

Account #: \_\_\_\_\_

Advisor #: \_\_\_\_\_

**1 I AM ROLLING OVER ASSETS INTO A:**

**New IRA**  **Existing IRA #:** \_\_\_\_\_  
 (Please attach Rollover IRA application)

**A. Rollover IRA Name:** \_\_\_\_\_

**B. Social Security Number:** \_\_\_\_\_

**2 DISTRIBUTING EMPLOYER INFORMATION**

Employer/Current Custodian: \_\_\_\_\_ Contract or Plan Number: \_\_\_\_\_

Street Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ ZIP Code: \_\_\_\_\_

Contact Person (if any): \_\_\_\_\_ Daytime Telephone Number: \_\_\_\_\_

**PLEASE INCLUDE A COPY OF A RECENT ACCOUNT STATEMENT**

**3 INSTRUCTIONS TO DISTRIBUTING EMPLOYER**

Liquidate all assets and send proceeds to TD Ameritrade Clearing, Inc., FBO \_\_\_\_\_  
 Account Owner's name

Liquidate the following securities and send proceeds to TD Ameritrade Clearing, Inc., FBO \_\_\_\_\_  
 Account Owner's name

Description of Asset (Partial transfers only)	Quantity (Indicate # of shares or "ALL")	Description of Asset (Partial transfers only)	Quantity (Indicate # of shares or "ALL")

Deliver the following securities in certificate form:

Description of Asset (Partial transfers only)	Quantity (Indicate # of shares or "ALL")	Description of Asset (Partial transfers only)	Quantity (Indicate # of shares or "ALL")

Deliver all securities in certificate form, if available. Any assets that cannot be delivered to TD Ameritrade Clearing, Inc. in certificate form will be liquidated and deposited as cash. Please contact your plan administrator.

**4 LETTER OF ACCEPTANCE**

The participant named above has established a Rollover IRA at TD Ameritrade, Inc. Please be advised that TD Ameritrade Clearing, Inc., as successor custodian, will accept the assets in the above captioned account. Please complete a Direct Rollover for this participant.

TD Ameritrade Authorized Signature: \_\_\_\_\_ Date: \_\_\_\_\_



**5 SIGNATURE: PLEASE READ AND SIGN THIS SECTION**

If this account is a qualified retirement account, I have amended the applicable plan so that it names TD Ameritrade Clearing, Inc. as a successor custodian. If I am over 70½, I attest that none of the amount to be transferred will include the required minimum distribution for the current year pursuant to Section 401(a)(g) of the Internal Revenue Code. Unless otherwise indicated in the instructions above, please transfer all assets in my account to TD Ameritrade, Inc. I understand that to the extent any assets in my account are not readily transferable, with or without penalties, such assets may not be transferred within the time frames required by NYSE Rule 412 or similar rule of FINRA or other designated examining authority. Unless otherwise indicated in the instructions below, I authorize you, the employer, to liquidate any non-transferable proprietary money market fund assets that are part of my account and the resulting credit balance to TD Ameritrade, Inc. I authorize you to deduct any outstanding fees due you from the credit balance in my account. If my account does not contain a credit balance, or if the credit balance in the account is insufficient to satisfy any outstanding fees due you, I authorize you to liquidate the assets in my account to the extent necessary to satisfy that obligation. If certificates or other instruments in my account are in your physical possession, I instruct you to transfer them in good deliverable form, including affixing any necessary tax waivers, to enable the successor custodian to transfer them in its name for the purpose of sale, when and as directed by me. I understand that upon receiving a copy of this transfer instruction, you will cancel all open orders for my account on your books.

Account Owner's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**6 PLAN ADMINISTRATOR DELIVERY INSTRUCTIONS**

**For Physical Delivery of Certificates:**

TD Ameritrade Clearing, Inc.  
1005 North Ameritrade Place  
Omaha, NE 68005  
Attn: Darren Parsons

**Fed Wire Monies, Wire To:**

First National Bank of Omaha  
A/C of TD Ameritrade Clearing, Inc.  
ABA 104-000-016  
F/C 16424642

TD Ameritrade, Inc. Account Number: \_\_\_\_\_  
All wires MUST include client name and TD Ameritrade account number.

**Forward Checks To:**

TD Ameritrade Clearing, Inc. - Advisor  
Services  
P.O. Box 919031  
San Diego, CA 92191-9031

All checks MUST include client name and  
TD Ameritrade account number.

**IMPORTANT INFORMATION REGARDING YOUR DIRECT ROLLOVER**

**INFORMATION**

A **Direct Rollover** is the transfer of your retirement account from your (former) employer's sponsored retirement plan. When you conduct a Direct Rollover, two transactions occur:

1. A distribution of your account from your (former) employer's retirement plan; and
2. A rollover of your account to an IRA or another employer's retirement plan

**INFORMATION**

**• Does your (former) employer require you to complete a distribution form(s) to effect a distribution from the retirement plan?**

Yes  No

(If "Yes," your employer's distribution form is in addition to the TD Ameritrade Rollover IRA Application and Direct Rollover Authorization Forms. Speak to your [former] employer for more information and to expedite your rollover.)

**• Will your (former) employer release your information to a third party (i.e., TD Ameritrade, Inc.)?**

Yes  No

(If "No," TD Ameritrade, Inc. cannot conduct any follow-ups on your rollover transaction. Consequently, you may want to follow up with your [former] employer to ensure that your distribution is handled in a timely manner.)

**• Will your (former) employer mail your distribution check directly to you instead of the financial institution of your choice?**

Yes  No

(If "Yes," this may delay the rollover of your account. Mailing your distribution check directly to you can result in additional time that your money remains uninvested. Ask your employer if it is possible to send your distribution check directly to TD Ameritrade, Inc.)

The process of rolling over your retirement plan may take longer than you expect. To avoid delays, be sure that you have received, completed and signed all required forms. If you have any questions, please contact your advisor.

**TD Ameritrade Institutional**  
4075 Sorrento Valley Blvd., Suite A  
San Diego, CA 92121

TDAI 2354 REV. 11/10

Investment Products: Not FDIC Insured \* No Bank Guarantee \* May Lose Value

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