

Premiere Select® Rollover IRA Checklist

Guiding you through the rollover process

Moving retirement assets from a former employer's retirement plan to a Rollover IRA requires paperwork and contact with your former employer. To help guide you through the rollover process, follow the three steps on this checklist.

STEP 1: OPEN A PREMIERE SELECT® ROLLOVER IRA

- Obtain the Premiere Select IRA Application Kit* from your investment representative
- Complete and sign the IRA application
- Forward the IRA application to your investment representative to establish the account

***Note:** Rollover proceeds can be deposited to an existing Premiere Select Rollover or Traditional IRA; the application is only required if opening a new account.

STEP 2: GATHER THE NECESSARY INFORMATION FROM YOUR FORMER EMPLOYER

- Who is the appropriate contact for your former employer's retirement plan (e.g., plan trustee, plan recordkeeper)?
Check to see if there is a toll-free number on a recent statement. Ask the plan contact all the questions listed in Step 2.

Contact Name: _____ Contact Phone Number: _____

- Does your retirement plan require proof that a Rollover IRA has been established? If yes, what type of documentation is required?

- How much do you have in the plan? *Check your recent statement. List vested amounts only.*

Vested Account Balance (estimate): \$ _____ As of date: _____

- What is the earliest date for distribution? Some plans may only distribute assets once a year. It may be critical for you to know when you will be receiving the assets.

Frequency of plan evaluation: _____ Frequency of distribution processing: _____
(daily, monthly, annually) (daily, monthly, annually)

Cut-off date to receive paperwork for next distribution: _____

- What paperwork, if any, must be completed?

Some retirement plans require only a phone call, while others require specific distribution paperwork.

Where does rollover paperwork need to be sent?

Trustee/recordkeeper name: _____

Attention: _____

Address: _____

City/State/ZIP Code: _____

Note: To complete a direct (trustee-to-trustee) transfer, checks must be made payable to **National Financial Services LLC**.¹
Wires must reference direct rollover code "DRC." See Direct Rollover Instructions in Step 3 below.

STEP 3: MOVE THE ASSETS TO THE ROLLOVER IRA

Send applicable paperwork to the trustee/recordkeeper named above. Be sure to include the following payment instructions:

CHECKS

- **Pay to:** National Financial Services LLC¹
FBO your **Name** and Premiere Select IRA **Account Number**.
- **Mail to:** Your investment representative will provide you with the appropriate mailing address:²

Firm Name: _____

Attention: _____

Address: _____

City/State/ZIP Code: _____

WIRES

- **Wire funds to:** Chase Manhattan Bank, New York, NY
ABA# 021000021
(NFS account number) 066196-221
FBO your **Name** and Premiere Select IRA **Account Number**
(reference code) **DRC**

You and your investment representative should retain copies of all rollover paperwork that has been executed.

¹ Agent for Fidelity Management Trust Company, Custodian of the Premiere Select IRA. If the check or wire is paid out to you, federal tax withholding of 20% will apply (which can be replaced with funds from other sources when the rollover is completed), and you will have 60 days to deposit the check in the Rollover IRA to avoid income taxes and a possible 10% penalty.

² Your broker-dealer firm may require the check to be mailed to its home office. Or for checks to be deposited by National Financial, the home office can provide the appropriate National Financial check-processing address.

<Affix your broker-dealer member name and information here.>

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