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 📍 6301 Indian School Rd NE, Suite 200, Albuquerque, NM 87110

Processing Options: (If no option selected, "Normal Processing" will apply.)

- Normal Processing (Within 3 Business Days)
 Express Processing (Within 24 hours - \$50.00; Recommended)

PART 1. ACCOUNT OWNER INFORMATION

Account Type:

- Traditional IRA Roth IRA SEP IRA SIMPLE IRA
 Inherited Traditional IRA (From Deceased Qualified Retirement Plan) Inherited Roth IRA (From Deceased Qualified Retirement Plan)

First Name: M.I.: Last Name: Account #:

Last 4 SSN Digits: Date of Birth: (MM/DD/YYYY) Email Address:

PART 2. ROLLOVER AMOUNTS

I hereby irrevocably designate the following rollover contribution(s) in cash and/or property as a rollover contribution:

	Asset Description: (I.e., Cash Balance, Property Address, Policy ID, etc.)	Cash Amount:	Fair Market Value of Rollover Asset:
1.	<input type="text"/>	<input type="text"/>	<input type="text"/>
2.	<input type="text"/>	<input type="text"/>	<input type="text"/>
3.	<input type="text"/>	<input type="text"/>	<input type="text"/>

PART 3. ROLLOVER ELIGIBILITY INFORMATION

For Rollovers from another IRA (Select all that apply.)

- I received the assets from the distributing IRA within the last 60 days.

 This rollover contribution does not contain a Required Minimum Distribution (RMD).

 Within the last 12 months, I have not rolled over any other distribution from any of my IRAs. (Traditional, Roth, SEP, or SIMPLE IRA)

 I am rolling over the same assets that were distributed.
 ⓘ If you are rolling over assets or property from the IRA, this option must be selected.

 More than two years have passed since the first contribution to my SIMPLE IRA.
 ⓘ If this is a rollover from or into a SIMPLE IRA, this option must be selected.

For Direct or Indirect Rollovers from an Eligible Employer-Sponsored Plan *(Select all that apply.)*

I am the plan participant, spouse beneficiary, alternate payee of a qualified domestic relations order, or nonspouse beneficiary of the plan participant.


This rollover contribution is from an eligible employer-sponsored retirement plan.

This rollover contribution does not contain any ineligible rollover distribution amounts.

I am rolling over the same assets or the proceeds from the sale of those assets.

 If you are rolling over assets or property from the plan, this option must be selected.

I have received the assets from the distributing plan within the last 60 days.

 If the assets are not payable directly to your IRA, this option must be selected.

I am rolling over the designated Roth account assets into a Roth IRA.

 If your rollover contribution includes designated Roth account assets from a 401(k), 403(b), or governmental 457(b), this option must be selected.

PART 4. ACCOUNT OWNER AUTHORIZATION

Important: Please read before signing.

I have read and understand the rollover rules and conditions on all pages of this form and I have met the requirements for making a rollover. Due to the important tax consequences of rolling over funds or property to an employer-sponsored retirement plan, I have been advised to see a tax professional. All information provided by me is true and correct and may be relied on by the Trustee/Custodian/Plan Administrator. I assume full responsibility for this rollover transaction and will not hold the Trustee/Custodian/Plan Administrator liable for any adverse consequences that may result. I hereby irrevocably designate this contribution in cash and/or property as a rollover contribution.

Signature of IRA Owner:

IRA Owner Name: *(Print or Type)*

Date: *(MM/DD/YYYY)*

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Rollovers between IRAs

Timeliness. The assets you receive from the distributing IRA generally must be deposited into another IRA within 60 calendar days.

Required Minimum Distribution. Distributions that represent required minimum distributions paid to an IRA owner or beneficiary may not be rolled over.

Twelve-Month Restriction. You are permitted to roll over only one distribution from an IRA (Traditional, Roth, SEP, or SIMPLE) in a 12-month period, regardless of the number of IRAs you own.

SIMPLE IRA Rollover Restriction. A SIMPLE IRA may not receive a rollover from a different type of IRA or be rolled over to a Traditional IRA within the first two years of the first contribution to the SIMPLE IRA.

Direct or Indirect Rollover from an Employer-Sponsored Retirement Plan

Eligible Person. You are an eligible person only if you were or are a participant in an eligible plan, the surviving spouse beneficiary of a deceased participant, or the alternate payee (spouse or former spouse) identified in a qualified domestic relations order. A nonspouse beneficiary may roll over assets to an inherited Traditional IRA only as a direct rollover.

Eligible Plan. A distribution will not be eligible to be rolled over unless the distribution is made from an eligible employer-sponsored retirement plan. A rollover contribution must be from one of the following eligible employer-sponsored retirement plans: qualified retirement plan (Internal Revenue Code Section (IRC Sec.) 401(a) (e.g., 401(k), profit sharing, money purchase pension)), annuity plan (IRC Sec. 403(a)), tax-sheltered annuity plan (IRC Sec. 403(b)), governmental deferred compensation plan (IRC Sec. 457(b)), or federal Thrift Savings Plan.

Ineligible Rollover Distributions. The following types of distributions are ineligible for rollover.

- Required minimum distributions
- Distributions that are part of a series of substantially equal periodic payments (made over single or joint life expectancy or for a specified period of 10 or more years)
- Hardship distributions
- Returns of 401(k) elective deferrals because of the IRC Sec. 415 allocation limitations
- Returns of excess contributions and excess aggregate contributions from a 401(k) or 401(m) plan
- Returns of excess deferrals (i.e., amounts that exceed the deferral limit)
- Plan loan amounts that are treated as distributions because of a default or because the loan does not meet the IRC Sec. 72(p) requirements
- Dividends paid on employer securities as described in IRC Sec. 404(k)
- PS 58 costs (associated with life insurance coverage)
- Permissible withdrawals from eligible automatic contribution arrangements (generally within 90 days of the first automatic contribution)
- Designated Roth account contributions (these contributions may be rolled over only to a Roth IRA)

Timeliness. If payable to you, the assets you receive from the distributing plan generally must be deposited into a Traditional IRA within 60 calendar days.