



VANTAGE®

# Roth Conversion

Date Stamp  
(Office use only)  
Rev. 12/18/18

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)

Name: \_\_\_\_\_ Vantage Account #: \_\_\_\_\_  
First, Middle, Last

Address: \_\_\_\_\_ Vantage Account (ROTH) #: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_ Phone: \_\_\_\_\_

Social Security Number: \_\_\_\_\_ Date of Birth: \_\_\_\_\_

## Conversion Information

In-Kind (A qualified third party appraisal is required for all In-Kind conversions)       Cash

### Choose One Of The Following:

New Conversion: *This is a conversion to a NEW Roth IRA. (A Vantage Account Application must be attached)*

Existing Roth IRA: *This is a conversion to an EXISTING Roth IRA.*

### Choose One Of The Following:

Full Conversion: *Convert all assets and cash held in the above account.*

I would like Vantage to close my Traditional Account \_\_\_\_\_

INITIAL HERE

Partial Conversion: *Convert the assets indicated below.*

Asset Description (In-Kind or Cash)	Indicate Amount (Do Not Use Percentages)

## Withholding Election

Option 1: Withhold federal income tax at the rate of \_\_\_\_\_% (not less than 10%) plus an additional amount of \$ \_\_\_\_\_ from the amount withdrawn.

Option 2: I elect not to have federal income tax withheld. (Must have US Residence address on file.) I understand that I am still liable for the payment of federal income tax on the taxable amount. I also understand that I may be subject to tax penalties under the estimated tax payment rules, if my payments of estimated tax and withholding, if any, are not adequate and take all such responsibility and/or liability.

## Transaction Fees

### How Would You Like To Pay The Transaction Fees?

Vantage Account       Check (Made payable to Vantage)       Visa       MC       Discover       AMEX

Name On Card: \_\_\_\_\_

Card Number: \_\_\_\_\_ Exp.: \_\_\_\_\_ CVC: \_\_\_\_\_

Billing Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

## Notice of Withholding on Conversions

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.

Conversion transactions within your Account are subject to federal income tax withholding unless you elect not to have withholding apply. You may elect not to have withholding apply to your conversion payment by completing the “Withholding Election” section on the previous page. If you do not complete the “Withholding Election” section by the date your conversion is scheduled to begin, federal income tax will be withheld from the amount withdrawn at a rate of 10%. If you elect not to have withholding apply to your conversion payments, or if you do not have enough federal income tax withheld from your conversion, you are responsible for payment of any estimated tax. You may incur penalties under the estimated tax rules if your withholding and estimated tax payments are not sufficient. You understand that Administrator and Custodian do not provide any tax advice, and you are encouraged to consult a tax professional.

## Account Holder’s Signature

**I certify that the following statements are true and correct.**

1. If applicable, I have taken my Required Minimum Distribution (RMD) separately during the year.
2. I understand that this type of transaction is reported to the Internal Revenue Service (IRS).
3. I am responsible for recordkeeping Roth IRA conversion information as directed by the IRS.
4. Administrator and Custodian has recommended that I consult with my tax advisor or the IRS before completing this transaction to make certain that this transaction is appropriate in my individual circumstances.

Vantage Retirement Plans, LLC (“Administrator”) performs recordkeeping and administrative duties in connection with Account Owner’s self-directed 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.

**THIS CONVERSION WILL NOT BE PROCESSED WITHOUT THE ASSET APPRAISAL AS NEEDED.**

NOTE: Please allow Vantage two (2) business days to complete your request. Documents recieved after 2pm will be considered as recieved the next business day.

**Account Owner’s Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_