



# ROTH CONVERSION FORM

Account # \_\_\_\_\_  
Advisor Code \_\_\_\_\_  
Case # \_\_\_\_\_

## 1 ACCOUNT OWNER INFORMATION

Name (First, Middle Initial, Last):		Social Security Number:	Date of Birth:
Home Street Address (no PO boxes):			
City:	State:	ZIP Code:	
Mailing Address (if different from above):			
City:	State:	ZIP Code:	
Daytime Telephone Number:	Other Telephone Number:	Email Address:	

## 2 CONVERSION TO ROTH IRA

Convert my IRA account number \_\_\_\_\_ to my Roth IRA account number \_\_\_\_\_  
(A valid Roth IRA is required to be established prior to completing a Roth conversion. If you will reach the age of 70½ or older by December 31 of the current year, a Required Minimum Distribution (RMD) must be satisfied prior to requesting a Roth Conversion.)

## 3 CONVERSION INFORMATION

I wish to convert my entire account to my Roth IRA.  
 I wish to convert the following assets to my Roth IRA. Cash in the amount of \$ \_\_\_\_\_  
 Partial conversion of the following securities:

Quantity of Shares:	Name of Asset:
Quantity of Shares:	Name of Asset:
Quantity of Shares:	Name of Asset:
Quantity of Shares:	Name of Asset:

## 4 TAX WITHHOLDING ELECTION (PLEASE INDICATE BY CHECKING A BOX FOR FEDERAL AND STATE)

**A. Federal Withholding**  
*Please note: If no withholding is indicated, we will not withhold federal taxes.*  
 Please withhold taxes from my distribution at a rate of: \_\_\_\_\_% or \$ \_\_\_\_\_. Withholding amount cannot be less than 10% of total distribution. (Please note: Any amounts withheld for taxes and not replaced into your Roth IRA within 60 days will be considered a distribution and may be subject to a 10% early-withdrawal penalty if you are under age 59½.)

**B. State Withholding**  
*Please note: If no withholding is indicated, we will not withhold state taxes.*  
 Please withhold taxes from my distribution at a rate of: \_\_\_\_\_% or \$ \_\_\_\_\_. I declare my permanent state of residence is (state): \_\_\_\_\_, and that my election should reflect the requirements of that state.  
*Please note: TD Ameritrade Clearing, Inc. advises you to contact your tax professional before making any election regarding state withholding elections. State law is subject to change, and TD Ameritrade Clearing, Inc. is not responsible for changes in state law that occur after the publication date of this form.*

## 5 AGREEMENT — BY SIGNING THIS AGREEMENT, I ACKNOWLEDGE THAT:

I understand that, subject to the provisions of the Agreement, I have full discretion and control over the form of payment or payments of the entire balance in the Account. I shall exercise control by directing that such payment or payments be made as described above, and the Custodian shall have no responsibility or liability with respect to the choice of any such form of payment or payments. I attest that I am the proper party to receive payment(s) from this IRA and that all information provided by me on this form, including supplemental material, is true and accurate. I certify that no tax advice has been given to me by TD Ameritrade Clearing, Inc. and that all decisions regarding this withdrawal are my own. I expressly assume responsibility for any adverse consequences which may result from the withdrawal; and I indemnify and hold harmless TD Ameritrade, Inc. and TD Ameritrade Clearing, Inc. and their divisions, officers, employees, directors, representatives, owners, affiliates, successors, and assigns. Please note if no date is indicated below, the withholding election will default to receipt date of the form. I understand that all Roth Conversions are irrevocable and cannot be recharacterized.

Printed Name: \_\_\_\_\_  
Signature: \_\_\_\_\_ Date: \_\_\_\_\_



Mailing Address:  
**TD Ameritrade Institutional**  
PO BOX 650567  
Dallas, TX 75265-0567

Investment Products: Not FDIC Insured \* No Bank Guarantee \* May Lose Value

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