

## GENERAL INFORMATION

Please read the Funds' prospectus for important information about the Funds and the IRA Custodial Agreement and Disclosure Statement for important information regarding IRA investments and retain them for your files.

Please complete the items below if you are transferring assets from another institution, are initiating a direct rollover from a corporate retirement plan, transferring from another IRA to a SmartGrowth Funds IRA or converting a traditional IRA at another institution to a SmartGrowth Funds Roth Conversion IRA. If this is a new IRA account, you must complete a SmartGrowth Funds IRA Application.

## 1 PRESENT TRUSTEE/CUSTODIAN ACCOUNT INFORMATION

INSTITUTION NAME \_\_\_\_\_ CURRENT ACCOUNT NUMBER \_\_\_\_\_

INSTITUTION ADDRESS \_\_\_\_\_

CITY \_\_\_\_\_ STATE \_\_\_\_\_ ZIP \_\_\_\_\_

SOCIAL SECURITY NUMBER \_\_\_\_\_ ( ) DAYTIME TELEPHONE # \_\_\_\_\_

*Please attach a copy of your current account statement.*

### Mutual Fund IRA Transfer

In order to expedite your transfer, please provide the CUSIP/Symbol of your current mutual fund IRA investment. If you do not know the CUSIP/Symbol, please contact your current provider/Custodian.

CUSIP/SYMBOL \_\_\_\_\_

CUSIP/SYMBOL \_\_\_\_\_

## 2 CUSTOMER INFORMATION

NAME (FIRST, MIDDLE, LAST) \_\_\_\_\_

DATE OF BIRTH \_\_\_\_\_ SOCIAL SECURITY NUMBER \_\_\_\_\_

STREET ADDRESS (P.O. BOX NOT ACCEPTABLE) \_\_\_\_\_

CITY \_\_\_\_\_ STATE \_\_\_\_\_ ZIP \_\_\_\_\_

## 3 ASSET TRANSFER OR CONVERSION

Amount of Transfer

- Total transfer (100%) of the current account **OR**  
 Partial transfer of the current account \$ \_\_\_\_\_

Type of plan you now have:

- Traditional IRA  
 Rollover IRA  
 Roth IRA  
 SEP IRA  
 SIMPLE IRA  
 Other Employer Sponsored Plan: \_\_\_\_\_  
 Other Roth Employer Sponsored Plan: \_\_\_\_\_

Type of plan you are transferring to:

- Traditional IRA  
 Rollover IRA  
 Roth IRA  
 SEP IRA  
 Inherited (Beneficiary) Traditional IRA  
 Inherited (Beneficiary) Roth IRA

## 4 INVESTMENT SELECTION

- Invest in my existing SmartGrowth Funds IRA Account Number \_\_\_\_\_

- Open a new\* SmartGrowth Funds  IRA  Roth IRA  SEP IRA  
in amount of \$ \_\_\_\_\_ or 100%

\* You must complete a SmartGrowth Funds IRA Application.

## 5 WITHHOLDING ELECTION (SUBSTITUTE W-4P) FOR A CONVERSION TO A ROTH IRA

Complete only if you are converting assets to a Roth IRA.

IRS regulations require the Custodian of the IRA from which you are converting to withhold Federal income taxes at the rate of 10% from the converted amount unless you elect not to have withholding apply. Withholding will apply to the entire amount of the conversion, even if nondeductible contributions to the IRA have been made. If you do not elect to have Federal income tax withheld, you are liable for payment of Federal income tax on the taxable portion of distributions.

## 6 AUTHORIZATION

You may also be subject to tax penalties under the estimated tax payment rules if your payments of estimated tax and withholding, if any, are not adequate. Select from the following options:

- I do not want Federal income tax withheld from distributions from this account.  
 I want Federal income tax of 10% withheld from distributions from this account.  
 I want Federal income tax of \_\_\_\_% (greater than 10%) withheld from distributions from this account.

I authorize the transfer/rollover/conversion of the IRA assets according to the instructions provided above. I certify that I am eligible to complete this transaction within the limits prescribed by the Internal Revenue Service. I also certify that all information provided by me is correct and may be relied upon by SEI Private Trust Company.

CUSTOMER SIGNATURE \_\_\_\_\_ DATE \_\_\_\_\_

Please check with your current Trustee/Custodian to determine if a Medallion signature guarantee is required to process this transfer.

(Medallion stamp here)

## IRA Transfer Request

# 7 ACCEPTANCE

SEI Private Trust Company hereby agrees to accept the transfer described above and upon receipt of cash or other assets will apply the proceeds to the SmartGrowth Funds Customer Sub-Account established on behalf of the Customer.

SEI Private Trust Company:

BY \_\_\_\_\_

DATE \_\_\_\_\_

TITLE \_\_\_\_\_

Please deliver the funds to the office indicated:

**Checks:**

SmartGrowth Funds  
P.O. Box 2085  
Milwaukee, WI 53201-2085  
(Account name and number)

**Wire Transfer:** If you prefer to wire funds directly, please call 1-888-465-5722 for further instructions.