

# TRANSFER / DIRECT ROLLOVER REQUEST

Forward To: 214 W. 9<sup>th</sup> Street  
 Onaga, KS 66521-0420  
 P) 800.521.9897  
 F) 913.901.4190  
 Customerservice@mainstartrust.com

Please Print or Type

## 1. MAINSTAR ACCOUNT INFORMATION

Account Name:			
Account Number:		Social Security Number:	

## 2. CURRENT CUSTODIAN/TRUSTEE INFORMATION

Custodian Name:		Account Number:	
Custodian Address:			
Custodian Phone:		Custodian Fax:	

## 3. TRANSFER/ROLLOVER OPTIONS

TRANSFER <i>Custodian/Trustee to Custodian/Trustee (Non Reportable IRS Event)</i>	ROLLOVER <i>Administrator to Custodian (Reportable IRS Event)</i>
<input type="checkbox"/> Full    or <input type="checkbox"/> Partial	<input type="checkbox"/> Full    or <input type="checkbox"/> Partial
<input type="checkbox"/> Traditional IRA <input type="checkbox"/> SEP IRA <input type="checkbox"/> Roth IRA <input type="checkbox"/> Simple IRA	<input type="checkbox"/> 401(k) <input type="checkbox"/> Profit Sharing Plan <input type="checkbox"/> 403(b) <input type="checkbox"/> Other: _____
<i>Your employer may require additional forms to process your request.</i>	

Are any of these funds/assets from an Inherited Account?  Yes  No

### Taxable Account Only:

Account Type:  Individual  Joint Tenant  Trust  Custody Account for Minors

## 4. TYPE OF TRANSFER

\*\*\*\*To ensure timely processing, please ensure that the liquidation process is complete and cash is available prior to submitting this request.\*\*\*\*

Full Transfer/Rollover	Partial Transfer/Rollover
Transfer all cash and assets to Mainstar Trust and close your current account. <input type="checkbox"/> All Available Cash <input type="checkbox"/> All Cash & Assets (list assets in Section 5 below)	<b>Cash</b> <input type="checkbox"/> All Available Cash <input type="checkbox"/> Partial Cash in the amount of \$ _____  <b>Assets</b> <input type="checkbox"/> Transfer asset(s) listed in Section 5 below.

## 5. ASSETS TO BE TRANSFERRED

*If transferring assets in-kind a copy of current account statement is required.*

*Cost basis and purchase date information is required for Taxable Accounts.*

Asset Name	Symbol	Quantity	Liquidate	Re-Register	Dividend Option	Option
			on Receipt		Cash	Reinvest
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

If dividend election is not marked, we will choose cash by default.

**6. DELIVERY OPTIONS TO CURRENT CUSTODIAN**

Mainstar Trust will submit this request by regular US Postal Service. If you prefer an expedited service, please indicate the service, the billing number and billing address below.

- Regular US Postal Service (default)
- Overnight Delivery (charge fee to Mainstar account)
- Use my overnight account (fee charged to billing number below)
- Fax (only if current custodian will accept by fax)
- Accountholder Initiated (Accountholder submitted to current Custodian.)

Company: \_\_\_\_\_ Billing Number: \_\_\_\_\_ Overnight Service: \_\_\_\_\_  
 Address: \_\_\_\_\_

**7. DELIVERY OPTIONS FROM CURRENT CUSTODIAN TO MAINSTAR**

- Regular funds via check/mail. (Default)
- Wire funds to Mainstar Trust. I understand a fee may be charged by my current Custodian and may reduce the balance requested.

Delivery Instructions Attached

**8. ACCOUNTHOLDER SIGNATURE**

Account Name:		Date:	
_____ Accountholder/Trustee Signature		_____ Signature Medallion Guarantee <i>*If Required by Current Custodian</i>	

**If applicable: The following section must be completed in full if a financial advisor is on a mutual fund being transferred.**

Advisor Name:	Advisor ID Number:
Advisor Address:	Advisor Phone:
	Branch Number:
	Broker Dealer Name:

**For Official Use Only**

**Mainstar Trust Acceptance**

Mainstar Trust has established the account type of:

- Traditional IRA
- SEP IRA
- Roth IRA
- Inherited IRA
- Inherited Roth IRA
- SIMPLE IRA
- HSA
- Other: \_\_\_\_\_

as indicated for this client and agrees to accept the assets of said plan. Account Number: \_\_\_\_\_

**See Attached Delivery Instructions**

By \_\_\_\_\_  
 Mainstar Trust Authorized Signature Date