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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: Individual 401(k) Plan Qualified Retirement Plan

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

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

PART 2. PREVIOUS CUSTODIAN INFORMATION

Previous Custodian Account Type:

- Traditional IRA SEP IRA SIMPLE IRA Employer-Sponsored Retirement Plan
 Employer-Sponsored Retirement Plan with Designated Roth Account

Complete the following, if this is a rollover from an eligible employer-sponsored plan:

Your role in plan:

- Plan Participant Surviving Spouse Beneficiary
 Nonspouse Beneficiary of Plan Participant Alternate Payee of Qualified Domestic Relations Order

Type of Distributing Plan:

- Qualified Retirement Plan (IRC Sec. 401(a)) Annuity Plan (IRC Sec. 403(a))
 Tax-Sheltered Annuity Plan (IRC Sec. 403(b)) Governmental Deferred Compensation Plan (IRC 457(b))

PART 3. 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 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 4. ROLLOVER ELIGIBILITY INFORMATION

For Rollovers from a Traditional, SEP, or SIMPLE IRA *(Select all that apply.)*

I received the assets from the distributing IRA or eligible employer-sponsored retirement plan within the last 60 days.

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

This rollover contribution consists only of pretax assets.

This rollover contribution does not contain any substantially equal periodic payments.

More than two years have passed since the first contribution to my SIMPLE IRA.

! If this is a rollover from a SIMPLE IRA, this option must be selected.

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

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

This rollover contribution does not include any amounts which constitute a distribution due to hardship.

This rollover contribution does not include any amounts that are part of a series of substantially equal periodic payments over my life expectancy or a period of 10 years or more.

This rollover contribution does not include any funds or property other than the funds or property I received from the distributing plan (and/or proceeds from the sale of distributed property).

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

! If the assets are not payable directly to the receiving plan, this option must be selected.

For Rollovers of Designated Roth Assets from an Employer-Sponsored Plan *(Select all that apply.)*

Amount of my rollover attributable to Roth elective deferrals:

\$

Amount of my rollover attributable to earnings on Roth elective deferrals:

\$

First year in which I made a Roth elective deferral to the plan, from which my rollover is being made:

\$

PART 5. ACCOUNT OWNER AUTHORIZATION

Important: 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 Account Owner:

Account Owner Name: *(Print or Type)*

Date: *(MM/DD/YYYY)*

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Traditional IRA or SIMPLE IRA to Employer Plan Rollover

Timeliness. The funds you receive from the distributing IRA must generally be deposited into the employer plan within 60 days after you receive them. However, this period is 120 days for certain rollovers relating to first-home purchases. When counting the 60 (or 120) days, include weekends and holidays. The IRS has the authority to grant extensions to the 60 (or 120) day rule in cases where a hardship occurs (e.g., casualty, disaster, etc.) or you may use the self-certification procedure. Receipt generally means the day you actually have the funds in hand. For example, the 60 days would begin on the day following the day you pick up the check from the Trustee or Custodian or you receive the check in the mail.

Required Minimum Distribution Rollover Restriction. If this rollover is being made during or after the year for which you are required to begin receiving distributions, you cannot roll over any distribution to the extent that it is a required minimum distribution from the distributing plan.

Nondeductible Amounts. You may not roll funds that you have contributed to your IRA for which you did not receive a tax deduction (after-tax dollars).

Substantially Equal Periodic Payments. If you are taking substantially equal periodic payments from your IRA, these distributions are not able to be rolled to an employer plan.

SIMPLE IRA Rollover Restriction. A SIMPLE IRA may be rolled over to an eligible employer plan provided two years have passed since you first participated in your employer's SIMPLE salary reduction arrangement.

Employer Plan to Employer Plan Rollover

Rollover Requirements:

- **Required Minimum Distributions.** Distributions which represent required minimum distributions paid during a participant's first distribution calendar year or later may not be rolled over.
- **Substantially Equal Periodic Payments.** For purposes of determining an eligible rollover distribution, substantially equal periodic payments are defined as a series of substantially equal distributions made not less frequently than annually and calculated: 1) over the life (or life expectancy) of the individual or the joint lives (or life expectancies) of the individual and the individual's beneficiary, or 2) for a specified period of 10 years or more.
- **Property Distributions.** If property other than cash is distributed, only the same property or the proceeds from its sale may be rolled over. If you receive property but wish to roll over cash, you must actually sell the property and roll over the proceeds.
- **Hardship Distributions.** Distributions taken on account of financial hardship are not eligible to be rolled over.
- **Timeliness.** The funds you receive from the distributing plan must be deposited in an eligible employer plan within 60 days after you receive them, excluding the day of receipt. When counting the 60 days, include weekends and holidays. Receipt generally means the day you actually have the funds in hand.