



VANTAGE®

Rollover Certification

Date Stamp
(Office use only)
Rev. 3/4/2026

This is a fillable PDF form. To complete the form, click in an area and type.

Account Owner Information (As it appears on your account application)

Legal Name: _____ Vantage Account #: _____
Legal Address: _____
City: _____ State: _____ Zip: _____
Date of Birth: _____ Last 4 of Social Security: _____
Phone: _____

Name of Resigning Custodian / Plan Sponsor

Company Name: _____ Account #: _____
Office Address: _____
City: _____ State: _____ Zip: _____
Contact Name: _____ Phone: _____

Type of Plan You Are Rolling Over From

Traditional Roth SEP SIMPLE IRA HSA 401(K) Other: _____

Rollover Instructions

To Rollover Cash:

Rollover Amount: \$ _____

- **By Check - Make check payable to Vantage FBO [your name] IRA # _____**

Please allow five business days for checks to clear

- **By WIRE or ACH - see attaced wire/ach instructions.**

Please allow one business day for wire or ACH to clear

To Rollover In-Kind Assets:

- **Asset re-registration is required to complete the transaction**
- **Re-registration fees apply. Please reference your Vantage fee schedule.**

Asset Description: _____ Amount: _____

Asset Description: _____ Amount: _____

Acknowledgment: Your resigning Custodian may require additional documentation. Read the following statement carefully.

Vantage Retirement Plans, L.L.C. ("Administrator") performs recordkeeping and administration duties in connection with Account Owner's self-directed retirement account (the "Account") on behalf of the custodian ("Custodian") as set forth in Account Owner's account application (the "Account Application"). The terms and conditions of this document are incorporated into the Account Application, and the terms and conditions of the Account Application are incorporated herein.

I hereby agree to the terms and conditions set forth in this Rollover Certification and acknowledge having established an Account through execution of the Account Application. I understand the rules and conditions applicable to a (check one) Rollover Direct Rollover. I qualify for the Rollover or Direct Rollover of assets listed in the Asset Liquidation above and authorize such transactions. If this is a Rollover or Direct Rollover, I have been advised to see a tax advisor due to the important tax consequences of rolling assets into a self-directed account. If this is a Rollover or Direct Rollover, I assume full responsibility for this Rollover or Direct Rollover transaction and will not hold Administrator or Custodian of either the distributing or receiving plan liable for any adverse consequences that may result. I understand that no one at Administrator or any of its licensees or franchisees has authority to agree to anything different as set forth herein. If this is a Rollover or Direct Rollover, I irrevocably designate this contribution of assets with a value of \$ _____ as a rollover contribution. By signing this form, I certify that I am completing this rollover within 60 calendar days following the day I received the assets. I have not performed a rollover from an IRA within the last 12 months and the rollover DOES NOT contain my Required Minimum Distribution. If I am a non-spouse beneficiary, this is a direct rollover from an employer plan and the rollover contribution DOES NOT contain my Required Minimum Distribution.

Account Owner's Signature: _____ Date: _____

Investment Disclaimer and Indemnity Agreement

This Investment Disclaimer and Indemnity Agreement ("the Agreement") confirms the mutual understanding and agreement between Vantage Retirement Plans, LLC ("Administrator") and you (the "Account Owner") regarding the proposed investment(s) by your Account detailed in the form to which this Agreement is attached (collectively, the "Investment"). Your account is referred to in this document as the "Account", regardless of whether it is a custodial account or a retirement account under Internal Revenue Code (the "IRC") §401, §408cor §408A, a Coverdell Education Savings Account under IRC §530, or a Health Savings Account under IRC §223. Agreeing to the terms in this Agreement is a material part of the instructions to Administrator regarding the Investment. You understand and agree as follows:

- 1) Neither Custodian nor Administrator approves investments or actions you take (or direct Custodian or Administrator to take) on behalf of your Account. Custodian and Administrator are limited in their responsibilities under your Account as set forth in your Account Application, and their responsibilities do not include investment, legal, or tax advice or investment selection of any kind.
- 2) Custodian and Administrator have no obligation to, and will not, review or approve any agreement or document relating to the purchase or operation of the Investment, including purchase agreements, subscription agreements, operating agreements, by-laws, partnership agreements, or annuity agreements.
- 3) You represent that you have completed all required, recommended, or prudent due diligence on the Investment. Custodian and Administrator will make no attempt to evaluate the Investment, including checking: the financial strength of the Investment; with the Secretary of State to confirm the Investment is in good standing; or with the Securities and Exchange Commission, Better Business Bureau, or any other governmental or non-governmental agency regarding any complaints filed in connection with the Investment. You, as the owner of the Account, are 100% responsible for evaluating the Investment, its operations, and the investment potential of the Investment, including taking the steps described in the preceding sentence.

