. Check with your local bank or broker/dealer to see if they offer this service. ***Note: a Notary Public is not acceptable.***
- You **MUST** submit a copy of a current statement (dated within 6 mos.) for the account you are transferring from, along with the ***Account Transfer Form***.
- Each account that is being transferred to Equity Trust Company requires a separate ***Account Transfer Form***.
- If you are rolling over an account from a Qualified Plan, please contact your plan administrator to verify if additional forms are required and for eligibility.
- If you are transferring an annuity, you **may incur** surrender/penalty charges. Please attach the original policy or a statement of loss.
- If you are transferring a Brokerage IRA and wish to transfer as cash, you will need to liquidate the appropriate assets prior to completing and submitting the ***Account Transfer Form***.
- If you are transferring funds via a wire transfer please use the following bank information:

  Citibank
  451 Montgomery Street
  San Francisco, CA 94104
  RT # if wire originates in the US: 321171184
  Account #: 205575210

- For information regarding international wires or ACH instructions please visit: www.EquityInstitutional.com/wires.

IMPORTANT!

Equity Trust Company does not investigate, sponsor, or endorse any investment product. You assume sole responsibility for the success or failure of your investments. You are responsible for directing the investment of assets in your account. Equity Trust Company does not provide any investment advice, or recommend or evaluate the merits or suitability of any investment.

If Equity Trust Company's services were suggested by a financial representative, such person is not an agent, employee, representative, or affiliate of Equity Trust Company. Equity Trust Company is not responsible for and is not bound by any representations, warranties, statements or agreements made by any financial representative.

SUBMISSION OPTIONS

OVERNIGHT:
Equity Trust Company
1 Equity Way
Westlake, OH 44145

REGULAR MAIL:
Equity Trust Company
P. O. Box 451159
Westlake, OH 44145

FAX:
(440) 365-1440

CONTACT INFORMATION

PHYSICAL ADDRESS:
Equity Trust Company
1 Equity Way
Westlake, OH 44145

WEBSITE:
www.EquityInstitutional.com

TOLL FREE:
800-955-3434 (option 2)

Or e-mail questions to:
E-MAIL:
IRAServices@EquityInstitutional.com

DO NOT FAX OR MAIL THIS COVER PAGE

INVESTMENT PRODUCTS: NOT FDIC INSURED - NO BANK GUARANTEE - MAY LOSE VALUE

Reset Form

EQUITY INSTITUTIONAL®

ACCOUNT TRANSFER FORM

1 ACCOUNT HOLDER INFORMATION

ACCOUNT HOLDER NAME		ACCOUNT # ASSIGNED BY EQUITY TRUST COMPANY
SOCIAL SECURITY NUMBER	DATE OF BIRTH	HOME PHONE NUMBER
EMAIL ADDRESS		

If you have not previously established an account with ***Equity Trust Company*** to receive your transfer, you must include an account application with this form.

2 WHERE ARE FUNDS CURRENTLY HELD?

NAME OF PRESENT TRUSTEE or CUSTODIAN	ACCOUNT NUMBER	**ESTIMATED TRANSFER VALUE** $	
STREET ADDRESS*	CITY	STATE	ZIP CODE
TELEPHONE NUMBER *(please include area code)*	FAX*		

** Contact your previous Trustee/Custodian to confirm the address where transfer paperwork should be sent and/or if faxed copies are acceptable.*

COPY OF MOST RECENT STATEMENT IS REQUIRED FROM ACCOUNT BEING TRANSFERRED

3 ACCOUNT COMPATIBILITY

If you aren't sure if your accounts will be compatible, please visit our website at www.EquityInstitutional.com for assistance.

Account Type Being Transferred:

- ☐ Traditional
- ☐ Roth
- ☐ SEP
- ☐ SIMPLE
- ☐ Qualified Plan
- ☐ Qualified Plan - Roth

☐ Check here if this is an inherited IRA

To Equity Trust Company Account Type:

- ☐ Traditional
- ☐ Roth
- ☐ SEP
- ☐ SIMPLE

☐ Check here if this is an inherited IRA

4 PROCESSING PREFERENCE *(Choose how you would like this form processed and sent to your current Trustee/Custodian.)*

☐ **EXPRESS TRANSFER SERVICE* ($50.00)**
(Overnight service to current custodian at no additional cost)

Express Transfer Service:
(recommended if you already have an investment in mind):

- We will review the transfer form the same day it is received at Equity Trust Company.
- Wire fee waived if receiving funds by wire.
- Frequent follow-up calls will be placed to your current Trustee/ Custodian to check on transfer status
- As we receive updates you will be contacted immediately if needed

****Although the feature does not guarantee same day service, it does guarantee that your request will be processed before other non-expedited requests. Fee applies to processing within Equity Trust Company control.***

NOTE: Funds must be available for processing fees.

☐ **NORMAL PROCESSING SERVICE (NO CHARGE)**

☐ **OVERNIGHT MAIL SERVICE**

- Your transfer forms and statement will be sent overnight to your previous Trustee/Custodian.
- Physical address must be provided, cannot overnight to P.O. Box

☐ **USE ATTACHED Pre-Addressed Airbill**

☐ **SEND OVERNIGHT VIA 3RD PARTY BILLING**

☐ FedEx ☐ UPS

Account #

Zip Code

Reset Form

EQUITY INSTITUTIONAL®

ACCOUNT TRANSFER FORM

Account Number ______________________

5 TRANSFER INSTRUCTIONS FOR CURRENT TRUSTEE/CUSTODIAN

- The term "liquidate all assets and transfer proceeds" will result in all marketable securities to be sold and cash proceeds will be forwarded.
- The term "in-kind" refers to the re-registration of a stock, mutual fund, etc. from the prior Trustee/Custodian's name to Equity Trust Company.
- If only a partial transfer of certain asset(s) is desired, please list all assets to be liquidated or transferred in-kind in the spaces provided as well as mark the appropriate box. A copy of a recent statement (dated within 6 months) from your current Trustee/Custodian is required.

