

# Required Documentation for Incoming Transfers

Below is a list of the required documents needed for an incoming transfer based on the different transfer types and the assets being transferred. It can be used as a tool to assist in a successful transfer experience.

TRANSFER TYPE	REQUIRED DOCUMENTS BASED ON TRANSFER TYPE	IF TRANSFERRING IN THESE SPECIAL ASSET TYPES	MILLENNIUM TRUST'S REQUIREMENTS FOR SPECIAL ASSET TYPES
<b>IRA-to-IRA</b>	<ul style="list-style-type: none"> <li>Millennium's IRA-to-IRA Transfer Account Authorization</li> <li>Statement from current custodian for non-cash assets being transferred In-Kind - dated within last 3 months</li> <li>Millennium's Investment Sponsor Contact Information Form (Occasionally required)</li> <li>Most recent statement from Investment Sponsor for all transferring assets if no value on Custodial Statement</li> </ul>	Private Stock	<ul style="list-style-type: none"> <li>Copy of Stock Certificate and Stock Power</li> </ul>
		Promissory Note/Debenture	<ul style="list-style-type: none"> <li>Copy of Promissory Note/Debenture</li> <li>Promissory Note Servicing Terms Agreement (<b>Promissory Notes Only</b>)</li> <li>\$150.00 Promissory Note Servicing Fee may apply</li> <li>Schedule of payments</li> </ul>
		Warrant	<ul style="list-style-type: none"> <li>Copy of Warrant</li> </ul>
		Real Estate	<ul style="list-style-type: none"> <li>Original Deed recorded with the County to Millennium Trust Company FBO Client</li> </ul>
		Mortgage	<ul style="list-style-type: none"> <li>Copy of mortgage</li> <li>Original assignment of Deed of Trust recorded with the County</li> <li>Mortgage/Deed of Trust Note Servicing Agreement</li> </ul>
<b>60-Day Rollover</b>	<ul style="list-style-type: none"> <li>Millennium's 60-Day Asset Rollover Request form</li> <li>Self-Certification for a Waiver of the 60-Day Rollover Requirement (if applicable)</li> <li>Original Asset Assignment Form with Medallion Signature Guarantee</li> <li>Distribution letter from custodian containing distribution date and dollar amount</li> <li>Statement from current custodian for non-cash assets being transferred In-Kind - dated within last 3 months</li> <li>Millennium's Investment Sponsor Contact Information Form (Occasionally required)</li> <li>Most recent statement from Investment Sponsor for all transferring assets</li> </ul>	Private Stock	<ul style="list-style-type: none"> <li>Original Stock Certificate and Stock Power with Medallion Signature Guarantee</li> </ul>
		Promissory Note/Debenture	<ul style="list-style-type: none"> <li>Original Debenture and Promissory Note</li> <li>Promissory Note Servicing Terms Agreement (<b>Promissory Notes Only</b>)</li> <li>\$150.00 Promissory Note Servicing Fee may apply</li> <li>Schedule of payments</li> </ul>
		Warrant	<ul style="list-style-type: none"> <li>Original Warrant</li> </ul>
		Real Estate	<ul style="list-style-type: none"> <li>Original Deed recorded with the County to Millennium Trust Company FBO Client</li> </ul>
		Mortgage	<ul style="list-style-type: none"> <li>Original mortgage</li> <li>Original assignment of Deed of Trust recorded with the County</li> <li>Mortgage/Deed of Trust Note Servicing Agreement</li> </ul>

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<b>Deposit of Asset into Custody Account (with custodian)</b>	<ul style="list-style-type: none"> <li>Millennium's Custody Account Transfer Authorization</li> <li>Statement from current custodian for non-cash assets being transferred In-Kind - dated within last 3 months</li> <li>Millennium's Investment Sponsor Contact Information Form (Occasionally required)</li> <li>Most recent statement from Investment Sponsor for all transferring assets if no value on Custodial Statement</li> </ul>	Private Stock	<ul style="list-style-type: none"> <li>Copy of Stock Certificate and Stock Power</li> </ul>
		Promissory Note/Debenture	<ul style="list-style-type: none"> <li>Copy of Promissory Note/Debenture</li> <li>Promissory Note Servicing Terms Agreement (<b>Promissory Notes Only</b>)</li> <li>\$150.00 Promissory Note Servicing Fee may apply</li> <li>Schedule of payments</li> </ul>
		Warrant	<ul style="list-style-type: none"> <li>Copy of Warrant</li> </ul>
		Real Estate	<ul style="list-style-type: none"> <li>Original Deed recorded with the County to Millennium Trust Company FBO Client</li> </ul>
		Mortgage	<ul style="list-style-type: none"> <li>Copy of mortgage</li> <li>Original assignment of Deed of Trust recorded with the County</li> <li>Mortgage/Deed of Trust Note Servicing Agreement</li> </ul>
<b>Deposit of Asset into Custody Account (no custodian)</b>	<ul style="list-style-type: none"> <li>Millennium's Custody Account Transfer Authorization</li> <li>Original Asset Assignment Form with Medallion Signature Guarantee for each asset being deposited and original signatures</li> <li>Millennium's Investment Sponsor Contact Information Form (Occasionally required)</li> <li>Most recent statement from Investment Sponsor for all transferring assets</li> </ul>	Private Stock	<ul style="list-style-type: none"> <li>Original Stock Certificate and Stock Power with Original Medallion Signature Guarantee</li> </ul>
		Promissory Note/Debenture	<ul style="list-style-type: none"> <li>Original Debenture/Promissory Note</li> <li>Promissory Note Servicing Terms Agreement (<b>Promissory Notes Only</b>)</li> <li>\$150.00 Promissory Note Servicing Fee may apply</li> <li>Schedule of payments</li> </ul>
		Warrant	<ul style="list-style-type: none"> <li>Original Warrant</li> </ul>
		Real Estate	<ul style="list-style-type: none"> <li>Original Deed recorded with the County to Millennium Trust Company FBO Client</li> </ul>
		Mortgage	<ul style="list-style-type: none"> <li>Copy of mortgage</li> <li>Original assignment of Deed of Trust recorded with the County</li> <li>Mortgage/Deed of Trust Note Servicing Agreement</li> </ul>

