Rolling Over a 401(k)

Instruction Guide

Rollovers

If after speaking with your advisor and you determine a rollover is the most appropriate option, please find the easy steps to the right to complete this process!

- Be sure to have your statement in front of you. Call the number listed and reference either your account number, online username, or SSN. You may also need your termination date if applicable.
- Request a "Direct Rollover" to a Traditional or Roth IRA at an outside institution. This is a non-taxable event.
- They will ask if you have reviewed the Special Tax Notice which is attached here. You can indicate "Yes" to this question.
- Check should be made payable to the new custodian (ie, Pershing LLC) and can be mailed to either you or our office.

Companies will sometimes require forms to be signed. Simply forward those to us upon receipt so we can help you complete them correctly!

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