

Account Number:

(IRA Plus Southwest, LLC account number)

Use this form to authorize a Direct Rollover from an employer's retirement plan to your IRA with IRA Plus Southwest, LLC.

1 ACCOUNT HOLDER INFORMATION

Legal Name: _____ Date of Birth: _____

Address: _____ Soc. Sec. Number: _____

City, State, Zip: _____

Type of Account at IRA Plus Southwest, LLC (check one):

- Traditional IRA
- Roth IRA
- SEP IRA
- This is also an Inherited IRA

2 CURRENT RETIREMENT PLAN INFORMATION

Name of Employer: _____ Contact Name at Employer: _____

Name of Distributing Plan: _____

Address: _____ Phone: _____

City, State, Zip: _____

Type of Plan: (check one) 401(k) Profit Sharing Pension 403(b) 457 Other _____

3 ROLLOVER INSTRUCTIONS

I hereby authorize IRA Plus Southwest to send the Direct Rollover Request to my existing custodian/trustee utilizing the following method: Regular Mail Overnight Mail (\$30)

NOTICE: MOST PLAN ADMINISTRATORS, TRUSTEES, CUSTODIANS, ETC. WILL NOT COMPLETE A DIRECT ROLLOVER UPON RECEIPT OF THIS FORM ALONE. BEFORE COMPLETING THE DIRECT ROLLOVER REQUEST, YOU SHOULD CONTACT THE PLAN ADMINISTRATOR AND/OR TRUSTEE OR CUSTODIAN OF THE EMPLOYER'S RETIREMENT PLAN TO OBTAIN ANY DISTRIBUTION ELECTION FORMS REQUIRED BY THEM.

WARNING REGARDING LIQUIDATION ORDERS

Although you may request your current Custodian to liquidate some or all of your holdings into cash and transfer the cash to us, please be aware that **MANY CUSTODIANS WILL NOT HONOR THE LIQUIDATION REQUEST** and will return your rollover request to us. To avoid delays in processing, we strongly recommend that you verify that your account at your current Custodian has sufficient cash to allow for the rollover. This means that you may have to liquidate some or all of your holdings prior to the time this Direct Rollover Request is sent to your current Custodian/Trustee.

By signing this form, the Account Holder hereby authorizes the current Custodian/Trustee to rollover the assets noted below.

COMPLETE ROLLOVER

- Liquidate all assets and rollover proceeds to IRA Plus Southwest, LLC. Proceed to section 4.
- Rollover all assets "in-kind" along with any cash balance to IRA Plus Southwest, LLC. Proceed to section 4.

PARTIAL ROLLOVER

- Send \$ _____ in cash to IRA Plus Southwest, LLC.
- Rollover the assets noted below "in-kind" to IRA Plus Southwest, LLC.

<u>Asset</u>	<u>Value</u>

4

DELIVERY INSTRUCTIONS

Regular Mail

IRA Plus Southwest, LLC
8226 Douglas Avenue, Suite 332
Dallas, TX 75225

Make check payable to:
IRA Plus Southwest, LLC
FBO: (client's name) IRA # _____

Overnight Mail

IRA Plus Southwest, LLC
8226 Douglas Avenue, Suite 332
Dallas, TX 75225

Make check payable to:
IRA Plus Southwest, LLC
FBO: (client's name) IRA # _____

Wire (\$25 fee)

TIB
(Irving, TX)
111010170

Account Name: Third Coast Bank ssb
(20202 Hwy 59 N, Ste. 190; Humble, TX 77338)

Account Number: **1024272**

Final Credit: IRA Plus Southwest, LLC
Custodial Account: 1000001600

Ref: (client's name) IRA # _____

Asset Registration Instructions:

The registration / title for the investment and other related documents must reflect the name of IRA Plus Southwest, LLC, the name of the Account Holder, the account number, and IRA Plus Southwest, LLC's Tax ID Number.

Tax Identification Number: 20-2247971

IRA Plus Southwest, LLC FBO: (client's name) IRA # _____

5

ACCOUNT HOLDER ROLLOVER AUTHORIZATION AND SIGNATURE

I hereby agree to the terms and conditions set forth in this Direct Rollover Request and acknowledge that I have established an account of the type designated in section 1 of this form. I acknowledge that I understand the rules and conditions regarding Direct Rollovers and I certify that I qualify for the Direct Rollover of assets listed in the Rollover Instructions above and authorize such transactions. I certify that this Direct Rollover does not contain my Required Minimum Distribution. I irrevocably elect to designate this contribution of cash or other property as a Rollover Contribution.

I UNDERSTAND that if funds are wired to IRA Plus Southwest, LLC (IPS), IPS will deduct the incoming wire fee from my account unless I have prepaid such fee.

I HEREBY AUTHORIZE the present Custodian to deliver my cash and/or assets as noted above.

Signature: **X** _____

Date: **X** _____

If we have a copy of the Account Holder's unexpired driver's license or passport, we can provide a Medallion Signature Guarantee for transfers up to \$500,000. The Account Holder must provide a Medallion Signature Guarantee stamp for transfers over \$500,000. →

Medallion Signature Guarantee

6

LETTER OF ACCEPTANCE BY RECEIVING CUSTODIAN

The Custodian has authorized IRA Plus Southwest, LLC to sign this form on the Custodian's behalf to verify the Custodian's acceptance of the direct rollover described above and agrees to apply the proceeds upon their receipt, to the account established by IRA Plus Southwest, LLC, on behalf of the account holder named above.

IRA Plus Southwest, LLC on behalf of Custodian,

By: _____

Date: _____

Printed Name: _____

Title: Authorized Agent