



# Retirement Account Transfer/Rollover Form

Use this form to transfer or rollover eligible retirement assets to an Invesco Traditional, Roth, SEP, SIMPLE, or SARSEP IRA, convert assets from another custodian to an Invesco Roth IRA, or to transfer a beneficiary IRA. We recommend that you speak with a tax or financial advisor regarding the consequences of this transaction.

**To expedite your request, please attach your most recent account statement.**

- Do not use this form to transfer or rollover assets into an Invesco 403(b), qualified plan, or Coverdell ESA.
- Do not use this form to convert or recharacterize assets already held with Invesco.

For more information, please see the Additional Information at the end of this form.

PLEASE USE BLUE OR BLACK INK

PLEASE PRINT CLEARLY IN BLOCK CAPITAL LETTERS

## 1 | Depositor Information

Full Name

Social Security Number (Required)

Date of Birth (Required) (mm/dd/yyyy)

Mailing Address

City

State

ZIP

Primary Phone Number

Email Address

## 2 | Assets are Moving from this Account (Required)

**Important Note:** Some trustees/custodians/employers require pre-liquidation of assets, payment of fees, and/or completion of their own forms prior to transferring assets to Invesco. To expedite your request, please contact your current trustee, custodian or employer to verify their requirements.

- Yes, I have contacted the current trustee/custodian/employer. I have met their requirements for transferring or rolling over assets, and have filed the necessary paperwork.
- No, I have not contacted the current trustee/custodian/employer.

Name of Current Trustee/Custodian/Employer

Mailing Address of Current Trustee/Custodian/Employer

City

State

ZIP

Trustee/Custodian/Employer Phone Number

Trustee/Custodian/Employer Fax Number

Account Number at Current Trustee/Custodian/Employer

Attention

Transfer/Rollover assets from my: (Select one.)

- Traditional IRA
- Rollover IRA
- Roth IRA
- SEP IRA
- SARSEP IRA
- SIMPLE IRA
- 401(k)
- Roth 401(k)
- 403(b)
- Roth 403(b)
- Other employer retirement plan
- Beneficiary IRA - Decedent's Name

Distribution Reason for Rollover from Qualified Plan: (Select one, if applicable.)

- Termination of employment
- Death
- Attainment of retirement age (typically 59½)
- Plan termination

**3 | Instructions to Delivering Trustee/Custodian (Complete A or B. Required)**

**A. Liquidate** – Please liquidate the account(s) listed in section 2 and issue a check payable to ITC.

Select one.

- Liquidate immediately
- Liquidate at maturity (mm/dd/yyyy)

Select one.

- ALL or  PARTIAL liquidation: \$    ,    .

**B. Transfer "in kind":** A transfer "in kind" is the movement of currently owned Invesco Fund(s) from one custodian to Invesco Investment Services, Inc. (IIS) without liquidating. If you do not currently own Invesco Fund(s), this option is not available to you. Please see Additional Information section at the end of this form.

Select one.

- ALL existing Invesco Fund(s) held in the account(s) listed in section 2.
- PARTIAL shares in the amount of

<input style="width: 80px;" type="text"/>	shares of Invesco	<input style="width: 250px;" type="text"/>	Fund.
<input style="width: 80px;" type="text"/>	shares of Invesco	<input style="width: 250px;" type="text"/>	Fund.
<input style="width: 80px;" type="text"/>	shares of Invesco	<input style="width: 250px;" type="text"/>	Fund.

**4 | Assets Are Moving to The Following Invesco IRA Account (Complete A and B. Required)**

**A. Transfer/Rollover assets to my:**

Select one.

- Traditional IRA
- Roth IRA
- SEP IRA
- SARSEP IRA
- SIMPLE IRA
- Beneficiary IRA\*

\*Assets transferred from a beneficiary IRA to an existing Invesco beneficiary IRA must be from the same deceased depositor.

Select one.

