

Move Money

IRA/ESA/QRP Contribution

From an Eligible LPL Account (Journal)

JRC

Delivering Account Number

Instructions: Use this form to have LPL Financial ("LPL") set up a periodic contribution, an on demand feature, and/or move money or securities into an LPL Financial retirement account or from an LPL Financial retirement account into an outside investment retirement account. Periodic contributions will be reported for the current tax year for a journal from an LPL retail account. The on demand feature is not available for beneficiary accounts and omnibus plan accounts. Journals to outside investment retirement accounts will not be reported to the IRS by LPL. This feature is not available for beneficiary accounts and omnibus plan accounts.

Please mail the completed form to Trade Direct, P.O. Box 509049 San Diego, CA 92150-9049 or fax to (858) 202-8500.

1. Account Holder Information

Delivering Account Name Delivering Account Social Security Number

Receiving Account Number Receiving Account Name

Specify relationship to retirement Account Holder if delivering journal account is a third party

Please note: If the delivering account is a joint account, all account holders must sign below. If the delivering account is a trust, the account must have the same beneficial owner and the trustee must sign below. If the delivering account is a business account, a corporate resolution must also be on file and the authorized signers of the corporate resolution must sign below.

2. Contribution Frequency

On Demand Contribution

This feature allows LPL Financial to request a journal to this account on your behalf, based on the instructions defined above.

- New set of instructions
 Additional set of instructions
 Update to existing instructions

One Time Contribution

OMP Liquidation: Yes (Default) No (Journal In-Kind)

- Rollover
 Transfer †
 Divorce Decree

Total and Close Account

All Cash in the Account

All Securities in the Account

Specific Securities (specify the share quantity and the symbol or description below, cannot request in dollars)

- Rollover
 Transfer †

Number of Shares / Units	Symbol	Description of Asset
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

Note: The IRS does not allow contributions to retirement accounts to be made in shares except as a Rollover or a Transfer, in which case the asset deposited must be the same asset that was withdrawn.

Note: A Journal from an IRA to a Roth IRA is a Roth conversion and requires form CM109-CTD.

† Only available for non-reportable transfers between accounts with the same retirement plan type.



2. Contribution Frequency (Continued)

One Time Contribution (Continued)

Cash Allocation Instructions

	Current Year	Previous Year	
IRA Contribution:	\$ <input type="text"/>	\$ <input type="text"/>	Available for Traditional IRA, Roth IRA, Coverdell ESA, or SEP IRA
Employer Contribution:	\$ <input type="text"/>	\$ <input type="text"/>	Available for SEP IRA, SARSEP IRA, SIMPLE IRA, Profit Sharing, Money Purchase, 403(b), 401(k)
Employee Deferral:	\$ <input type="text"/>	\$ <input type="text"/>	Available for SARSEP IRA, SIMPLE IRA, 403(b) or 401(k)
Employer Match:	\$ <input type="text"/>	\$ <input type="text"/>	Available for SIMPLE IRA, 403(b) or 401(k)
Rollover Contribution:	\$ <input type="text"/>		Refer to client signature section for details
Administrative Fees:	\$ <input type="text"/>		Payment of Administrative Fees (e.g. maintenance fee, closing fee)
Divorce Decree:	\$ <input type="text"/>		Qualified Domestic Relations Transfer – Attach official court documents and asset allocation breakdown when applicable.
Loan Principal Payment:	\$ <input type="text"/>		LPL does not provide loan administration and is not responsible for ensuring loan requirements, defaults, deemed distributions, monitoring plan loan, repayments or reporting. All loan requirements are the responsibility of the plan administrator.
Loan Interest Payment:	\$ <input type="text"/>		
Trustee-to-Trustee:	\$ <input type="text"/>		Non-reportable, available between accounts with the same retirement plan type. If you are journaling to an Outside Investment account you MUST include the Outside Investment custodian name and retirement account type. Cash only.

