

NOTICE TO INVESTMENT REPRESENTATIVE

If the receiving and delivering firms are ACATS eligible, you must submit the transfer on an ACATS form. Please check with your operations department for procedures.

1 CURRENT PLAN TYPE ACCOUNT INFORMATION

Select one: Profit Sharing Money Purchase Pension Individual 401(k)

Plan Information

PLAN NAME		TAX ID NUMBER	
ADDRESS	CITY	STATE	ZIP CODE
PHONE NUMBER	BROKERAGE FIRM NAME	BROKERAGE FIRM ACCOUNT NUMBER	

New Trustee Information

TRUSTEE NAME		TYPE OF PLAN	
ADDRESS	CITY	STATE	ZIP CODE
CONTACT NAME	PHONE NUMBER	EMAIL ADDRESS	

Please check this box if the plan transfer is a result of a plan merger:

Attach the following documents to this request:

- Copy of Board Resolution
- Copy of ERISA 204(h) Notice - for Money Purchase Pension Plans (if applicable)

2 PLAN PARTICIPANT INFORMATION

Participant Name	Social Security Number	Existing Account Number	Outstanding Loan Balance	New Trustee Account Number

3 NOTICE TO PLAN SPONSOR

All outside assets to be transferred must be listed below along with the account number and dollar or share amount. It is your responsibility to verify that the assets are transferable and can be held by your new trustee. If the investment cannot be transferred you will need to liquidate the investment prior to the plan transfer. If the investment is not held in the brokerage firm account, you must attach an investment statement or this form cannot be processed.

Investment Name	Account Number	Held in Brokerage Account	Units/Shares	Dollar Amount
		<input type="checkbox"/> Yes <input type="checkbox"/> No		
		<input type="checkbox"/> Yes <input type="checkbox"/> No		
		<input type="checkbox"/> Yes <input type="checkbox"/> No		
		<input type="checkbox"/> Yes <input type="checkbox"/> No		
		<input type="checkbox"/> Yes <input type="checkbox"/> No		
		<input type="checkbox"/> Yes <input type="checkbox"/> No		

4 PLAN SPONSOR SIGNATURE

We understand that all outstanding fees must be paid before the plan assets can be transferred. We further understand that the investment firm will deduct the fees from the plan and remit them to Equity Trust Company and that if there is insufficient cash to pay the fees, we must authorize assets to be liquidated or send a check to Equity Trust Company for the amount due.

PLAN SPONSOR SIGNATURE		DATE
PHONE NUMBER	EMAIL ADDRESS	

Send completed form to Equity Trust Company.