



# ROTH IRA ROLLOVER/TRANSFER

For assistance in completing this application, please contact the Northern Funds Center at **800-595-9111** weekdays from 7:00 a.m. to 7:00 p.m. Central time. Please mail your application to: Northern Funds, P.O. Box 75986, Chicago, IL 60675-5986.

Please print all information.

## 1 PLEASE READ IMPORTANT INFORMATION

To convert from a Traditional IRA or transfer directly from another Roth IRA custodian, or to request a direct rollover from another Roth IRA, please provide your current custodian's contact information in Step 4. Once we've received the completed form from you, we will contact your current custodian and initiate this transfer for you. We will notify you when the transfer has been processed and the transfer has been invested in Northern Funds.

Please call your current custodian to verify their contact information, as well as any redemption requirements, such as a signature guarantee. Also, check how often funds are distributed. Current custodians may require the completion of additional paperwork. If all required documents are not included with this form, your transfer may be delayed. If possible, also include with this form a copy of your most recent statement from your current custodian. Also, check with your current custodian how often Funds are distributed.

If you are transferring from a brokerage account, please contact your broker/dealer. They may require that you contact them directly to authorize the sale of securities and/or mutual funds held in your account before they will enact the transfer. Failure to contact your broker/dealer may result in a delay of your transfer.

Transferring assets can generally take four to eight weeks to complete. Reduce delays by ensuring that all required forms are completed accurately and any additional paperwork is included.

## 2 PROVIDE YOUR INVESTOR INFORMATION

FIRST NAME MIDDLE INITIAL LAST NAME

SOCIAL SECURITY NUMBER DATE OF BIRTH MOTHER'S MAIDEN NAME

ADDRESS

CITY/STATE/ZIP

TELEPHONE NUMBER (DAYTIME) TELEPHONE NUMBER (EVENING)

E-MAIL ADDRESS

### TAX RESIDENCY

U.S. CITIZEN RESIDENT  RESIDENT ALIEN

## 3 SELECT YOUR INVESTMENT

Invest in my existing Northern Funds Roth IRA

_____	_____
ACCOUNT NUMBER	PERCENTAGE ALLOCATION
_____	_____
ACCOUNT NUMBER	PERCENTAGE ALLOCATION
_____	_____
ACCOUNT NUMBER	PERCENTAGE ALLOCATION

Open a new Northern Funds Roth IRA (please attach a completed Northern Funds Roth IRA Application)

Conversion from Traditional IRA

Conversion from Roth IRA

**4 IDENTIFY CURRENT CUSTODIAN**

Please provide contact information for distributing custodian, recordkeeper, or plan administrator.

NAME OF CURRENT CUSTODIAN (BANK, SAVINGS AND LOAN, MUTUAL FUND, ETC.) \_\_\_\_\_

CONTACT PERSON \_\_\_\_\_ CURRENT CUSTODIAN PHONE NUMBER \_\_\_\_\_

ADDRESS \_\_\_\_\_

ADDRESS \_\_\_\_\_

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

MATURITY DATE (IF APPLICABLE) \_\_\_\_\_ ACCOUNT NUMBER \_\_\_\_\_

**5 INSTRUCTIONS TO CURRENT CUSTODIAN**

To Current Custodian: Please consider this your authority to send my Traditional or Roth IRA to Northern Funds. If my assets are currently held in Northern Funds through a brokerage account, please provide transfer-in-kind instructions instead of a check. If I am transferring to my Roth IRA from a CD, it should only be transferred at maturity. It is my intention to transfer these assets to Northern Funds, for which The Northern Trust Company acts as custodian.

A. Please sell:

**all of my assets** or  \$ \_\_\_\_\_ **of my assets** or \_\_\_\_\_ % in the account identified in Step 4.

B. Transfer my assets by:

Sending a check regular mail payable to Northern Funds  
 Northern Funds  
 FBO Client Name  
 Reference Number \_\_\_\_\_  
 P.O. Box 75986  
 Chicago, IL 60675-5986

Sending a check overnight payable to Northern Funds  
 Northern Funds  
 FBO Client Name  
 Reference Number \_\_\_\_\_  
 801 S. Canal St. C5S  
 Chicago, IL 60607

Wire  
 ABA #071000152  
 FFC: Client Account Number

Transfer-in-kind by providing appropriate instructions to Northern Funds.  
*(Note: Money markets must be transferred in cash.)*

**6 PROVIDE YOUR SIGNATURE**

I certify that I have received and read the prospectus for the Funds into which I am transferring my Roth IRA.

YOUR SIGNATURE \_\_\_\_\_ DATE \_\_\_\_\_

SIGNATURE GUARANTEE (IF REQUIRED)\*

\*Many custodians require a signature guarantee. Contact your current custodian for requirements.

**7 MEDALLION SIGNATURE GUARANTEE**

You can obtain a Medallion signature guarantee from a commercial bank or trust company, a member firm of a national stock exchange, or from an eligible guarantor institution as defined by the Securities and Exchange Commission.

**SIGNATURE GUARANTEED BY:**

**AFFIX SIGNATURE GUARANTEED STAMP**

NAME OF BANK OR FIRM \_\_\_\_\_

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

ACCEPTANCE: Please be advised that The Northern Trust Company has been appointed to serve as successor custodian of this Roth IRA.

  
 THE NORTHERN TRUST COMPANY AUTHORIZED SIGNATURE

Lisa Shea  
 PRINTED NAME

Appointment of Custodian Accepted: THE NORTHERN TRUST COMPANY