- New Invesco Account OR  Existing Invesco Account or Plan ID

**B. Investment Allocation:**

- If transfer in kind was selected above, your fund selection will remain the same. You may request an exchange separately.
- For IRAs: If I do not provide fund(s) selection below, I am directing IIS to purchase Cash Reserve Shares of Invesco Government Money Market Fund. If an Invesco Fund name(s) is indicated but no class of shares is specified, I am directing IIS to purchase Class A shares of the specified fund(s).
- For SIMPLE and SARSEP IRAs: If I do not provide fund(s) selection below, I am directing IIS to purchase shares in accordance with the last purchase allocations on file with the custodian. If there was no previous purchase, I am directing IIS to purchase shares of the default Invesco Fund as designated by my employer. If an Invesco Fund name(s) is indicated but no class of shares is specified, I am directing IIS to purchase Class A shares of the specified fund(s).

Please indicate fund and investment percentages below, rounded to whole percentages. Total percentages must equal 100%.

Fund Number	Fund Name	Class of Shares	Whole Percentage
<input style="width: 150px;" type="text"/>	<input style="width: 350px;" type="text"/>	<input style="width: 20px;" type="text"/>	<input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> %
<input style="width: 150px;" type="text"/>	<input style="width: 350px;" type="text"/>	<input style="width: 20px;" type="text"/>	<input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> %
<input style="width: 150px;" type="text"/>	<input style="width: 350px;" type="text"/>	<input style="width: 20px;" type="text"/>	<input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> %
<input style="width: 150px;" type="text"/>	<input style="width: 350px;" type="text"/>	<input style="width: 20px;" type="text"/>	<input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> <input style="width: 20px;" type="text"/> %

Please attach a separate page for additional allocations, if necessary.

**TOTAL**

%

**5 | Federal Income Tax Withholding Election** (Only complete this section if you are converting an IRA at another custodian to an Invesco Roth IRA.)

By electing to convert your Traditional, SIMPLE, SEP, or SARSEP IRA to a Roth IRA, you are making a taxable distribution, which will be subject to federal income tax withholding at a rate of 10% unless you check the box below to elect no withholding. **If you do not check the box below, any amounts withheld may be subject to an additional 10% premature penalty tax if you are under age 59½.**

I do not want any federal income tax withheld from my Traditional, SIMPLE, SEP, or SARSEP IRA distribution.

Please consult a tax advisor to determine if you are required to make an estimated tax payment.

**6 | Authorization and Signature** (Please sign and date below.)

**To the current trustee/custodian/employer:** I have established an Individual Retirement Account with Invesco Distributors, Inc. and have appointed Invesco Trust Company (ITC) as the custodian. Please accept this as your authorization and instruction to liquidate and/or transfer "in kind" the assets noted above, which your company holds for me. In accordance with my custodial agreement and/or plan document, I authorize you to deduct any outstanding fees from the account prior to the transfer.

**To Invesco Investment Services, Inc. (IIS):** I certify I am not rolling over any required minimum distributions (RMDs) from the distributing retirement plan, and I understand and acknowledge that if I have started taking RMDs from the distributing plan, I am responsible for providing IIS with any information necessary to establish a systematic distribution for RMDs, and that if I do not provide this information, future calculations of RMD may result in underpayments, for which I may be subject to a 50% excise tax.

**Request for Taxpayer Identification Number** (Substitute Form W-9)  
Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), **and**
2. I am not subject to backup withholding because: **(a)** I am exempt from backup withholding, or **(b)** I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or **(c)** the IRS has notified me that I am no longer subject to backup withholding, **and**
3. I am a U.S. person (including a U.S. resident alien), **and**
4. I am exempt from FATCA reporting.

**Certification Instructions:** You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the Certification, but you must provide your correct TIN.