Retirement Accounts Only:

- 4) You are solely responsible for making sure that the Investment was not formed, and will not operate, in a way that does or may lead to a Prohibited Transaction as that term is defined in IRC §4975.
- 5) You are responsible for confirming that none of the "disqualified persons" with respect to your Account are associated in any way with the Investment. If the Investment becomes a "disqualified person" (as that term is defined in IRC §4975) upon funding (this may occur, for example, if your Account and other disqualified persons, including you personally, own more than 50% of the Investment), then any future mandatory capital calls may be considered a Prohibited Transaction. As with any Prohibited Transaction, if this occurs, your Account may be deemed to be distributed to you as of January 1 of the year in which your Account contributes the additional capital, and penalties may apply. You hereby indemnify and hold harmless Administrator, its officers, directors, shareholders, and employees against any liability associated with funding a capital call which is or may be a Prohibited Transaction.
- 6) Neither Custodian nor Administrator has given you any tax advice regarding the possibility that your Account may be subject to Unrelated Business Income Tax ("UBIT") as a result of its investment in the Investment. If your Account owes UBIT on its profits from the Investment, you must prepare or cause to be prepared and filed a IRS Form 990T, and any similar filing required under applicable state laws, for each year with respect to which any such form is required, and to cause your Account to pay any UBIT that is reported in such forms. Any UBIT owed must be paid from funds belonging to the Account. Your indemnification above includes liability with respect to UBIT and the preparation and filing of IRS Form 990T and similar state tax filings.
- 7) Administrator is required to report the fair market value of the Account to the IRS each year. You must obtain a fair market value for the Account's investment in the Investment as of December 31 each year and report this information to Administrator on a form approved by Administrator no later than January 15 of the following year. Administrator is entitled to rely on the valuation provided by you for reporting purposes and bears no responsibility as to the accuracy of the information provided. Until a different valuation is reported to Administrator, the value of the Investment will be reported based on the Account's total investment in the Investment. This valuation information is also reported to the IRS on Form 5498. If you fail to provide a fair market value to Administrator as required, Administrator may withdraw as Administrator of your Account and distribute any assets to you or to a successor Custodian.
- 8) With certain types of Accounts there are rules for required minimum distributions from the Account. If you are now subject to the required minimum distribution rules for your Account, or if you will become subject to those rules during the term of the Investment, you represent that you have verified either that the Investment provides distributions that will be sufficient to cover each required minimum distribution, or that there are other assets in your Account, or in other accounts that you may access for this purpose, that are sufficiently liquid (including cash) from which you will be able to withdraw your required minimum distributions as they become required.
- 9) If the Plan Asset Regulations issued by the U.S. Department of Labor (29 C.F.R § 2510.3-101) apply, the Investment entity is disregarded for purposes of the Prohibited Transaction rules of IRC §4975. In that case, the underlying assets of the Investment entity are considered to be the assets in which your Account is investing, and each of the statements above regarding the Investment entity must be true with regard to each of the assets that the Investment entity invests in. You represent that you either understand the Plan Asset Regulations and Interpretive Bulletin 75-2 or that you have sought competent legal counsel regarding the Plan Asset Regulations and Interpretive Bulletin 75-2 (29 C.F.R § 209.75-2) and their potential application to the Investment entity, prior to making your investment decision.

Investment Instruction Letter

Vantage Retirement Plans, LLC (“Administrator”) has received instructions from you (the “Account Owner”) concerning an investment detailed in the form to which this Agreement is attached (the “Investment”). Your account is referred to in this document as the “Account”, regardless of whether it is a retirement account under Internal Revenue Code (the “IRC”) §401, §408 or §408A, a Coverdell Education Savings Account under IRC §530, or a Health Savings Account under IRC §223. The following instructions must be followed to ensure compliance with both IRS requirements and Administrator policy.

