

IRA TO IRA ROLLOVER FORM



1. **Client Name:** _____

Date of Birth: _____ Rollover Amount: _____

Current IRA

Proposed IRA

2. **Custodian:** _____

3. Acknowledgements

- Effective January 1, 2015 the IRS only allows ONE IRA to IRA Rollover per calendar year. Direct Trustee to Trustee transfers are NOT impacted by this rule.
- If MORE than one IRA to IRA Rollover PER TAXPAYER takes place in a calendar year, ALL TAX BENEFITS ARE FORFEITED.

4. Signatures and Acknowledgements

This Investment was: ☐ Recommended by my rep ☐ Not Recommended by my rep

Owner's Signature

Date

Print Name

I have appropriately acted on behalf of my client by reviewing all possible situations with regards to the above transaction. I believe the information provided is complete and accurate to the best of my knowledge and that this transaction is suitable for the client.

Registered Rep's Signature

Date

Print Name

By signing below the Principal acknowledges that he/she has reviewed the investment for suitability.

Principal's Signature

Date