

# IRA Transfer Request Form



Please contact your employer or the resigning Trustee/Custodian for additional forms or requirements prior to submitting this form. All pertinent information must be completed in order to expedite the request.

**This form is to be used:**

- To transfer eligible amounts from an employer-sponsored retirement plan (i.e., 401(k), 403(b), Profit-sharing Plan, Money Purchase Pension Plan, etc.) to an OppenheimerFunds IRA (Direct Rollover or Indirect Rollover).
- To transfer your existing IRA with another Custodian to an OppenheimerFunds IRA (Trustee-to-Trustee transfer/Change of Trustee).

Questions? Call us at **800.CALL OPP (225.5677)**.

Complete and return pages 1–4 of this form to:

**OppenheimerFunds Distributor, Inc.**

*(regular mail)*

**P.O. Box 5390  
Denver, CO 80217-5390**

**Fax: 303.768.1500**

*(overnight courier)*

**12100 E. Iliff Avenue, Suite 300  
Aurora, CO 80014**

\*Asterisked fields are required.

## 1 | Account ownership

\_\_\_\_\_  
\*First name                      \*Middle initial                      \*Last name     Mr.    Mrs.    Ms.                      \*Social Security number

Please include a copy of your current account statement for the funds you are transferring in or rolling over.

Is this a Beneficial IRA?  Yes    No  
If yes, please include a copy of the death certificate.  
If yes, decedent's name: \_\_\_\_\_

\_\_\_\_\_  
\*First name                      \*Middle initial                      \*Last name

\*Are you the surviving spouse?  Yes    No

\*Type of current retirement account you are transferring from:

- Traditional IRA    Roth IRA    SEP IRA    SARSEP IRA    SIMPLE IRA    401(k)    Roth 401(k)  
 403(b)    Roth 403(b)    Profit-sharing Plan    Money Purchase Pension Plan    Defined Benefit Plan  
 457 Plan    Other (please specify) \_\_\_\_\_

\*Type of plan you are transferring to:  Traditional IRA    Roth IRA

If transferring from like to like plan types (i.e., Traditional to Traditional or Roth to Roth) please include a copy of your current account statement.

I'm doing a direct Roth conversion.

Estimated amount of rollover/transfer: \$ \_\_\_\_\_

Do we need to solicit for the funds?  Yes    No

**If you checked "No" please initial:**

"I understand I will be responsible for sending the transfer amounts to OppenheimerFunds." \_\_\_\_\_

Indicate if you are doing a direct Roth conversion, which is the direct transfer of assets from an eligible plan (e.g., 401(k), 403(b) or 457 Plan) to a Roth IRA, requiring payment of applicable taxes.



## 2 | Transfer options

**Please note:** You must deposit at least \$500 into each new account you are opening via a transfer.

Please make sure combined allocations add up to 100%.

If no fund is selected for purchase, all contributions to your account will be invested in Oppenheimer Money Market Fund, Inc. Class A shares.

**An investment in money market funds is neither insured nor guaranteed by the Federal Deposit Insurance Corporation or any other agency. Although the Fund seeks to preserve the value of your investment at \$1.00 per share, it is possible to lose money by investing in the Fund.**

\*Check one of the following:

- I am opening a new OppenheimerFunds IRA and have attached an IRA application form. (I have made my fund selections on that form.)
- Please invest proceeds in the most current allocations on file.
- Please invest proceeds in my existing OppenheimerFunds IRA using the fund allocation below.

\_\_\_\_\_  
Fund name/Account no.

\_\_\_\_\_  
Allocation (in whole percentages)

\_\_\_\_\_  
Fund name/Account no.

\_\_\_\_\_  
Allocation (in whole percentages)

\_\_\_\_\_  
Fund name/Account no.

\_\_\_\_\_  
Allocation (in whole percentages)

\_\_\_\_\_  
Fund name/Account no.

\_\_\_\_\_  
Allocation (in whole percentages)

## 3 | Resigning trustee, custodian or financial institution information

If your account contains shares of Oppenheimer funds, you may choose to transfer them over "in kind" by completing Sections 3A and 3C.

### A. General Information

\_\_\_\_\_  
\*Name of Current Trustee/Custodian

\_\_\_\_\_  
( )  
Business phone number

\_\_\_\_\_  
\*Street address

\_\_\_\_\_  
\*City

\_\_\_\_\_  
\*State

\_\_\_\_\_  
\*Zip

Does the resigning trustee/custodian or financial organization accept faxes  Yes  No

\_\_\_\_\_  
Fax No.

### B. Liquidation Instructions

If you have more accounts, please attach a separate sheet.

