STERLING TRUST®
A Division of Equity Trust Company

ACCOUNT TRANSFER FORM

INSTRUCTIONS AND GUIDELINES

Use this form to transfer an account to Sterling Trust.

When completing your *Account Transfer Form*, please follow these guidelines:

- Be sure to fill out **ALL** sections of the ***Account Transfer Form***.
- **Original copies** of the ***Account Transfer Form*** must be submitted, unless you have received permission from your previous Trustee/Custodian that a faxed copy will be accepted.
- Contact your current Trustee/Custodian to inquire if a Medallion Signature Guarantee is required. If required, one should be obtained from an authorized member of the **Securities Transfer Agents Medallion Program (STAMP)**. Check with your local bank or broker/dealer to see if they offer this service. ***Note: a Notary Public is not acceptable.***
- You **MUST** submit a copy of a current statement (dated within 6 mos.) for the account you are transferring from along with the ***Account Transfer Form***.
- For each account that is being transferred to Sterling Trust Company, you **MUST** fill out a separate ***Account Transfer Form***.
- If you are rolling over an account from a Qualified Plan, please contact your plan administrator to verify if additional forms are required and for eligibility.
- If you are transferring an annuity, you **may incur** surrender/penalty charges. Please attach the original policy or a statement of loss.
- If you are transferring a Brokerage IRA and wish to transfer as cash, you will need to liquidate the appropriate assets prior to completing and submitting the ***Account Transfer Form***.

SUBMISSION OPTIONS

OVERNIGHT:
Sterling Trust
7901 Fish Pond Road
Waco, TX 76710

REGULAR MAIL:
Sterling Trust
P. O. Box 2526
Waco, TX 76702-2526

Fax/e-mail this form to Sterling Trust ONLY if you have confirmed with your current custodian they will accept the Account Transfer Form via fax/e-mail.

BY FAX:
254-751-0872

BY EMAIL:
IRAServices@SterlingTrustCompany.com

CONTACT INFORMATION

MAILING ADDRESS:
Sterling Trust
P. O. Box 2526
Waco, TX 76702-2526

PHYSICAL ADDRESS:
7901 Fish Pond Road
Waco, TX 76710

For assistance, please contact a Client Services Representative at:
Phone:
800-955-3434 (Option 2)
254-751-1505 (Option 2)
Fax:
254-751-0872

Website:
www.SterlingTrustCompany.com

Or e-mail questions to:
IRAServices@SterlingTrustCompany.com

Reset Form

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PHONE: 800-955-3434 (option 2), 254-751-1505 (option 2)
FAX: 254-751-0872 / EMAIL: IRAServices@SterlingTrustCompany.com

Account Transfer Form

PLEASE PRINT CLEARLY. A DELAY IN PROCESSING MAY OCCUR IF INSTRUCTION IS UNCLEAR.

1 ACCOUNT HOLDER INFORMATION

ACCOUNT HOLDER NAME		ACCOUNT # ASSIGNED BY STERLING TRUST
SOCIAL SECURITY NUMBER	DATE OF BIRTH	HOME PHONE NUMBER
EMAIL ADDRESS		

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

2 WHERE ARE FUNDS CURRENTLY HELD?

NAME OF PRESENT TRUSTEE or CUSTODIAN	ACCOUNT NUMBER	**ESTIMATED TRANSFER VALUE** $	
STREET ADDRESS*	CITY	STATE	ZIP CODE
TELEPHONE NUMBER *(please include area code)*	FAX*		

** Contact your previous Trustee/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.SterlingTrustCompany.com for assistance.

