

# CONTRIBUTION AUTHORIZATION

## I. PARTICIPANT INFORMATION

NAME: \_\_\_\_\_

ACCOUNT NUMBER: H P K — [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ]

SOCIAL SECURITY NUMBER: [ ] [ ] [ ] — [ ] [ ] — [ ] [ ] [ ] [ ]

## II. RETIREMENT PLAN TYPE (Select one)

TRADITIONAL IRA

ROTH IRA

SEP IRA

SIMPLE IRA

EDUCATION SAVINGS ACCOUNT

Special needs apply

## III. CONTRIBUTION TYPE

In keeping with Internal Revenue Service (IRS) tax reporting requirements, employer contributions (including employee salary deferrals) must be processed and reported in the year they actually occur, regardless of the year of designation. Obtain and refer to the instructions on filing IRS Form 5498.

	CURRENT YEAR	PRIOR YEAR	TOTAL DEPOSIT
IRA CONTRIBUTION	\$ _____	\$ _____	\$ _____
EDUCATION SAVINGS ACCOUNT	\$ _____	\$ _____	\$ _____
EMPLOYER OR COMPANY CONTRIBUTION	\$ _____	\$ _____	\$ _____
EMPLOYER MATCHING CONTRIBUTION	\$ _____	\$ _____	\$ _____
EMPLOYER NONELECTIVE CONTRIBUTION (SIMPLE IRA)	\$ _____	\$ _____	\$ _____
EMPLOYEE SALARY DEFERRAL CONTRIBUTION (SIMPLE IRA, SARSEP)	\$ _____	\$ _____	\$ _____
ROTH CONVERSION—CASH	\$ _____	\$ _____	\$ _____
ROLLOVER CASH (See certification section below)	\$ _____	\$ _____	\$ _____
<b>TOTAL</b> (The amount of your check should equal this amount)	\$ _____	\$ _____	\$ _____

### CONVERSION/ROLLOVER SECURITIES (Select one and list the securities below)

SECURITIES CONVERSION TO ROTH IRA

ROLLOVER SECURITIES (See rollover certification section below)

DESCRIPTION	QUANTITY	DESCRIPTION	QUANTITY
_____	_____	_____	_____
_____	_____	_____	_____

**NOTE:** Use the Roth Conversion/Recharacterization Request for direct trustee to trustee or internal Roth conversions.

### CONVERSION OR ROLLOVER CERTIFICATION

If I elect to make a conversion or rollover contribution to the retirement account indicated above, I hereby certify that I understand the conversion or rollover rules and conditions as they pertain to this retirement account, and I have met the requirements for making such a transaction. Due to the important tax consequences of converting or rolling over funds or property, I have been advised to consult with a tax professional. All information provided by me is true and correct and may be relied upon by the custodian. I assume full responsibility for these transactions and will not hold the custodian liable for any adverse consequences that may result. I hereby irrevocably designate the conversion or rollover of funds or other property as rollover contributions.

### AGE 70½ CONVERSION/ROLLOVER/TRANSFER RESTRICTION

If you are over the age of 70½ this year, you may not convert, rollover, or transfer required minimum distribution amounts. If necessary, instruct your present custodian to either: 1) pay your required minimum distribution to you now; or 2) retain that amount for distribution to you later. For Roth conversions, you must take your required minimum distribution amount before you convert your assets to a Roth IRA.

## IV. PARTICIPANT OR GUARDIAN SIGNATURE

**SIGNATURE:** \_\_\_\_\_

**DATE:** \_\_\_\_\_

Make checks payable to: Pershing LLC FBO \_\_\_\_\_, and write your account number on the check. (Participant Name)

### PLEASE RETURN TO:

Pershing LLC  
Attention: Retirement Products Department  
One Pershing Plaza  
Jersey City, New Jersey 07399