**1. Please liquidate immediately from the account listed below and issue a check made payable to OFI Global Trust Company (see Section 6 for address).**

\_\_\_\_\_  
\*Account no. of Resigning Trustee/Custodian

\*Liquidate  All or  Partial (if checked, complete the following)

\_\_\_\_\_  
% or \$

**2. For CDs and Passbook Savings only (see Section 6 for address).**

Liquidate  All or  Partial (if checked, complete the following)

\_\_\_\_\_  
% or \$

Immediately. I am aware of and acknowledge the penalty I may incur for early withdrawal from a Passbook or a CD.

At Maturity Date (mm/dd/yyyy): \_\_\_\_\_

CDs must be within 30 days of maturity.

### C. Transfer-in-kind Instructions

**Complete this section only if you currently have an existing retirement plan account at OppenheimerFunds and want to change your current Trustee/Custodian. Only Oppenheimer fund shares may be rolled over in kind.** You may expedite this transfer by including a Letter of Instruction from your current Trustee/Custodian approving this Transfer-in-kind. Monies will stay in the same funds for the initial transfer.

- Please transfer my funds "in kind" immediately  
 **All** or  **Partial** amount of shares \_\_\_\_\_

\_\_\_\_\_  
From: Resigning Trustee/Custodian fund and account number

\_\_\_\_\_  
From: Resigning Trustee/Custodian fund and account number

\_\_\_\_\_  
From: Resigning Trustee/Custodian fund and account number

At the request of our retirement plan account holder (as identified above), the resigning Trustee/Custodian asks Shareholder Services, Inc., as Transfer Agent, to transfer the registration of the shares of the Oppenheimer fund(s) listed above, presently registered in our names as Trustee/Custodian for a retirement plan(s) identified above, for the benefit of the referenced individual.

#### 4 | Required minimum distribution information

**Important: If you are a beneficiary and you are moving your account to OppenheimerFunds, you must provide a copy of the original account holder's death certificate.**

**If you wish to take a distribution from this account, please complete an OppenheimerFunds Distribution Request Form.**

If you are a beneficiary of this account and are receiving distributions, please complete the following. Additional information may be required.

Were there multiple beneficiaries on the account?  Yes  No

If yes, was the account split by September 30 of the year following the original account owner's death?  Yes  No

What was the age of the oldest beneficiary of the account including yourself, on December 31 of the year following the year of the original account holder's death? Age: \_\_\_\_\_

Are you the spouse of the original account holder?  Yes  No

Your Date of Birth: \_\_\_\_\_

How are you currently taking distributions?  Five-year Method  Life Expectancy Method

What was the year of death of the original account holder? \_\_\_\_\_

Please provide the Social Security number and Date of birth of the original owner.

\_\_\_\_\_  
Social Security number

\_\_\_\_\_  
Date of birth (mm/dd/yyyy)



## 5 | Signatures

Please check with the resigning Trustee or Custodian to determine if a signature guarantee is required and what type of institution is acceptable as guarantor.

I hereby grant permission to the resigning Trustee to release information pertaining to my account. I agree to be bound by all the terms and conditions of this completed IRA Transfer Request Form.

**X**

\_\_\_\_\_  
\*Account Owner Signature

\_\_\_\_\_  
\*Date (mm/dd/yyyy)

Signature Guarantee Stamp

\_\_\_\_\_  
Name of Guarantor

\_\_\_\_\_  
Title of Guarantor

**X**

\_\_\_\_\_  
Signature of Guarantor

\_\_\_\_\_  
Date (mm/dd/yyyy)

### Please review this checklist before sending us this form:

- Have you contacted your previous Employer, Trustee or Custodian for additional forms or requirements?
- Have you provided your Social Security number?
- Have you verified the address of Employer, Trustee or Custodian?
- Have you provided account number from Employer, Trustee or Custodian?
- Have you signed the form?
- If possible, please send a copy of current statement from the resigning Trustee.

## 6 | Acceptance of transfer (Do not complete below. To be filled out by Shareholder Services, as agent for OFI Global Trust Company.)

**The Trustee cannot accept stock certificates.**

**Please liquidate and send cash, or see Section 3C for a Transfer-in-kind.**

To the resigning Trustee/Custodian: Above are instructions from your client to liquidate or transfer-in-kind proceeds of the referenced retirement plan account to an OppenheimerFunds retirement plan, as identified above. We have established a retirement plan account for the said individual under applicable provisions of the Internal Revenue Code of 1986, as amended, and we hereby agree to accept the assets you transfer and to hold these assets in a retirement account for the benefit of the individual referenced.

To ensure proper credit, please make check payable to:

**OFI Global Trust Company, Trustee**

**Please send to:**

**OppenheimerFunds Distributor, Inc.**

**Reference No.** \_\_\_\_\_

**P.O. Box 5270**

**Denver, CO 80217-5270**

**Fax: 303.768.1500**

**X**

\_\_\_\_\_  
OppenheimerFunds Authorized Signature

\_\_\_\_\_  
Date