- 1) Contact information and the correct mailing address for this investment should be listed as follows in your records:

Attn: Vantage Retirement Plans, LLC
Address: 8742 E. Via de Commercio
City, State, Zip: Scottsdale, AZ 85258

Phone: 866.459.4580
Fax: 480.306.8408

All notices concerning the Investment should be sent to Administrator at the above address, with a copy to the Account Owner. Any questions pertaining to the Account should be referred to Administrator.

- 2) Because of federal privacy laws, Administrator is not able to answer third party inquiries about the Account unless the Account Owner has filed with Administrator an original Interested Party Designation or Power of Attorney giving the person making the inquiry authority to obtain information on the Account.
- 3) The Account Owner may not personally guarantee on behalf of the Account any indebtedness of the Entity to a third party nor may the Account Owner guarantee any indebtedness of the Account to the Entity.
- 4) If this investment is for accredited investors only, the Account Owner, in his or her capacity as the beneficiary of the Account, must sign any required accredited investor certifications.

Retirement Accounts Only:

- 5) All vestings to read: **Vantage FBO [First and Last Name] [IRA type: Traditional, Roth, SEP] IRA**
- 6) Administrator requires the employer identification number (the E.I.N.) for the Investment entity prior to funding the Investment.
- 7) Do not use the Account Owner’s personal social security number with respect to the Investment for any purpose. If the Account is an investor to which a K-1 or similar tax document will be issued, please use the following E.I.N.: 20-6350474. This EIN may not be used for any purpose other than the issuance of a K-1 or similar tax document to the Account. If the Account is a 100% owner of the Investment entity, the entity must apply for its own E.I.N.
- 8) Original stock certificates, membership certificates, or other proof of ownership showing the proper vesting must be sent to and held by Administrator on behalf of the Custodian and the Account.
- 9) All payments, income, distributions, or payoffs for the Investment must be sent to Administrator for the benefit of the Account. Under the IRC, it is never acceptable to send funds directly to the Account Owner (or the Account Owner’s nominee or designee).
- 10) As the owner of the Investment on behalf of the Account, Administrator (who is acting on behalf of Custodian in this respect) must be notified promptly of any change in address, telephone number, or company status (such as bankruptcy filings, regulatory agency investigations or litigation).
- 11) If the Account Owner dies, requests a distribution of the Investment, converts the IRA to a Roth IRA, obtains a divorce in which the Account is awarded to the Account Owner’s former spouse, or changes the Custodian or Administrator of the Account, it may be necessary to change the ownership and address listed as the investor with the Investment. In any of these events, Administrator, the Account Owner, or the successor to a deceased Account Owner, will provide written notice of any such change. You will be required to change your records to reflect the new information at that time.
- 12) In the event that future capital contributions to the Investment entity are required or desired (and provided the Account Owner determines that the capital call is not a prohibited transaction under IRC §4975 and there are sufficient funds in the Account), all funds must come from the Account. The Account Owner may not advance funds on behalf of the Account.



VANTAGE®

Incoming Funds Delivery Instructions

IRA Accounts

You may send funds to your IRA by ACH, Wire, or Check.

Please follow the instructions below to ensure proper credit to your account.

Send by ACH or Wire

Bank Name: Western Alliance Bank

Address: 1 E. Washington Street,
Phoenix, AZ 85004

ABA Routing: 122105980

Account Name: Vantage Retirement
Plans, LLC

Account Number: 8682047075

Reference: IRA # XXXXXXXX – Client Name

For Wire Transfers Only:

Include Swift Code **BBFXUS6S**

Send by Check

Make Payable To:

Vantage FBO Client Name # XXXXXXXX

Mail To:

Vantage Retirement Plans, LLC
8742 E. Via de Commercio
Scottsdale, AZ 85258

Important Note: Include the IRA
account number and client name in
memo to avoid delays.

Funds Availability

Once Vantage receives your funds, they will be available as follows:

- **ACH:** 2 business days
- **Wire:** 1 business day
- **Personal Check:** 5 business days
- **Cashier's Check or Money Order:** 1 business day