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TRANSFER TYPE	REQUIRED DOCUMENTS BASED ON TRANSFER TYPE	IF TRANSFERRING IN THESE SPECIAL ASSET TYPES	MILLENNIUM TRUST'S REQUIREMENTS FOR SPECIAL ASSET TYPES
<b>Qualified Direct Rollover (with custodian)</b>	<ul style="list-style-type: none"> <li>Millennium's Qualified Plan Direct Rollover Authorization</li> <li>Statement from current custodian for non-cash assets being transferred In-Kind - dated within last 3 months</li> <li>Millennium's Investment Sponsor Contact Information Form (Occasionally required)</li> <li>Most recent statement from Investment Sponsor for all transferring assets if no value on custodian statement</li> </ul>	Private Stock	<ul style="list-style-type: none"> <li>Copy of Stock Certificate and Stock Power</li> </ul>
		Promissory Note/Debenture	<ul style="list-style-type: none"> <li>Copy of Debenture/Promissory Note</li> <li>Promissory Note Servicing Terms Agreement (<b>Promissory Notes Only</b>)</li> <li>\$150.00 Promissory Note Servicing Fee may apply</li> <li>Schedule of payments</li> </ul>
		Warrant	<ul style="list-style-type: none"> <li>Copy of Warrant (ensure it is not past expiration)</li> </ul>
		Real Estate	<ul style="list-style-type: none"> <li>Original Deed recorded with the County to Millennium Trust Company FBO Client</li> </ul>
		Mortgage	<ul style="list-style-type: none"> <li>Copy of mortgage</li> <li>Original assignment of Deed of Trust recorded with the County</li> <li>Mortgage/Deed of Trust Note Servicing Agreement</li> </ul>
<b>Qualified Direct Rollover (no custodian)</b>	<ul style="list-style-type: none"> <li>Millennium's Qualified Plan Direct Rollover Authorization</li> <li>Original Asset Assignment Form with Medallion Signature Guarantee for each asset being deposited</li> <li>Letter from plan in lieu of statement - current, within 3 months</li> <li>Key Parts of the letter in lieu:                             <ul style="list-style-type: none"> <li>&gt; Plan Name</li> <li>&gt; Client Name</li> <li>&gt; Asset Name</li> <li>&gt; Value of Asset</li> </ul> </li> <li>Millennium's Investment Sponsor Contact Information Form (Occasionally required)</li> <li>Most recent statement from Investment Sponsor for all transferring assets</li> </ul>	Private Stock	<ul style="list-style-type: none"> <li>Original Stock Certificate and Stock Power with Medallion Signature Guarantee</li> </ul>
		Promissory Note/Debenture	<ul style="list-style-type: none"> <li>Original Debenture/Promissory Note</li> <li>Promissory Note Servicing Terms Agreement (<b>Promissory Notes Only</b>)</li> <li>\$150.00 Promissory Note Servicing Fee may apply</li> <li>Schedule of payments</li> </ul>
		Warrant	<ul style="list-style-type: none"> <li>Original Warrant</li> </ul>
		Real Estate	<ul style="list-style-type: none"> <li>Original Deed recorded with the County to Millennium Trust Company FBO Client</li> </ul>
		Mortgage	<ul style="list-style-type: none"> <li>Copy of mortgage</li> <li>Original assignment of Deed of Trust recorded with the County</li> <li>Mortgage/Deed of Trust Note Servicing Agreement</li> </ul>

For more information, visit us at [mtrustcompany.com](http://mtrustcompany.com) or call a client service specialist at 800.258.7878.

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