

# Transfer of Assets Form



- Use this form to transfer your existing IRA to a Victory Funds Retirement Account with UMB Bank National Association as Custodian.
- Send completed form to: Victory Funds, P. O. Box 182593, Columbus, OH 43218-2593
- For use with Traditional IRA, Roth IRA, SEP IRA and SIMPLE IRA Victory Fund Retirement Accounts.

## Part 1. Please Tell Us About Yourself

NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

CITY \_\_\_\_\_ STATE \_\_\_\_\_ ZIP \_\_\_\_\_

SOCIAL SECURITY NO. \_\_\_\_\_

DAYTIME PHONE \_\_\_\_\_

## Part 2. Type of Account You Would Like To Transfer

- Choose one:  Traditional IRA  Rollover IRA  Qualified Plan\*\*  
 SEP IRA  Roth IRA\*  SIMPLE IRA\*\*\*

\*Transfers from a Roth IRA into a Traditional IRA, a Rollover IRA or a Simplified Employee Pension (SEP) IRA are not allowed.

\*\*Qualified Plans are 401(k), 403b and 457 Plans.

\*\*\*Transfers from a SIMPLE IRA may be made only to another SIMPLE IRA. After two years, transfers may be made from a SIMPLE IRA to a Traditional IRA or Roth IRA.

**Tax Withholding Election** (complete only for transfer from another type of IRA to a Roth IRA). Under IRS rules, a transfer of a Traditional IRA, SEP IRA or SIMPLE IRA to a Roth IRA is treated for income tax purposes as a distribution of taxable amounts in the other IRA. IRS rules also require the custodian to withhold 10% of the amount transferred for federal income taxes unless no withholding has been elected. See IRS Publication 505, "Tax Withholding and Estimated Tax" for more information. State tax withholding may also apply if federal income tax is withheld.

**Caution:** Withholding income taxes from the amount transferred (instead of paying applicable income taxes from another source) may adversely impact the expected financial benefits of transferring from another IRA to a Roth IRA (consult your financial advisor if you have a question). Because of this impact, by electing to convert to a Roth IRA, you are deemed to elect no withholding unless you check the box below. In so doing, by signing this form, you acknowledge that you may be required to pay estimated tax and that insufficient payments of estimated tax may result in penalties.

- Withhold 10% for federal income taxes  
(if you want a greater percentage, put it here: \_\_\_\_\_ %.)

## Part 3. Investment Into an Existing IRA Account

If you are transferring into an existing Victory Funds Traditional IRA, SEP IRA or Roth IRA, indicate the Account Numbers and Fund Names:

ACCOUNT NUMBER \_\_\_\_\_ FUND NAME \_\_\_\_\_

ACCOUNT NUMBER \_\_\_\_\_ FUND NAME \_\_\_\_\_

## Part 4. New Victory Funds Investment Instructions

**Depositor:** check one box and complete if necessary.

- Invest\* the transferred amount in accordance with the attached investment instructions in the Roth IRA Application for my Victory Funds Individual Retirement Account.

Invest\* the transferred amount as follows: AMOUNT  
\$ \_\_\_\_\_

FUND NAME \_\_\_\_\_

\$ \_\_\_\_\_  
FUND NAME \_\_\_\_\_

\*Generally, if share class is not specified, A shares will be purchased.

## Part 5. Instructions to Present IRA Custodian or Trustee – Completed by Depositor

NAME OF CUSTODIAN/TRUSTEE \_\_\_\_\_

ATTN: MR./MS. \_\_\_\_\_

ADDRESS \_\_\_\_\_

CITY \_\_\_\_\_ STATE \_\_\_\_\_ ZIP \_\_\_\_\_

Please transfer assets to the Victory Funds in cash according to the following instructions.

- Transfer my entire Account # \_\_\_\_\_  
**OR**  
 Transfer \$ \_\_\_\_\_ and retain the balance.

Indicate which funds should be liquidated:	AMOUNT
_____	\$ _____
FUND NAME _____	
_____	\$ _____
FUND NAME _____	
Total \$	_____

Make check payable to: For overnight delivery  
The Victory Funds The Victory Funds  
P.O. Box 182593 c/o FIS Investor Services LLC  
Columbus, OH 43218-2593 4249 Easton Way, Suite 400  
Columbus, OH 43219

## Part 6. Signature of Depositor

The undersigned certifies to the present IRA custodian or trustee that the undersigned has established a successor Victory Funds Individual Retirement Account meeting the requirements of Internal Revenue Code Section 408(a) or 408A (as the case may be) to which assets will be transferred, and certifies to the Victory Funds and UMB Bank National Association that the IRA from which assets are being transferred meets the requirements of Internal Revenue Code Section 408(a), 408(p) or 408A (as the case may be).

I understand that the requirements for a valid transfer to a Traditional IRA, SEP IRA or Roth IRA are complex and that I have the responsibility for complying with all requirements and for the tax results of any such transfer.

SIGNATURE OF DEPOSITOR \_\_\_\_\_ DATE \_\_\_\_\_

SIGNATURE GUARANTEED BY: NAME OF BANK OR DEALER FIRM \_\_\_\_\_

SIGNATURE OF OFFICER AND TITLE \_\_\_\_\_

## Part 7. Acceptance by New Custodian

FIS Investor Services LLC, as agent for UMB Bank National Association, agrees to accept transfer of the above amount for deposit to the Depositor's Victory Funds Individual Retirement Account, and requests the liquidation and transfer of assets as indicated above.

BY \_\_\_\_\_

DATE \_\_\_\_\_