



Invesco Solo 401(k)[®] Transfer/Rollover Form

Use this form to transfer or rollover eligible retirement assets to an Invesco Solo 401(k) account. 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.

Please see the Additional Information section at the end of this form.

PLEASE USE BLUE OR BLACK INK

PLEASE PRINT CLEARLY IN BLOCK CAPITAL LETTERS

1 | Participant 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 Investment Services, Inc. (IIS). 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
- SEP IRA
- SARSEP IRA
- SIMPLE IRA
- Profit Sharing Plan
- 403(b)
- Roth 403(b)
- Money Purchase Pension Plan
- 401(k)
- Roth 401(k)
- Other Employer Retirement Plan

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

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

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

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

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 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

shares of Invesco Fund.

shares of Invesco Fund.

shares of Invesco Fund.

4 | Assets are Moving to this Invesco Solo 401(k) Account (Complete A and B. Required.)

A. Transfer/Rollover assets to my:

Select one.

- New Invesco Plan or 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.
- 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 share 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	Whole Percent
<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"/> <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"/> %
TOTAL		1 0 0 %

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

5 | Authorization and Signatures (Both the Trustee and Participant must authorize the rollover. Please sign and date below.)

Participant Authorization to the current trustee/custodian/employer: I have enrolled as a participant in an Invesco Solo 401(k) Plan. 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.

Trustee Acceptance

As trustee of the receiving plan, I acknowledge that I am solely responsible for determining whether the rollover or transfer is qualified and eligible for acceptance into the Plan identified in section 4. The proceeds from the account identified in section 2 are hereby accepted into this plan in accordance with the investment elections provided in section 4. 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. **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.**

This section must be signed and dated by the trustee and participant even if they are one and the same.

Trustee Signature (Required)

Date (mm/dd/yyyy)

X

Name (Please print.)

Participant Signature (Required)

Date (mm/dd/yyyy)

X

Name (Please print.)

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

<p>Signature Guarantee: (Please place signature guarantee stamp below.)</p>	<p>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.</p>
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6 | 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 3)
- Has the form been signed by both the Trustee and the Participant? (section 5)
- Is the Invesco Solo 41(k) plan application or enrollment form 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.

Additional Information

- A transfer "in kind" is the transfer of currently owned Invesco Funds from one custodian to IIS without liquidating. This option is available if you currently own Invesco funds at the resigning trustee/custodian.
- 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.
- For assistance in determining the eligibility of your rollover, consult the Qualified Plan Rollover/Direct Rollover Documentation Form in the Solo 401(k) Plan Establishment Kit.
- RMD, hardship distributions, an unforeseeable emergency distribution, corrective distributions, or deemed distributions of a defaulted loan are not eligible for rollover.
- Payments or a series of payments over life expectancy(ies) or over a period of 10 years or more 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 retirement plan within 60 days of receipt of the distribution from the resigning trustee/custodian.