STERLING TRUST
A Division of Equity Trust Company

Sterling Trust

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

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

P.O. Box 2526
Waco, TX 76702-2526
PHONE: 800-955-3434 (option 2), 254-751-1505 (option 2)
FAX: 254-751-0872
EMAIL: IRAServices@SterlingTrustCompany.com

Reset 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	PRIMARY DAYTIME PHONE NUMBER	
STREET ADDRESS	CITY	STATE	ZIP CODE

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 overnight 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.

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Waco, TX 76702-2526
PHONE: 800-955-3434 (option 2), 254-751-1505 (option 2)
FAX: 254-751-0872
EMAIL: IRAServices@SterlingTrustCompany.

Account Transfer Form

Account Number ______________________

Reset Form

5 PAYMENT INFORMATION

How would you like to pay for any service-related fees associated with this transaction? By checking the credit card box, you authorize Sterling Trust to charge this card for all service-related fees associated with this transaction.

Choose a payment method:

☐ Deduct Fees from Account ☐ Check Enclosed Credit Card: ☐ MasterCard ☐ VISA Exp Date (MM/YYYY) ______

Card Number ______________________

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

PARTIAL TRANSFER ONLY

Assets (list below)	Qty	Value $
1.		
2.		
3.		
4.		

***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: ______/______/______