Account Type Being Transferred:

- ☐ Traditional
- ☐ Roth
- ☐ SEP
- ☐ SIMPLE
- ☐ Qualified Plan
- ☐ Qualified Plan - Roth

To Sterling Trust Account Type:

- ☐ Traditional
- ☐ Roth
- ☐ SEP
- ☐ SIMPLE

☐ Check here if this is an inherited IRA

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

☐ **EXPRESS TRANSFER SERVICE* ($50.00)**

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 Sterling Trust.
- Wire fee waived if receiving funds by wire.
- Frequent follow-up calls will be placed to your current Trustee/ Custodian to check on transfer status
- As we receive updates you will be contacted immediately if needed

Although the feature does not guarantee same day service, it does guarantee that your request will be processed before other non-expedited requests

☐ **NORMAL PROCESSING SERVICE (NO CHARGE)**

☐ **OVERNIGHT MAIL SERVICE**

- Your transfer forms and statement will be sent overnight to your previous Trustee/Custodian.
- Physical address must be provided, cannot over-night to P.O. Box

☐ **USE ATTACHED Pre-Addressed Airbill**

☐ **SEND OVERNIGHT VIA 3RD PARTY BILLING**

☐ FedEx ☐ UPS

Account # ____________

Zip Code ____________

NOTE: Funds must be available for processing fees.

Reset Form

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Account Number ____________________

5 PAYMENT INFORMATION

How would you like to pay for any service-related fees associated with this transaction?

Choose a payment method: ☐ Deduct Fees from Account ☐ Check Enclosed

Note: Please complete the attached *Credit Card Form* if you wish to pay by credit card. By completing the ***Credit Card Form***, you authorize Sterling Trust to charge this card for all service-related fees associated with this transaction.

6 TRANSFER INSTRUCTIONS FOR CURRENT TRUSTEE/CUSTODIAN

- The term "liquidate all assets and transfer proceeds" will result in all marketable securities to be sold and cash proceeds will be forwarded.
- The term "in-kind" refers to the re-registration of a stock, mutual fund, etc. from the prior Trustee/Custodian's name to Sterling Trust.
- If only a partial transfer of certain asset(s) is desired, please list all assets to be liquidated or transferred in-kind in the spaces provided as well as mark the appropriate box. A copy of a recent statement (dated within 6 months) from your current Trustee/Custodian is required.

Type of Transfer: *(Check One)*	☐ **Full Transfer** ***Liquidate**** all assets and transfer as cash	☐ **Full Transfer** Transfer all assets ***in-kind***	☐ **Partial Transfer** (List below)

PARTIAL TRANSFER ONLY Description of Asset	**QUANTITY** (All, # of Shares, or Value	**INSTRUCTIONS** (Please check one box per asset)
1.		☐ Liquidate or ☐ In-Kind
2.		☐ Liquidate or ☐ In-Kind
3.		☐ Liquidate or ☐ In-Kind
4.		☐ Liquidate or ☐ In-Kind

***For all liquidation requests, contact your current Trustee/Custodian to initiate the liquidation process.**

7 INSTRUCTIONS FOR DELIVERY (Choose how you want your current Trustee/Custodian to deliver your assets to Sterling Trust.)

Funds available immediately upon receipt	Funds may not be available for up to 5 business days after receipt.
☐ Incoming Wire Transfer (Included in Express Transfer Service) ☐ Cashier's Check	☐ Regular Check

Please send Check/Reregistration as follows (check one):

☐ First Class Mail

☐ Overnight delivery* and charge my account the $25.00 overnight fee

*Physical address must be provided, cannot overnight to P.O. Box

☐ Send Overnight via 3RD Party Billing:

☐ FedEx ☐ UPS Zip Code ____________

Account # ____________

8 SIGNATURES FOR SELF-DIRECTED IRAs

- ***A notary public CANNOT provide a Medallion Signature Guarantee.***
- ***A signature guarantee can be obtained from your bank.***
- ***If your current Trustee/Custodian does not require a Medallion Signature Guarantee, you can simply sign and date this form.***

I certify that I have established or will establish a Self-Directed IRA with the Custodian/Trustee named below. I agree to the terms of this form. I understand that I am responsible for determining my eligibility for all transfers and I agree to indemnify and to hold the Custodian/Trustee harmless against any and all situations arising from an ineligible transfer. I acknowledge that the Custodian/Trustee cannot provide legal advice and I agree to consult with my own tax professional for advice.

______________________________ ____________
Signature of IRA Holder Date

Authorized Officer to Place "Medallion Signature Guarantee" Stamp Here

LETTER OF ACCEPTANCE - (FOR OFFICE USE ONLY)

Equity Trust Company, d.b.a. Sterling Trust ID # 05-0552743 accepts the appointment as successor Custodian on behalf of the depositor and requests the transfer and/or liquidation of assets as instructed above.