Outside Investment Custodian Name	Retirement Account Type (E.G., IRA, ROTH IRA)	Account Holder Name
<input type="text"/>	<input type="text"/>	<input type="text"/>

Periodic Contribution

- New set of instructions
 Additional set of instructions
 Update to instructions

IRA Contribution (current year):	\$ <input type="text"/>	Available for Traditional IRA, Roth IRA, Coverdell ESA, or SEP IRA
Employer Contribution (current year):	\$ <input type="text"/>	Available for SEP IRA, SARSEP IRA, SIMPLE IRA, Profit Sharing, Money Purchase, 403(b) or 401(k)
Employee Deferral (current year):	\$ <input type="text"/>	Available for SARSEP IRA, SIMPLE IRA, 403(b) or 401(k)
Employer Match (current year):	\$ <input type="text"/>	Available for SIMPLE IRA, 403(b) or 401(k)
Loan Principal Payment:	\$ <input type="text"/>	LPL does not provide loan administration and is not responsible for ensuring loan requirements, defaults, deemed distributions, monitoring plan loan repayments or reporting. All loan requirements are the responsibility of the plan administrator.
Loan Interest Payment:	\$ <input type="text"/>	
Administrative Fee(s):	\$ <input type="text"/>	Payment of administrative fees (e.g. maintenance fees)

Periodic Frequency

If no frequency is selected, monthly distributions will be set up. If no start date is indicated, the first day of the next month will be selected.

- Weekly
 Semi-Monthly
 Monthly
 Quarterly
 Semi-Annually
 Annually

First Payment Date:
 Last Payment Date (optional):

This date must fall on a business day

Account Number



3. Authorization Holder Signature (All parties on the delivering account must sign this form.)

I/We hereby authorize LPL Financial (LPL) to initiate journal entries and to initiate, if necessary, adjustments to the LPL accounts indicated above. This authority is to remain in full force and effect until LPL has received notification from me (or either of us) of its termination in such time and in such manner as to afford LPL and the bank a reasonable opportunity to act upon it.

If I elect to make a rollover contribution to the recipient Retirement Account indicated above, I hereby certify that I understand the rollover rules and conditions, as applicable, as they pertain to this Retirement Account, I have met the requirements for making such a rollover and my rollover contribution is eligible for rollover treatment under the IRS Code. I understand that the Custodian, LPL, and their affiliates assume no responsibility for determining my eligibility for the rollover, and bear no responsibility or liability for any tax consequences related to such rollover. I hereby irrevocably designate this contribution as a rollover contribution.

If this request is to move assets from a SIMPLE IRA to a Traditional IRA, I certify that it has been more than two years since I first participated in the SIMPLE plan.

I certify that the information provided above is correct, may be relied upon by the Custodian, LPL and their affiliates, and understand there are adverse tax consequences for providing incorrect information. I assume full responsibility for the requested transactions, and will not hold the Custodian, LPL or any of their affiliates liable for any adverse consequences that may result.

For journals to an Outside Investment Account, I understand that the beneficiary designation of the delivering retirement account will be in effect until a valid purchase in the Outside Investment Account occurs.

I certify that I am the proper party to request contributions for this account and that the information provided is true and accurate. I further certify that no tax advice has been given to me by LPL Financial LLC (LPL), unless my Financial Advisor is employed, as an outside activity, as duly qualified tax advisor for which separate and distinct consideration has been paid and is unrelated in any way to LPL. All decisions regarding any authorization herein are my own. I expressly assume responsibility for tax implications and adverse consequences, which may arise from any contribution, and I agree that LPL shall in no way be held responsible. I shall indemnify and hold LPL harmless for any losses, claim or damage, including professional fees, in reliance upon the authorization hereunder. I understand that it is my responsibility to determine my eligible amount for contributions.

For Employer Contributions, Employer Matching Contributions, Employee Deferral Contributions, and Plan Transfers: I hereby certify that I am authorized to instruct contributions on behalf of the plan and the participants. I further certify that these contributions meet the requirements of the plan and are qualified under section 401(a), 401(k), 403(b), 408, 408(k) and/or 408(p) of the Internal Revenue Code. I understand that the Custodian, LPL Financial LLC (LPL), and their affiliates assume no responsibility for determining any participant's eligibility, and bear no responsibility or liability for any tax consequences relating to any of these deposits. If I am requesting a Plan to Plan transfer between Qualified Retirement Plans, I understand that there will not be a 1099R generated on the delivering account.

Signature of Delivering Account Owner (or Guardian if the account owner is a minor) Delivering Account Owner Name (print) Date

Signature of Receiving Account Owner
(required if different from delivery account owner when executing a rollover) Receiving Account Owner Name (print) Date

Signature of Delivering Account Joint Owner (if applicable) Delivering Account Joint Owner Name (print) Date

Account Number

