

**DIRECT ROLLOVER DELIVERY INSTRUCTIONS  
For Individuals**

**PLAN PARTICIPANTS:** Complete this form and give it to your Employer/Plan Administrator/Plan Trustee  
Please retain a second copy of this form for your records.

*You have choices for what to do with your employer sponsored retirement plan accounts. Depending on your financial circumstances, needs and goals, you may choose to rollover to an IRA or convert to a Roth IRA, rollover an employer sponsored plan from a prior employer to an employer sponsored plan at your new employer, take a distribution, or leave the account where it is. Each choice may offer different investment options and services, fees and expenses, withdrawal options, required minimum distributions, tax treatment, and may provide different protection from creditors and legal judgments. Please contact your Merrill Lynch financial advisor or Merrill Edge Representative and refer to the Merrill Making the most of your retirement assets brochure for your reference. These are complex choices and should be considered with care, you should consult with your legal and tax advisor regarding your options.*

**TO:**

\_\_\_\_\_  
Employer/Plan Administrator/Plan Trustee

\_\_\_\_\_  
Name of Plan

\_\_\_\_\_  
Employer's Address

\_\_\_\_\_  
Name and Telephone Number of Employer/Plan Contact

**RE:**

\_\_\_\_\_  
Name of Participant

\_\_\_\_\_  
Social Security Number

\_\_\_\_\_  
Participant Plan Account Number (if applicable)

Dear Employer/Plan Administrator/Trustee:

Please deliver the cash and/or securities eligible for direct rollover that I have requested be distributed from the plan referenced above as a direct rollover to my account at Merrill as described below. My Merrill Account Number (referenced below) and my Social Security Number must be indicated on any check or security to be transferred in as a direct rollover to Merrill, and the check must be made payable to:

**Merrill Lynch, Pierce, Fenner & Smith Inc. as Custodian FBO -**

☐ Merrill Traditional IRA/IRRA

☐ Merrill BASIC Account

☐ Merrill SEP/IRA

☐ Merrill Inherited IRA/IRRA

☐ Merrill Roth IRA (Only designated Roth 401(k) contributions can be rolled into a Roth IRA)

**FBO -** \_\_\_\_\_

Merrill Account Number: \_\_\_\_\_

☐ Give the check to me for delivery to Merrill.

☐ Deliver checks and securities to Merrill by following the instructions printed on the back of this form.

\_\_\_\_\_  
Date

\_\_\_\_\_  
Participant/Beneficiary Signature

**To Employer/Plan Administrator/Trustee**

The above mentioned Merrill custodial account is established for receipt of a direct rollover of an eligible rollover distribution to the participant/spousal beneficiary named above. Merrill's acceptance of this direct rollover distribution is contingent upon our review of the assets distributed from the plan and their compatibility with our operational and procedural guidelines.

\_\_\_\_\_  
Date

\_\_\_\_\_  
Merrill Authorized Signature

**DELIVERY INSTRUCTIONS**  
**For Eligible Rollover Distributions**

***Participant/Beneficiary Merrill Account Number And Customer Name***

***And Social Security Number Must Be Affixed to All Checks And Securities***

(If any of the following deliveries included securities, please include a Distribution Statement)

Checks:	Make checks payable to: Merrill Lynch, Pierce, Fenner & Smith Incorporated as custodian FAO/FBO Client Name and 8 digit Merrill account number Merrill/Edge Building 600 FL9 - 600 - 2B - 00 9000 Southside Blvd Jacksonville, FL 32256
Federal Funds Wire:	Bank of America, N.A. 100 West 33rd Street New York, NY ABA Routing # 026009593 International Banks can use SWIFT Address: BOFAUS3N Account #: 6550113516 Name: Merrill Lynch, Pierce, Fenner & Smith, New York, NY Reference: 8 digit Merrill account number and full name
DTC Eligible Free Delivery to:	Merrill Lynch, Pierce, Fenner & Smith Incorporated DTC Clearing #8862 and 8 digit Merrill Account Number
Physical Security Deliveries: (A Copy of this form must be attached to the certificates being delivered.)	DTCC NYW Broker 671 MLPFS 570 Washington Boulevard Jersey City, NJ 07310 Attn: Central Delivery 5th floor FOR A/C - MERRILL Customer Name/Merrill A/C#
U.S. Treasury Bills, Notes, Bonds & Strips, Cats Zero CPN & Cubes:	BK OF NYC/MLPFS ABA# 021000018 Further credit to client name and 8 digit Merrill account number
All MBS products (FHLMC, FNMA, GNMA, CMO, etc.):	BK OF NYC/MLPFS ABA# 021000018 Further credit to client name and 8 digit Merrill account number

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**Investment products:**

**Are Not FDIC Insured**

**Are Not Bank Guaranteed**

**May Lose Value**

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