Authorized Signature, Sterling Trust: ______________________________ Date: ________/________/________

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Account Transfer Form

Addendum

The following is a list of documents required when an asset is being transferred. If the original document is not available a copy must be included at the time the ***Account Transfer Form*** is submitted.

Asset Being Transferred*	Documents Required
Forex:	Copy of Foreign Currency Application
General:	
Mobile Homes	Mobile Home Title
Land Contract	Land Contract Agreement
Options	Option Agreement, Maturity Date
Annuities	Annuity Agreement
Structured Settlement	Purchase Agreement or Assignment showing it is titled to IRA
Lease Agreement	Lease Agreement
Oil & Gas Venture	• If not part of a Joint Venture, then only the Agreement • If part of a Joint Venture, the requirements of Joint Venture on Entity DOI
Private Debt:	
Corporate Debt / Equity (Unsecured Notes)	Certificate of LP filed with the State or Articles of Organization or Articles of Incorporation
Note Secured by Real Property	Copy of the note, recorded Deed of Trust/Mortgage and the assignment of the note and Deed of Trust/Mortgage
Note Secured by Collateral other than Real Property	Copy of the note stating the associated collateral and the assignment of the note and associated collateral
Unsecured Note	Copy of the note and the assignment of the note
Private Equity:	
Limited Partnership	Certificate of Limited Partnership filed with the State, Limited Partnership Agreement signed by retirement account holder, Private Placement Memorandum and Subscription Agreement with investor questionnaire from the initial purchase
Limited Liability Company	Articles of Organization, Operating Agreement, Private Placement Memorandum and Subscription Agreement with investor questionnaire from the initial purchase
Land Trust	Land Trust Agreement
Private Stock/C-Corporation	Articles of Incorporation, By-Laws, Private Placement Memorandum and Subscription Agreement with investor questionnaire from the initial purchase
Joint Venture	Joint Venture Agreement
Real Estate:	
Real Estate (includes pre foreclosure, subject to's and short sales)	Copy of the recorded deed and the quit claim deed (or other deed) that will transfer ownership of the property
Tax Lien:	Evidence of ownership from the county
*A copy of the Previous Custodian's Statement is required with all assets being transferred.	

DO NOT FAX OR MAIL THIS PAGE

Reset Form

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CREDIT CARD FORM

PLEASE PRINT CLEARLY. A DELAY IN PROCESSING MAY OCCUR IF INSTRUCTION IS UNCLEAR.

1 ACCOUNT HOLDER INFORMATION

ACCOUNT HOLDER NAME	ACCOUNT NUMBER
EMAIL ADDRESS	

2 CREDIT CARD INFORMATION

NAME OF CARDHOLDER *(as stated on front of card)*		CARD TYPE: ☐ VISA ☐ Mastercard
BILLING ADDRESS		
CITY	STATE	ZIP CODE
HOME PHONE	MOBILE PHONE	
CREDIT CARD NUMBER		EXPIRATION DATE *(mm/yyyy)* /

THIS SPACE INTENTIONALLY LEFT BLANK

SIGNATURE

IMPORTANT -- Please read before signing.

The signature below acknowledges that I have received, read and understand Sterling Trust's ***Terms of IRA Custodial Account Agreement, Disclosure Statement and IRA Fee Schedule***; the ***Terms of IRA Custodial Account Agreement and Disclosure Statement*** explains the duties, limitations on duties, and the rights of Sterling Trust and depositor; and by signing this form below, the depositor assumes complete responsibility for determining contribution eligibility and tax consequences of any and all contributions or distributions. The Account Holder accepts and agrees to all of the terms and provisions set forth in the ***Terms of IRA Custodial Account Agreement and Disclosure Statement*** and has read and accepted the terms of Sterling Trust ***IRA Fee Schedule.***

My signature below acknowledges that I have read and agree with the ***Terms of IRA Custodial Account Agreement and Disclosure Statement***.

SIGN & DATE

Credit Cardholder Signature ____________ Date ____________ IRA Account Holder Signature ____________ Date ____________