Type of Transfer: *(Check One)*	☐ **Full Transfer** ***Liquidate**** all assets and transfer as cash	☐ **Full Transfer** Transfer all assets ***in-kind***	☐ **Partial Transfer** (As instructed below)

PARTIAL TRANSFER ONLY
List CASH Amount Being Transferred..$

LIST NON-TRADITIONAL ASSETS BELOW (Please provide a brief description)	**QUANTITY** (All, # of Shares, or Value	**INSTRUCTIONS** (Please check one box per asset)
1.		☐ Liquidate or ☐ In-Kind
2.		☐ Liquidate or ☐ In-Kind
3.		☐ Liquidate or ☐ In-Kind

***For all liquidation requests, contact your current Trustee/Custodian to initiate the liquidation process.**

6 INSTRUCTIONS FOR DELIVERY *(Choose how you want your current Trustee/Custodian to deliver your assets to Equity Trust Company.)*

Funds available immediately upon receipt		**Funds may not be available for up to 5 business days after receipt.**
☐ **Incoming Wire Transfer** (Included in Express Transfer Service)	☐ **Cashier's Check**	☐ **Regular Check**

Please send Check/Re-registration as follows (check one):

☐ **First Class Mail**

☐ **Overnight delivery* and charge my account the $25.00 overnight fee**

*Physical address must be provided, cannot overnight to P.O. Box

☐ **Send Overnight via 3RD Party Billing:**

☐ FedEx ☐ UPS Zip Code ____________

Account # ____________

7 PAYMENT INFORMATION

How would you like to pay for any service-related fees associated with this transaction?

Choose a payment method: ☐ Deduct Fees from Account ☐ Check Enclosed ☐ Credit Card on file

Note: By checking ***Credit Card on file***, you authorize Equity Trust Company to charge this card for all service-related fees associated with this transaction (if applicable). To add, change, or update a credit card, please complete and submit the Credit Card Form.

8 SIGNATURES FOR SELF-DIRECTED IRAS

- ***A notary public CANNOT provide a Medallion Signature Guarantee.***
- ***A signature guarantee can be obtained from your bank.***
- ***If your current Custodian does not require a Medallion Signature Guarantee, you can simply sign and date this form.***

I certify that I have established or will establish a Self-Directed IRA with the Custodian named below. I agree to the terms of this form. I understand that I am responsible for determining my eligibility for all transfers and I agree to indemnify and to hold the Custodian harmless against any and all situations arising from an ineligible transfer. I acknowledge that the Custodian cannot provide legal advice and I agree to consult with my own tax professional for advice.

Authorized Officer to Place "Medallion Signature Guarantee" Stamp Here

______________________________ ______________

Signature of IRA Holder Date

LETTER OF ACCEPTANCE - FOR OFFICE USE ONLY

Equity Trust Company accepts the appointment as successor Custodian on behalf of the depositor and requests the transfer and/or liquidation of assets as instructed above.

Authorized Signature, Equity Trust Company: ______________________________

Date: ______________

"Medallion Signature Guarantee" Stamp Here

The following is a list of documents required when an asset is being transferred. If the original document is not available a copy must be included at the time the ***Account Transfer Form*** is submitted.

Asset Being Transferred*	Documents Required
Forex:	Copy of Foreign Currency Application
General:	
Mobile Homes	Mobile Home Title
Land Contract	Land Contract Agreement
Options	Option Agreement, Maturity Date
Annuities	Annuity Agreement
Structured Settlement	Copy of Settlement Agreement (original if available), original Assignment or original Contract, copy of the Court Order transferring (it it exists)
Lease Agreement	Lease Agreement
Oil & Gas Venture	• If not part of a Joint Venture, then only the Agreement • If part of a Joint Venture, the requirements of Joint Venture on Entity DOI
Private Debt:	
Corporate Debt / Equity (Unsecured Notes)	Certificate of LP filed with the State or Articles of Organization or Articles of Incorporation
Note Secured by Real Property	Copy of the note, recorded Deed of Trust/Mortgage and the assignment of the note and Deed of Trust/Mortgage
Note Secured by Collateral other than Real Property	Copy of the note stating the associated collateral and the assignment of the note and associated collateral
Unsecured Note	Copy of the note and the assignment of the note
Private Equity:	
Limited Partnership	Certificate of Limited Partnership filed with the State, Limited Partnership Agreement signed by retirement account holder, Private Placement Memorandum and Subscription Agreement with investor questionnaire from the initial purchase
Limited Liability Company	Articles of Organization, Operating Agreement, Private Placement Memorandum and Subscription Agreement with investor questionnaire from the initial purchase
Land Trust	Land Trust Agreement
Private Stock/C-Corporation	Articles of Incorporation, By-Laws, Private Placement Memorandum and Subscription Agreement with investor questionnaire from the initial purchase
Joint Venture	Joint Venture Agreement
Real Estate:	
Real Estate (includes pre foreclosure, subject to's and short sales)	Copy of the recorded deed and the quit claim deed (or other deed) that will transfer ownership of the property
Tax Lien:	Evidence of ownership from the county
*A copy of the Previous Custodian's Statement is required with all assets being transferred.	

DO NOT FAX OR MAIL THIS PAGE