Print Form

Rollover/Direct Rollover Certification Form

NuView IRA - Processing Office
280 S. Ronald Reagan Blvd., Suite 200
Longwood, FL 32750
P: (407) 305-0672 | F: (321) 926-1156
E: NewAccounts@NuviewTrust.com

This form documents the rollover of your asset to NuView IRA. NuView IRA will not initiate the rollover. Contact your current custodian to roll over your assets to NuView IRA. For multiple transactions, please use a separate form for each. Use this form to:

- ***Document*** **your rollover contribution to NuView IRA (take receipt of the assets for up to 60 days before reinvesting in a new retirement plan).**
- ***Document*** **your direct rollover contribution (move assets directly from your qualified retirement plan to a new retirement plan).**

1 PERSONAL INFORMATION

Name *(Your name as it appears in your plan)* ☐ Mr. ☐ Ms. ☐ Mrs. ☐ Dr. ____________	**Social Security Number**
Legal Address	**City, State, Zip**
Phone	**NuView Account Number** *(if applicable)*

2 CURRENT CUSTODIAN/TRUSTEE

Name of Custodian/Trustee		**Account Number** *(if applicable)*
Office Address:		**City, State, Zip**
Phone Number	**Contact Name** *(optional)*	**Type of Plan you are rolling over from:** ☐ 401k or Other (PS, MP, DB, 403(b), 457) ____________ ☐ Traditional ☐ Roth ☐ SEP ☐ SIMPLE ☐ ESA ☐ HSA

3 ROLLOVER DETAILS

The total amount I am rolling over is: $ **This is a:** ☐ Indirect Rollover ☐ Direct Rollover (please check one)

I am an eligible person to perform this transaction: *(Select one)*

☐ Plan Participant ☐ Spouse beneficiary of account ☐ Non-spouse beneficiary of account ☐ Responsible Individual

☐ Ex-spouse of account due to divorce/legal separation

ROLLOVER INSTRUCTIONS TO RESIGNING CUSTODIAN

To roll over CASH, please follow the instruction below. Contact our office for wire instructions.

Cash: Please make check payable to: **NuView IRA**

To roll over INVESTMENTS (Private Stock, Real Estate, LLCs, Notes, etc.)**, please complete the asset description below and contact us regarding the re-registration of your investment.**

Asset Description	Amount

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4 SIGNATURE AND ACKNOWLEDGEMENT

For the sake of this acknowledgement the term Rollover will apply to both Indirect Rollovers and Direct Rollovers. I hereby agree to the terms and conditions set forth in this Rollover form and acknowledge having established a Self-Directed Account through execution of an account application. I understand the rules and conditions applicable to a Rollover. I qualify for the Rollover of the assets listed in the Rollover Details above and authorize such transactions. I have been advised to consult a tax advisor due to the important tax consequences of rolling assets into a self-directed retirement account. I assume full responsibility for this Rollover transaction and will not hold the Plan Administrator, Custodian, or Issuer of either the distributing or receiving plan liable for and adverse consequences that may result. I understand that no one at NuView IRA or any of its licensees has authority to agree to anything different than my foregoing understandings of NuView IRA policy. For this Rollover, I irrevocably designate this contribution of assets with the above stated value as a rollover contribution. I, the custodial account holder confirm that this transfer or rollover does not include any illegal or impermissible investments under South Dakota or Federal law, including but not limited to, holdings of marijuana or other illegal substances, illegal gambling, or illegal artifacts.

If this is an Indirect Rollover, I further certify the following by signing this form:

- This rollover contribution is being made within 60 days of receipt of the above listed funds and assets from another qualified retirement account.
- If this rollover falls under the “IRA one-rollover-per-year rule”, I have verified it is compliant with Announcement 2014-15 and Announcement 2014-32 of the IRS Code.
- This rollover does not include any funds or assets taken as a Required Minimum Distribution.

If this Rollover is being performed from a non-Roth retirement account to a Roth IRA, I certify the following by signing this form:

- I acknowledge that NuView will report this Rollover as a Roth Conversion, and it is my responsibility as the custodial account holder to ensure proper tax reporting is performed by the delivering custodian.
- Is it my responsibility as the custodial account holder to ensure proper tax reporting is done by the delivering and receiving custodian.
- I hereby irrevocably elect, to treat this transaction as a conversion as permitted under the IRS Regulations.
- I acknowledge that I am responsible for the record keeping of the Roth IRA information.

Signature: ______________________________ **Date:** ______________________