**SIGNATURE PROVISIONS**

I have read, understand and agree to the foregoing form. I certify that the information which I have provided is accurate, including, but not limited to, the representations contained in the Request for Taxpayer Identification Number section above. I certify that this rollover is one that I am eligible to make, and **I agree to indemnify and hold harmless IIS, its affiliates, each of their respective employees, officers, trustees, or directors, and each of the Invesco Funds from and against any and all claims, losses, liabilities, damages and expenses that may be incurred by reason of your actions taken in accordance with the instructions set forth herein.**

Signature (Required)	Title	Date (mm/dd/yyyy)
<input type="text" value="X"/>	<input type="text"/>	<input type="text"/>

**Note: The current trustee/custodian may require signature to be guaranteed. Call that institution for their requirements.**

**Signature Guarantee:** (Please place signature guarantee stamp below.)

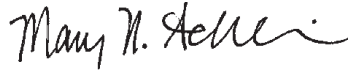
Each signature must be guaranteed by a bank, broker-dealer, savings and loan association, credit union, national securities exchange or any other "eligible guarantor institution" as defined in rules adopted by the Securities and Exchange Commission. Signatures may also be guaranteed with a medallion stamp of the STAMP program or the NYSE Medallion Signature Program, provided that the amount of the transaction does not exceed the relevant surety coverage of the medallion. **A signature guarantee may NOT be obtained through a notary public.**

**7 | Custodian Acceptance** *(This section to be completed by Invesco.)*

This is to advise you that ITC, as Custodian, will accept the account identified in section 2.

This transfer of assets/direct rollover is to be executed on a trustee to trustee basis and will not place the participant in actual receipt of any portion of the plan assets. No federal income tax is to be withheld from this transfer of assets or direct rollover, unless as elected in section 5 for conversion requests only.

Authorized Signature of Officer



On behalf of Invesco Trust Company

**8 | Checklist and Mailing Instructions**

Please review checklist before submitting your request:

- Have you contacted your current trustee or custodian for their requirements?
- Is a copy of your most recent account statement included?
- Have transfer instructions been clearly indicated? (section 4)
- Has the form been signed? (section 6)
- Is the appropriate Invesco IRA account application attached (for new Invesco account holders)?

IIS does not accept the following types of payment: Cash, Credit Card Checks, Temporary/Starter Checks, and Third Party Checks.

Please send completed and signed form to:

**(Direct Mail)**

Invesco Investment Services, Inc.  
P.O. Box 219078  
Kansas City, MO 64121-9078

**(Overnight Mail)**

Invesco Investment Services, Inc.  
c/o DST Systems, Inc.  
430 W. 7th Street  
Kansas City, MO 64105-1407

**For additional assistance please contact an Invesco Client Services representative at 800 959 4246, weekdays, 7 a.m. to 6 p.m. Central Time.**

**Visit our website at [invesco.com/us](http://invesco.com/us) to:**

- Check your account balance
- Confirm transaction history
- View account statements and tax forms
- Sign up for eDelivery of statements, daily transaction statements, tax forms, prospectuses, and reports
- Check the current fund price, yield and total return on any fund
- Process transactions
- Retrieve account forms and investor education materials

**Call the 24-Hour Automated Investor Line 800 246 5463 to:**

- Obtain fund prices
- Confirm your last three transactions
- Order a recent account statement(s)
- Check your account balance
- Process transactions

To use this system, please have your account numbers and Social Security number available.

**Additional Information**

- A transfer "in kind" is the transfer of currently owned Invesco Fund(s) from one custodian to IIS without liquidating. This option is available if you currently own Invesco Fund(s) at the resigning trustee/custodian. **Special note for R shares:** R shares may not be rolled "in kind" to an IRA. If you are requesting a rollover from a qualified plan that currently holds R shares, they will be exchanged into A shares of the same fund at net asset value.
- When transferring CD's a maturity date is required. The request must be received by IIS 30 days prior to maturity date. Transfer "in kind" is not available for CD's.
- Payments or a series of payments over life expectancy(ies) or over a period of 10 years or more are not eligible for rollover.
- RMD, hardship distributions, an unforeseeable emergency distribution, corrective distributions, or deemed distributions of a defaulted loan are not eligible for rollover.
- SIMPLE IRAs aged less than two years are not eligible to transfer or rollover to another plan type. The only option for a SIMPLE IRA less than two years is to transfer to another SIMPLE IRA.

**Note for Indirect Rollovers** *(60 day rollovers):*

- Rollover contribution must be made into the IRA within 60 days of receipt of the distribution from the resigning trustee/custodian.
- The IRS restricts rollovers between IRAs to once every 12 consecutive months, regardless of the number of IRAs owned.