

THE EQUITY TRUST COMPANY

ACCOUNT TRANSFER FORM



INSTRUCTIONS AND GUIDELINES

Use this form to transfer an account to Equity Trust Company

When completing your Transfer Form, please follow these guidelines:

- Refer to the website transfer page or call **1-888-382-4727** for guidance on what to ask your previous custodian and to check if your previous custodian's information is already listed.
- Be sure to fill out **ALL** sections of the transfer form.
- **Original copies** of the Transfer Form must be submitted, unless you have received permission from your previous custodian that a faxed copy will be accepted.
- You **MUST** submit a copy of a current statement for the account you are transferring from with the form unless you are completing a partial cash transfer.
- For each account that is being transferred to ETC, you **MUST** fill out a separate Transfer form.

If using this form to complete a Roth Conversion Transfer:

- Tax form 1099-R for your requested conversion will be generated by the issuing custodian prior to January 31st of the following tax year. This form must accompany your Federal Tax Return as this movement is a taxable event and must be reported to the IRS.
- Equity Trust Company will report the receipt this conversion on form 5498.
- If converting from a Qualified Plan (401(k), 403(b), etc.) contact your current plan administrator to determine the necessary paperwork to complete a conversion.



SUBMISSION OPTIONS

OVERNIGHT:

Equity Trust Company
225 Burns Road
Elyria, OH 44035

REGULAR MAIL:

Equity Trust Company
P.O. Box 1319
Elyria, OH 44036

Fax/email this form to Equity Trust **ONLY** if you have confirmed with your current custodian they will accept the transfer forms via fax/email

BY FAX: .

(440) 366-3755

BY EMAIL:

help@trustetc.com

1 IRA OWNER INFORMATION

ACCOUNT OWNER NAME		ACCOUNT # ASSIGNED BY EQUITY TRUST	
SOCIAL SECURITY NUMBER	DATE OF BIRTH	PRIMARY DAYTIME PHONE NUMBER	
STREET ADDRESS	CITY	STATE	ZIP CODE

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

2 WHERE ARE FUNDS CURRENTLY HELD?


NAME OF COMPANY	ACCOUNT NUMBER	ESTIMATED TRANSFER VALUE: \$	
STREET ADDRESS*	CITY	STATE	ZIP CODE
PHONE	FAX*		

* Contact your previous 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.trustetc.com or call 1-888-382-4727 for assistance.

<p>Account Type Being Transferred:</p> <input type="checkbox"/> Traditional <input type="checkbox"/> SIMPLE <input type="checkbox"/> Roth <input type="checkbox"/> HSA <input type="checkbox"/> SEP <input type="checkbox"/> Qualified Plan <input type="checkbox"/> Education (CESA) <input type="checkbox"/> Qualified Plan - Roth		<p>To Equity Trust Account Type:</p> <input type="checkbox"/> Traditional <input type="checkbox"/> SIMPLE <input type="checkbox"/> Roth <input type="checkbox"/> HSA <input type="checkbox"/> SEP <input type="checkbox"/> Qualified Plan <input type="checkbox"/> Education (CESA) <input type="checkbox"/> Qualified Plan - Roth
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Check here if this is an inherited IRA

* Transfer of a tax-deferred account (Traditional, SEP, SIMPLE, Qualified Plan) to a Roth IRA is considered a taxable event.

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

EXPRESS TRANSFER SERVICE (\$50.00)
Includes Overnight Service (\$18 Value) and Incoming Wire Fee (\$30 Value)

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.**
- Overnight service to current custodian at no additional cost
- Additional wire fee waived if receiving transfer funds by wire
- Frequent follow-up calls will be placed to your current custodian to check on transfer status
- As we receive updates you will be contacted immediately if needed
- Immediate notification when funds are received

NORMAL MAIL PROCESSING SERVICE (NO CHARGE)

OVERNIGHT MAIL SERVICE (\$18) (Included in Express Transfer Service)

- Your transfer forms and statement will be sent overnight to your previous account holder.

NOTE: Funds must be available for processing fees.

Processing begins on the business day paperwork is received, if it is received before 10:00 a.m. Eastern Time. If paperwork is received after 10:00 a.m. Eastern Time, administrative processing will start the next business day. If the paperwork requires any corrections, processing will stop until the proper corrections have been made. In order for processing to resume on the day it was stopped, corrections must be submitted before 12:00 noon Eastern Time that business day.

