



820 Jorie Blvd. Suite 420
Oak Brook, IL 60523
630.368.1288 Telephone
630.368.5694 Fax

www.mtrustcompany.com

QUALIFIED PLAN DIRECT ROLLOVER AUTHORIZATION

(for Advisor Services Clients Only)

This form is used to authorize/request a "direct rollover" from the participant's qualified plan to the successor custodian.

Note: Roth assets held in a 401(k) or 403(b) plan cannot be rolled over to a Traditional IRA. Rollover of Roth assets from an employer-sponsored plan must be to a Roth IRA only.

A QUALIFIED PLAN ROLLOVER INSTRUCTIONS

Type of Plan: 401(k) 403(b) Other: _____

Attach a copy of your most recent statement from your Employer-Sponsored Plan.

Present Custodian/Trustee Information:

Employer/Plan Name: _____

Trustee/Custodian Name: _____

Trustee/Custodian Address: _____

City: _____ State: _____ Zip: _____

Trustee/Custodian Phone No.: _____ Plan or Account Number: _____

Participant Information:

Name: _____ Social Security No.: _____

Type of Plan:

- Existing Profit Sharing/Pension Plan
- Rollover IRA
- New/Existing Individual 401(k) Plan
- Roth IRA

Please rollover qualified plan indicated above to Successor Plan Custodian indicated below:

Successor Custodian Information:

All checks and/or securities should be made payable or registered to:

Millennium Trust Company, LLC
Custodian FBO (Account Owner's Name)
820 Jorie Boulevard, Suite 420
Oak Brook, IL 60523

Tax Identification No: 36-4400066

B DIRECT ROLLOVER AUTHORIZATION

Please choose either a Complete or Partial transfer:

- This is a **complete** transfer of the assets in my existing account. **Please choose one of the following:**
 - Transfer my entire account IN-KIND. (Assets will be re-registered/money market funds will be transferred as cash.)
 - Liquidate all assets and transfer as cash. Estimated amount: \$ _____
(Account Owner must instruct current Custodian to liquidate all assets prior to submitting this form.)
 - Transfer \$ _____ in cash and transfer IN-KIND all assets listed on the lines below: (NOTE: If there is insufficient cash in your qualified plan, you must instruct your current Custodian to liquidate the comparable value in assets.)



- This is a **partial** transfer of the assets in my existing account. **Please choose one of the following:**
 - Transfer \$ _____ in cash. (NOTE: If there is insufficient cash in your qualified plan, you must instruct your current Custodian to liquidate the comparable value in assets.)
 - Transfer IN-KIND only the assets listed on the lines below.
 - Transfer \$ _____ in cash and transfer IN-KIND all assets listed on the lines below: (NOTE: If there is insufficient cash in your qualified plan, you must instruct your current Custodian to liquidate the comparable value in assets.)
- Check here if you would like your funds wired. (Fee may apply — please check with your current Custodian.)

In-Kind Instructions:

| <i>Quantity (All shares, or specify #)</i> | <i>Name of Fund, Security, or Asset</i> |
|--|---|
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |

C RECIPIENT'S ACKNOWLEDGEMENT AND SIGNATURE

ACKNOWLEDGEMENT AND SIGNATURE BY CLIENT:

By signing this form, I/we certify that the Successor Plan is a defined contribution plan or IRA that accepts eligible rollover distributions. Furthermore, the present custodian can rely on the information herein without further investigation and will be held harmless for any adverse consequences that may result.

Name: _____

Signature: _____

Date: _____

Millennium Account No.: _____
 (Leave account number blank if you are a new account owner)

[Medallion Signature Guarantee Stamp Here]

A Medallion Signature Guarantee may be obtained from an authorized officer at a brokerage firm, bank or other financial institution. Certification by a notary public is not a substitute for a signature guarantee.

This form will be sent to your current Custodian by regular U.S. Mail unless overnight delivery is requested.

Yes, I authorize Millennium to send by overnight delivery (A \$25 fee will be charged to your Millennium Account).

D MILLENNIUM ACCEPTANCE

Millennium Trust Company will accept the above-captioned account as Successor Custodian.

Authorized Officer: _____ Date: _____

Millennium Trust Company, LLC Custodian FBO: _____ Account No: _____
 820 Jorie Blvd., Suite 420
 Oak Brook, IL 60523

Tax Identification No. 36-4400066

- Plan Type:**
- Existing Profit Sharing/Pension Plan
 - New/Existing Individual 401(k) Plan
 - Rollover IRA
 - Roth IRA

PLEASE DO NOT FAX THIS FORM.